

Cabinet

19 July 2017

Time 3.30 pm **Public Meeting?** YES **Type of meeting** Executive
Venue Committee Room 3 - 3rd Floor - Civic Centre

Membership

Chair Cllr Roger Lawrence (Lab)
Vice-chair Cllr Peter Bilson (Lab)

Labour

Cllr Claire Darke
Cllr Steve Evans
Cllr Val Gibson
Cllr Milkinderpal Jaspal
Cllr Andrew Johnson
Cllr John Reynolds
Cllr Sandra Samuels OBE
Cllr Paul Sweet

Quorum for this meeting is five Councillors.

Information for the Public

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Some items are discussed in private because of their confidential or commercial nature. These reports are not available to the public.

Agenda

Part 1 – items open to the press and public

Item No. *Title*

MEETING BUSINESS ITEMS

- 1 **Apologies for absence**
- 2 **Declaration of interests**
- 3 **Minutes of the previous meeting** (Pages 5 - 8)
[For approval]
- 4 **Matters arising**
[To consider any matters arising from the minutes of the previous meeting]

DECISION ITEMS (RED - FOR DECISION BY THE COUNCIL)

- 5 **Treasury Management - Annual Report 2016-2017 and Activity Monitoring Quarter One 2017-2018** (Pages 9 - 38)
[To approve matters relating to the year-end position with regards to treasury management arrangements and activity and to receive an update on treasury management activity in 2016/17 to date.]
- 6 **EU Funded Projects - Payment of Grants to Delivery Partners** (Pages 39 - 46)
[To recommend that Council approve a programme of reimbursement and delegate authority to pay grants of over £50,000 to named delivery partners to reimburse costs associated with the delivery of European Union and Department of Business Energy and Industrial Strategy funded projects in accordance with our Lead Authority role.]
- 7 **Youth Justice Plan 2017/18** (Pages 47 - 62)
[The annual youth justice plan is presented to Cabinet for endorsement and recommendation to Council.]

DECISION ITEMS (AMBER - DELEGATED TO THE CABINET)

- 8 **2018/19 Draft Budget Strategy and MTFs** (Pages 63 - 78)
[To approve matters relating to the draft budget for 2018/19 and beyond as the basis of consultation with stakeholders.]
- 9 **Reserves, Provisions and Balances 2016-2017** (Pages 79 - 104)
[To approve matters relating to the year-end position against reserves, provisions and balances.]
- 10 **Revenue Budget Outturn 2016-2017** (Pages 105 - 148)
[To provide matters relating to the year-end position against the revenue budget.]

- 11 **Transforming Libraries Strategy 2017 – 2027** (Pages 149 - 222)
[To approve a new ten year Libraries Strategy, following public consultation.]
- 12 **Review of current Gating Orders prior to transition to Public Spaces Protection Orders** (Pages 223 - 244)
[To seek approval for Public Spaces Protection Orders (PSPOs) to replace the current Gating Orders following a change in tools and powers introduced in the Anti-social Behaviour, Police and Crime Act 2014.]
- 13 **Proposed Public Spaces Protection Order – Dog Control** (Pages 245 - 298)
[To approve the proposed Public Spaces Protection Order in relation to Dog Control.]
- 14 **Change of Criteria to Affordable Warmth Grant Assistance** (Pages 299 - 308)
[Change to the current criteria to include qualifying applicants from the private rented sector to help address fuel poverty in the private rented sector and compliment the aims and objectives of CWC's Rent with Confidence Scheme, to clarify the criteria and bring it inline with NICE guidelines.]
- 15 **Confirmation of Small Houses in Multiple Occupation (HMO) Article 4 Direction** (Pages 309 - 318)
To consider consultation representations and confirm the making of an Article 4 (1) Direction covering the whole of the City of Wolverhampton which will mean that a planning application is required to convert a dwelling to a small house in multiple occupation (HMO) accommodating three to six people.
- 16 **Looked After Children Sufficiency Strategy 2017-20** (Pages 319 - 336)
[To approve the Looked After Children Sufficiency Strategy 2017-20.]
- 17 **Wolverhampton Ethical Care Charter** (Pages 337 - 346)
[That the Council should begin to publish and promote Ethical Care in Wolverhampton including the Wolverhampton Wage for Care.]
- 18 **Approval to Consult on Review of Non-residential Contributions to Adult Social Care** (Pages 347 - 354)
[Approval is sought to undertake a public consultation from June to August 2017 as part of this year's review of non-residential contributions.]
- 19 **Creation of a Regional Adoption Agency - Adoption@Heart** (Pages 355 - 392)
[To approve a proposed delivery model for a Regional Adoption Agency and to approve the financial commitment of the Local Authority to the project.]
- 20 **To provide a progress report on the work of the Principal Social Worker and outline priority areas of work to be undertaken 2017 /2018** (Pages 393 - 404)
[This report outlines the work of the principal social worker 2016-2017 and sets out priorities for 2017-2018.]

21 **Exclusion of press and public**
[To pass the following resolution:

That in accordance with Section 100A(4) of the Local Government Act 1972 the press and public be excluded from the meeting for the following items of business as they involve the likely disclosure of exempt information on the grounds shown below.]

PART 2 - EXEMPT ITEMS, CLOSED TO PRESS AND PUBLIC

22 **Housing Services Review** (Pages 405 - 418)

[To seek approval to a new service model for the delivery of housing services between the City of Wolverhampton Council and Wolverhampton Homes.]

Information relating to the financial or business affairs of any particular person (including the authority holding that information) Para (3)

23 **Bilston Corridor AAP – site delivery** (Pages 419 - 428)

[To seek approval for the progression of options to bring forward the delivery of strategic development opportunities in the Bilston Area Action Plan.]

Information relating to the financial or business affairs of any particular person (including the authority holding that information) Para (3)

24 **Provision of support to partner to secure grant funding**

[The underwriting of a grant agreement to enable a partner to secure grant.]

Information relating to the financial or business affairs of any particular person (including the authority holding that information) Para (3)

Report to follow.

Meeting of the Cabinet

Minutes - 27 June 2017

Attendance

Members of the Cabinet

Cllr Roger Lawrence (Chair)
Cllr Claire Darke
Cllr Steve Evans
Cllr Val Gibson
Cllr Milkinderpal Jaspal
Cllr Andrew Johnson
Cllr John Reynolds
Cllr Sandra Samuels OBE
Cllr Paul Sweet

Employees

Keith Ireland	Managing Director
Tim Johnson	Strategic Director for Place
Linda Sanders	Strategic Director for People
Claire Nye	Director of Finance
Tim Clark	Communications Manager
Jaswinder Kaur	Democratic Services Manager
Philippa Salmon	Democratic Services Officer

Part 1 – items open to the press and public

- | <i>Item No.</i> | <i>Title</i> |
|-----------------|---|
| 1 | Apologies for absence
Apologies for absence were received from Councillor Bilson. |
| 2 | Declaration of interests
There were no declarations of interest submitted. |
| 3 | Minutes of the previous meeting
That the minutes of the previous meeting held on 14 June 2017 be approved as a correct record and signed by the Chair. |
| 4 | Matters arising
There were no matters arising from the minutes of the previous meeting. |
| 5 | Black Country Core Strategy review
Councillor John Reynolds sought approval for consultation on the first formal stage of the Black Country Core Strategy Review – the Issues and Options Report. The Black Country Core Strategy was the key strategic |

planning and regeneration document covering the Black Country authorities of Dudley, Sandwell, Walsall and Wolverhampton. The Core Strategy established housing and employment land targets, identified priority regeneration areas and key infrastructure projects and included a set of strategic planning policies which were used to determine planning applications, in the context of an overarching vision for the sub-region.

Resolved:

1. That the Black Country Core Strategy Review Issues and Options Report be approved for consultation.
2. That authority be delegated to the Service Director City Economy in consultation with the Cabinet Lead for City Economy to make any necessary minor amendments to the Issues and Options Report and other consultation documents prior to commencement of the consultation process.
3. That a further report be requested summarising key issues raised during the consultation, to inform preparation of a Preferred Spatial Option Report.

6 Appointment to Planning Committee

Councillor Milkinder Jaspal presented the report requesting approval of the appointment of Councillor Welcome Koussoukama to Planning Committee.

Resolved:

That the appointment of Councillor Welcome Koussoukama to Planning Committee be approved.

7 Exclusion of press and public

Resolved:

That in accordance with Section 100A(4) of the Local Government Act 1972 the press and public be excluded from the meeting for the following items of business as they involve the likely disclosure of exempt information relating to any individual, information which is likely to reveal the identity of an individual and/or information relating to the business affairs of any particular person (including the authority holding that information)].

8 School Place Planning

Councillor Claire Darke presented the report and outlined additional recommendations to agree that the Children, Young People and Families Scrutiny Panel receive reports on school expansion proposals and post-16 education during the Autumn Term 2017.

Resolved:

1. That the undertaking of required statutory processes in relation to the proposed Primary School Expansion Programme 2018-2020 be approved.
2. That authority be delegated to the Cabinet Member for Education in consultation with the Strategic Director of People, to consider the responses to Initial Consultation and determine whether or not to proceed to Stage 1 of the statutory process in relation to schemes proposed for inclusion in the Primary School Expansion Programme 2018-2020.

3. That the formal proposal of schemes included within the Secondary School Expansion Programme 2017-2019 be approved.
4. That it be agreed to receive further reports detailing the proposed works and the arrangements with the various schools and academies.
5. That it be agreed that Children, Young People and Families Scrutiny Panel receive a report on School expansion proposals during the Autumn Term 2017.
6. That it be agreed that Children, Young People and Families Scrutiny Panel receive a report on Post-16 education during the Autumn Term 2017.
7. That to be noted that, in light of the scale of recent primary expansion programmes, practical opportunities to continue to expand the existing estate are constrained.
8. That it be noted that, in addition to the proposed Secondary School Expansion Programme 2017-2019, a further significant uplift in secondary capacity will be required over coming years which is likely to have substantial capital requirements.
9. That it be noted that the funding strategies to support the Primary School Expansion Programme 2018- 2020 & Secondary School Expansion Programme 2017-2019 will be subject to approval through the appropriate governance mechanisms.

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Cabinet Meeting

19 July 2017

Report title	Treasury Management – Annual Report 2016-2017 and Activity Monitoring Quarter One 2017-2018		
Decision designation	RED		
Cabinet member with lead responsibility	Councillor Andrew Johnson Resources		
Key decision	Yes		
In forward plan	Yes		
Wards affected	All		
Accountable director	Claire Nye, Director of Finance		
Originating service	Strategic Finance		
Accountable employee(s)	Michelle Howell	Finance Business Partner	
	Tel	01902 553197	
	Email	Michelle.Howell@wolverhampton.gov.uk	
Report to be/has been considered by	Strategic Executive Board		4 July 2017
	Council		20 September 2017
	Confident Capable Council Scrutiny Panel		27 September 2017

Recommendation(s) for action or decision:

That Cabinet recommends that Council approves:

1. The revised Minimum Revenue Provision (MRP) statement setting out the method used to calculate MRP for 2017-2018, in particular, the change regarding investment assets which is being backdated to 1 April 2013, as set out in appendix F to this report.

The Cabinet recommends that Council notes:

1. The Council operated within the approved Prudential and Treasury Management Indicators, and also within the requirements set out in the Council's approved Treasury Management Policy Statement during 2016-2017.

2. Revenue savings of £1.7 million for the General Fund and £2.5 million for the Housing Revenue Account were generated from treasury management activities in 2016-2017.
3. Revenue savings of £810,000 for the General Fund and £329,000 for the Housing Revenue Account are forecast from treasury management activities in 2017-2018.

Recommendations for noting:

The Cabinet is asked to note:

1. The capital programme figures included in this report assumes that the updated requests for capital resources which were reported to Cabinet (Resources) Panel on 27 June 2017 and Council on 19 July 2017 are approved. If this were not to be the case revised figures would be provided to Council on 20 September 2017.

1.0 Purpose

- 1.1 This report sets out the results of treasury management activities carried out in 2016-2017, together with performance against the Prudential Indicators previously approved by Council. It also provides a monitoring and progress report on treasury management activity for the first quarter of 2017-2018, in line with the Prudential Indicators approved by Council in March 2017.

2.0 Background

- 2.1 The treasury management activities of the Council are underpinned by The Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice on Treasury Management. For further information on the requirements of the Code please refer to the Treasury Management Strategy 2017-2018 report which can be accessed online on the Council's website by following the link:

<https://wolverhamptonintranet.moderngov.co.uk/documents/s37438/Item%20%20-%20Treasury%20Management%20Strategy%20201718.pdf>

- 2.2 Treasury management is defined as:

“The management of the local authority's cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”

- 2.3 The system of controls on local authority capital investment is based largely on self-regulation by local authorities themselves. At its heart is CIPFA's Prudential Code for Capital Finance.
- 2.4 Cabinet / Cabinet (Resources) Panel received quarterly reports during 2016-2017 to monitor performance against the strategy and Prudential Indicators previously approved by Council.
- 2.5 The Council continued to use Capita Asset Services as treasury management advisors throughout 2016-2017 and 2017-2018 to date. Capita provides market data and intelligence on which the Council can make decisions regarding all aspects of treasury management activities and in particular, managing the risks associated with investing surplus cash.

3.0 The strategy and outturn for 2016-2017

- 3.1 The strategy for 2016-2017 was to maintain cash balances at a reduced level, therefore keeping to a minimum the credit risk incurred by holding investments and to avoid the higher costs of external borrowing compared to interest foregone on cash balances, thereby generating revenue savings.

- 3.2 During 2016-2017, the Council followed the recommendations as set out in the Treasury Management Strategy 2016-2017. This included the authorised borrowing limit set at £1,008.6 million, the Treasury Management Strategy, the Annual Investment Strategy, the Prudential Indicators and the Annual Minimum Revenue Provision (MRP) Statement.
- 3.3 The Treasury Management outturn for 2016-2017 compared to budget is shown in Table 1.

Table 1 – Treasury management budget and outturn 2016-2017

	Approved Budget £000	Outturn £000	Variance £000
General Fund	14,647	12,963	(1,684)
Housing Revenue Account	13,310	10,843	(2,467)
Total	27,957	23,806	(4,151)

- 3.4 Overall there was a saving of £1.7 million for the General Fund for 2016-2017 and a saving of £2.5 million for the HRA. The savings are mainly due to a reduced borrowing need in year because of reprofiling in both capital programmes and the use of internal borrowing from reserves rather than external borrowing.
- 3.5 As reported in last years 'Treasury Management – Annual Report 2015/16 and Activity Monitoring Quarter One 2016/17' report, in order to ensure that the revenue implications of the capital programme do not impact adversely on the revenue budget, a Treasury Management Equalisation Reserve was established during 2015-2016. This specific reserve can be called on as and when required to support the revenue costs associated with reprofiling in the capital programme, there was no requirement to call on this reserve during 2016-2017 and the balance remains at £3.5 million.
- 3.6 No institutions in which investments were made had any difficulty in repaying investments or interest in full during the year and no arrangements had to be made to prematurely withdraw funds from any investments as a result of a downgrade in their respective credit rating.
- 3.7 No debt was rescheduled in 2016-2017. Opportunities for rescheduling are now minimal since the Public Works Loans Board (PWLb) amended their discount calculation basis, and no opportunity to reschedule arose during the year.
- 3.8 Table 2 shows the average rate of interest payable and receivable in 2015-2016 and 2016-2017.

Table 2 - Average interest rate payable and receivable in 2015-2016 and 2016-2017

	2015-2016 Actual	2016-2017 Actual
Average Interest Rate Payable	3.71%	3.68%
Average Interest Rate Receivable	0.47%	0.42%

Borrowing outturn for 2016-2017

- 3.9 The average debt interest rate decreased marginally from 3.71% in 2015-2016 to 3.68% in 2016-2017. The Council undertakes borrowing only when necessary to maintain sufficient cash flow balances and after monitoring the market to take advantage of the best available rates. A summary of the borrowing and repayment activities is shown below with the average interest rates; this activity has resulted in a slightly lower overall average rate for the year.

Table 3 – Summary of borrowing and repayment activities

	Short Term £000	Average Rate %	Long Term £000	Average Rate %
New Loans Raised	1,000	0.34%	80,000	2.41%
Repayment of Loans	(55,000)	0.61%	(26,605)	2.22%
Net movement	(54,000)		53,395	

- 3.10 The Council's need to borrow and the rates available continue to be monitored in order to achieve optimum results. The Council's medium term forecast is regularly updated to reflect actual borrowing that takes place along with any revisions to future anticipated borrowing.
- 3.11 The Council's Capital Financing Requirement (CFR) increased from £842.2 million to £863.1 million throughout 2016-2017. This reflects a net increase in the Council's underlying need to borrow for capital purposes. This was split between the General Fund and Housing Revenue Account at a rate of 68.8% and 31.2% respectively (2015-2016: 66.2% and 33.8%).

- 3.12 Although the Council's CFR has increased, the level of external borrowing has slightly decreased as the increase was mainly financed by internal borrowing from reserves, as discussed in paragraph 3.4. Table 4 shows how the decrease in actual external borrowing arose during the year.

Table 4 – Decrease in actual external borrowing 2016-2017

	£000
Opening Balance at 1 April 2016	655,666
Less: Repayments	
- Maturity Loans from PWLB	(26,605)
- Temporary Loans	(55,000)
Subtotal	(81,605)
Add: New Borrowing	
-PWLB Loan	80,000
-Temporary Loans	1,000
Subtotal	81,000
Net borrowing 2016-2017	(605)
Closing Balance at 31 March 2017	655,061

- 3.13 Appendix A shows a summary of this position along with a detailed breakdown of new loans and repayments made throughout the year.

Investment outturn for 2016-2017

- 3.14 The actual interest rate earned from investments decreased slightly from 0.47% in 2015-2016 to 0.42% in 2016-2017. This is due to the continuing low interest rates available, this has minimal impact on the budget due to savings generated by avoiding the cost of borrowing.
- 3.15 The approach during the year was to continue to use cash balances to finance capital expenditure so as to keep cash balances low. This minimised counterparty risk on investments and also maximised treasury management budget savings as investment rates were much lower than most new borrowing rates.
- 3.16 The Council manages its investments in-house and invests only in the institutions listed in the Council's approved lending list, which is reviewed each time a counterparty is subject to a credit rating amendment. The Council's strategy allows for investments for a range of periods from overnight to five years, depending on the Council's cash flows, its interest rate view and the interest rates on offer. However, in order to maintain sufficient liquidity whilst total investment levels are relatively low, most investments have been placed for shorter durations.

4.0 2017-2018 forecast

- 4.1 The forecast outturn for treasury management activities in 2017-2018 compared to budget is shown in Table 5.

Table 5 – Treasury management budget and forecast outturn 2017-2018

	Approved Budget	Forecast Outturn	Variance
	£000	£000	£000
General Fund	16,192	15,382	(810)
Housing Revenue Account	10,975	10,646	(329)
Total	27,167	26,028	(1,139)

- 4.2 Overall savings of £810,000 for the General Fund and £329,000 for the HRA are projected for the year 2017-2018. This is mainly due to changes in interest rates. The Council's strategy is to continue to use cash balances to finance capital expenditure rather than external borrowing. Borrowings are actively managed to achieve savings wherever possible.
- 4.3 Appendix B shows a comparison of the latest estimates of Prudential and Treasury Management Indicators over the medium term period with the equivalent figures which were approved by Council in March 2017.

Borrowing forecast for 2017-2018

- 4.4 The Council's need to borrow and the rates available continue to be monitored in order to achieve optimum results. The Council's medium term forecast is regularly updated to reflect actual borrowing that takes place along with any revisions to future anticipated borrowing.
- 4.5 Table 6 shows the average rate of interest payable in 2016-2017 and forecast for 2017-2018.

Table 6 - Average interest rate payable in 2016-2017 and 2017-2018

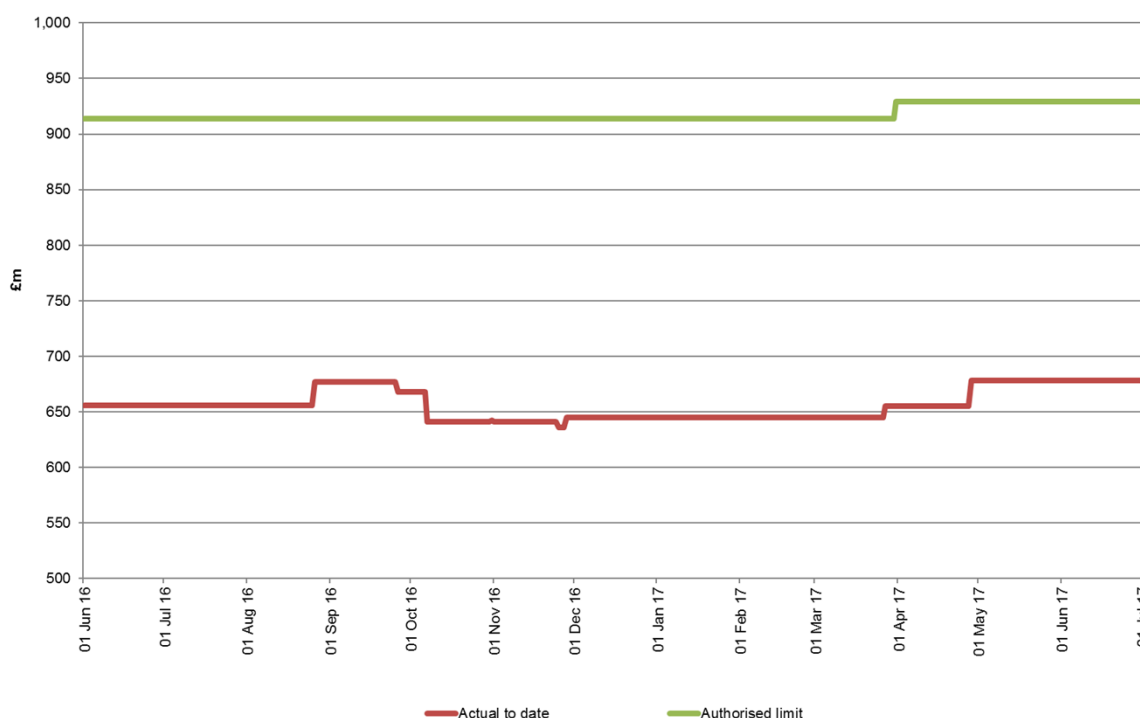
	2016-2017 Actual	2017-2018 Forecast
Average Interest Rate Payable	3.68%	3.70%

- 4.6 The average rate of interest payable by the Council is estimated to slightly increase from 3.68% to 3.70% for 2017-2018.
- 4.7 Each year it is necessary to raise new loans to finance capital expenditure and to replace existing maturing borrowing. The Council's policy is to prioritise the use of capital

receipts to finance capital expenditure. Balances which are set aside to meet credit liabilities (i.e. to repay borrowing) are used to reduce the external borrowing requirement. Decisions to take borrowing will be made by the Director of Finance when it is judged that rates are likely to be at their lowest levels, and probably about to rise according to market indications, and only when an inflow of funds is required to meet imminent cash flow commitments. This will keep overall surplus cash balances to a minimum, in line with the current strategy. Appendix C shows the maturity profile of external borrowing.

- 4.8 As always, the Council needs to be mindful that the opportunity to secure short term savings by postponing longer term borrowing requirements takes into account the risk of long term rates increasing in the future. Appendix D includes the Capita commentary for quarter one 2017-2018 and forecasts that interest rates across all periods will increase up to March 2020. The Director of Finance will continue to keep actual and forecast rates under close review.
- 4.9 The Council's borrowing profile continues to operate within the overall limits previously approved by Council, as shown in Chart 1.

Chart 1 - Comparison of borrowing within approved borrowing limits over the previous 12 months



- 4.10 The level of borrowing at 30 June 2017 is £678.1 million. Appendix A shows a summary of this position along with a detailed breakdown of new loans and repayments made throughout the year. £87.1 million of existing borrowing is due to be repaid between quarters two to four.

- 4.11 In March 2017, Council approved a net borrowing requirement for 2017-2018 of £215.7 million. The forecast net borrowing requirement for 2017-2018 is £211.7 million, as shown in appendix E. This appendix also shows the details for the disclosure for certainty rate, which enables the Council to access discounted borrowing at 0.20% below normal PWLB rates.
- 4.12 In March 2017 Council approved the Annual Minimum Revenue Provision (MRP) Statement setting out the method used to calculate MRP for 2017-2018 onwards. A review of this statement has identified potential savings that could be generated, with regard to investment assets, by backdating this element of the policy to 1 April 2013. Appendix F shows the proposed new statement requiring approval. In the opinion of the Director of Finance (Section 151 Officer) the methodology set out in the statement will generate an amount of MRP that is prudent.

Investment forecast for 2017-2018

- 4.13 The approach during the year is to continue to use cash balances to finance capital expenditure so as to keep cash balances low.
- 4.14 Table 7 shows the total amount of surplus funds invested as at 31 March 2017 and in order to provide a timely report, 23 June 2017.

Table 7 – Total amounts invested 2017-2018

	31 March 2017 £000	23 June 2017 £000
Business Reserve Accounts	90	504
Money Market Funds	7,785	41,855
	7,875	42,359
Average cash balance for the year to date	24,849	20,570

- 4.15 Money Market Funds and Business Reserve Accounts are the main investments used as these have high credit ratings and instant access. This is based on the Council's low appetite for risk.
- 4.16 The Council's cash flow balance for the first quarter of the current financial year has moved between a low of £5.5 million and a maximum of £42.4 million. The average cash balance for the quarter being £20.6 million.
- 4.17 Table 8 shows the budgeted average rate of interest receivable in 2017-2018 and the forecast for the year.

Table 8 – Average interest rate receivable in 2017-2018

	2017-2018 Budget	2017-2018 Forecast
Average Interest Rate Receivable	0.10%	0.24%

- 4.18 Due to the continuing low interest rates on offer, a prudent percentage was used for budgeting purposes, as can be seen a slightly higher rate is forecast based on rates achieved in the first quarter.
- 4.19 The Council will avoid locking into longer term deals while investment rates are at historically low levels. Investment rates are expected to continue to be below long term borrowing rates, in which case, the Council can minimise its overall net treasury costs in the short term by continuing to avoid new external borrowing and by using internal cash balances to finance new capital expenditure or to replace maturing external debt (this is referred to as internal borrowing).
- 4.20 The approved Treasury Management Code of Practice sets out the criteria to be used for creating and managing approved counterparty lists and limits. As a result of any changes to credit criteria, the Director of Finance is authorised to make changes to the list of approved counterparties. In the event that any of these counterparties fall below the Council's minimum lending criteria, activity in that account will temporarily cease and any balance withdrawn immediately. Appendix G shows the Council's current specified investments lending list.
- 4.21 In quarter one 2017-2018 the Director of Finance has not been required to use his discretion to temporarily exceed any upper limits with approved counter-parties.

5.0 Financial implications

- 5.1 The financial implications are discussed in the body of this report.

[SH/30062017/I]

6.0 Legal implications

- 6.1 The Council's Treasury Management activity must be carried out in accordance with the requirements of the Local Government Act 2003. In addition the Local Government and Housing Act 1989 sets out requirements for local authorities in respect of capital controls, borrowing and credit arrangements. The Council is also required to comply with the Local Authority (Capital Finance and Accounting) (England) (Amendment) Regulations 2008.
- 6.2 Treasury Management relates to the management of the Council's cash flow, borrowing and cash investments. This involves seeking the best rates of interest for borrowing,

earning interest on investments, whilst managing risk in making financial decisions and adopting proper accounting practice.

- 6.3 The area is heavily regulated. The Local Government and Housing Act 1989 regulates the operation of the Housing Revenue Account. The 'CIPFA Code of Practice for Treasury Management in the Public Services', contains Treasury Management indicators and advice on Treasury Management Strategy. Investment strategy is regulated by 'DCLG Guidance on Local Government Investments' issued initially in 2004 and re-issued in 2010. Part 2 of this Guidance is statutory guidance. RB/30062017/J

7.0 Equalities implications

- 7.1 This report has no equality implications.

8.0 Environmental implications

- 8.1 This report has no environmental implications.

9.0 Human resources implications

- 9.1 This report has no human resources implications.

10.0 Corporate landlord implications

- 10.1 This report has no corporate landlord implications.

11.0 Schedule of background papers

Treasury Management Strategy 2016/17, Report to Cabinet, 24 February 2016

Treasury Management – Annual Report 2015/16 and Activity Monitoring Quarter One 2016/17, Report to Cabinet, 20 July 2016

Treasury Management Activity Monitoring – Mid Year Review 2016/17, Report to Cabinet, 30 November 2016

Quarter Three Treasury Management Activity Monitoring, Report to Cabinet (Resources) Panel, 28 February 2017

2017/18 Budget and Medium Term Financial Strategy 2017/18 – 2019/20, Report to Cabinet, 22 February 2017

Treasury Management Strategy 2017/18, Report to Cabinet, 22 February 2017

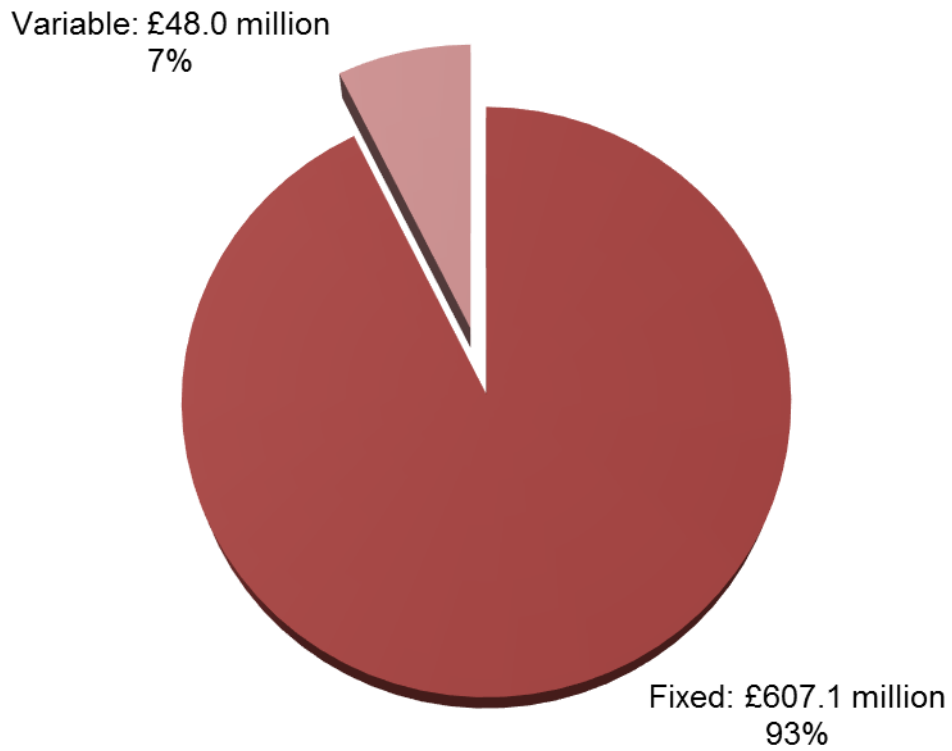
12.0 Schedule of appendices

App	Title
A	Borrowing type, borrowing and repayments
B	Prudential and Treasury Management Indicators
C	Maturity rate profile
D	Capita commentary quarter one 2017/18
E	Certainty rate disclosure
F	MRP policy
G	Lending list

Borrowing: Graphical Summary

As at 31 March 2017

Borrowing by Type



APPENDIX A

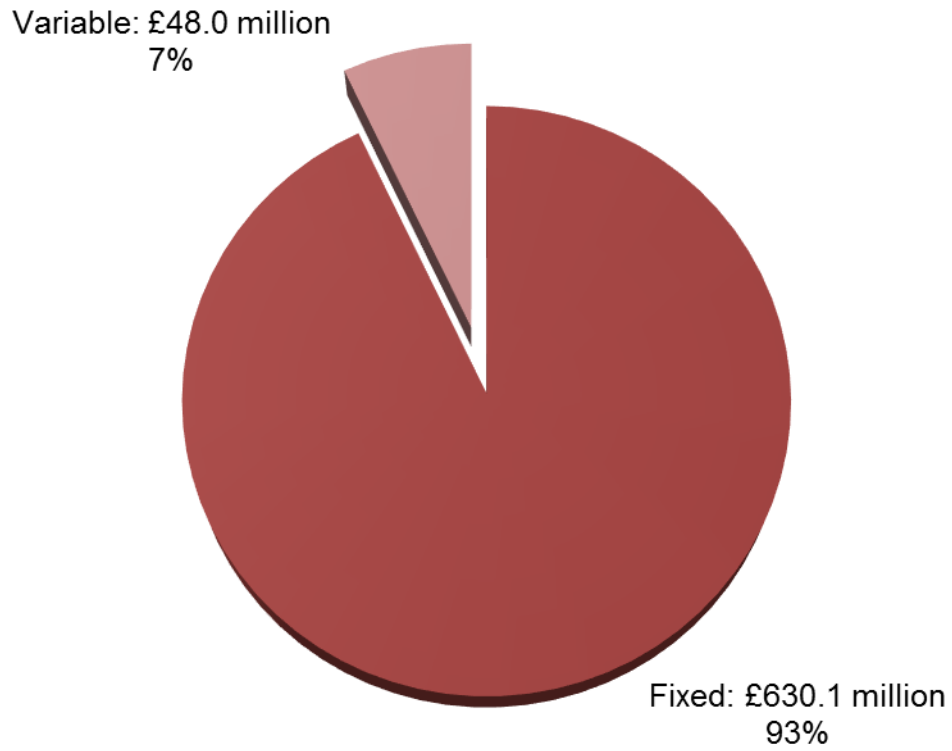
Borrowing and Repayments in 2016/17

	Start Date	Maturity Date	Amount £000	Length	Interest Rate	Full Year Interest £
2016/17 Borrowing						
PWLB Fixed Maturity:				years		
505322	26/08/2016	20/08/2060	40,000	44	1.90%	760,000
505514	28/11/2016	28/11/2062	15,000	46	2.63%	394,500
505615	19/12/2016	19/12/2056	15,000	40	2.73%	409,500
505921	27/03/2017	27/03/2032	10,000	15	2.39%	239,000
Sub total for PWLB			80,000		2.41%	1,803,000
Temporary Loans:				days		
Rhondda Cynon Taff Pension Fund	31/10/2016	01/11/2016	1,000	1	0.34%	3,400
Sub total for temporary loans			1,000		0.34%	3,400
Grand total borrowing			81,000			1,806,400
2016/17 Repayments						
PWLB Fixed Maturity:				years		
498079	08/10/2010	07/10/2016	26,605	6	2.22%	590,631
Sub total for PWLB			26,605		2.22%	590,631
Temporary Loans:				days		
Bristol City Council	28/08/2015	26/08/2016	14,000	364	0.60%	84,000
Bristol City Council	28/08/2015	26/08/2016	3,000	364	0.60%	18,000
Wokingham Borough Council	28/08/2015	26/08/2016	2,000	364	0.58%	11,600
London Borough of Hillingdon	28/09/2015	26/09/2016	7,000	364	0.60%	42,000
Solihull MBC	28/09/2015	26/09/2016	2,000	364	0.60%	12,000
Rhondda Cynon Taff Pension Fund	31/10/2016	01/11/2016	1,000	1	0.34%	3,400
Solihull MBC	27/11/2015	25/11/2016	2,000	364	0.65%	13,000
Derbyshire County Council	27/11/2015	25/11/2016	3,000	364	0.67%	20,100
Bristol City Council	30/11/2015	28/11/2016	6,000	364	0.65%	39,000
Milton Keynes Borough Council	21/12/2015	19/12/2016	10,000	364	0.64%	64,000
West Sussex County Council	21/12/2015	19/12/2016	4,000	364	0.70%	28,000
Bath & North East Somerset DC	21/12/2015	19/12/2016	1,000	364	0.64%	6,400
Sub total for temporary loans			55,000		0.61%	341,500
Grand total repayments			81,605			932,131
Net movement			(605)			874,269

Borrowing: Graphical Summary

As at 30 June 2017

Borrowing by Type



APPENDIX A

Borrowing and Repayments in 2017/18

	Start Date	Maturity Date	Amount £000	Length years	Interest Rate	Full Year Interest £
2017/18 Borrowing						
PWLB Fixed Maturity:						
506026	28/04/2017	28/04/2032	10,000	15	2.34%	234,000
506027	28/04/2017	28/04/2048	13,000	31	2.55%	331,500
Sub total for PWLB			23,000		2.45%	565,500
Temporary Loans:						
No activity in quarter 1						
Grand total borrowing						
			23,000			565,500

	Start Date	Maturity Date	Amount £000	Length	Interest Rate	Full Year Interest £
2017/18 Repayments						
PWLB Fixed Maturity:						
No activity in quarter 1						
Temporary Loans:						
No activity in quarter 1						
Net movement						
			23,000			565,500

APPENDIX B

Debt and Treasury Management - Prudential and Treasury Management Indicators

Prudential Indicators (PI)

PI for Affordability - These indicators are used to ensure the total capital investment of the council is within a sustainable limit and the impact of these decisions are considered with regard to acceptable council tax and housing rent levels.

PI 1 - Estimates and Actual ratio of financing costs to net revenue stream.

This represents the cost of financing capital expenditure as a % of net revenue for both the General Fund and HRA.

	Approved by Council 1 March 2017				As at 30 June 2017			
	2016/17 Forecast	2017/18 Forecast	2018/19 Forecast	2019/20 Forecast	2016/17 Actual	2017/18 Forecast	2018/19 Forecast	2019/20 Forecast
General Fund	6.0%	7.7%	12.6%	14.8%	5.9%	7.1%	11.7%	14.7%
HRA	33.2%	34.3%	34.9%	34.8%	33.1%	33.6%	34.0%	33.9%

PI 2 - Estimates of the incremental impact of capital investment decisions on the council tax and housing rents.

The council could consider different options for its capital investment programme in relation to their different impact on the council tax and housing rents. Negatives reflect a reduction in total capital expenditure.

	Approved by Council 1 March 2017				As at 30 June 2017			
	2016/17 Forecast £	2017/18 Forecast £	2018/19 Forecast £	2019/20 Forecast £	2016/17 Actual £	2017/18 Forecast £	2018/19 Forecast £	2019/20 Forecast £
Financial year impact								
Implications of the capital programme for year:								
For Band D council tax	88.90	208.46	249.50	257.29	59.86	202.76	259.33	270.58
For average weekly housing rents	0.99	2.44	5.04	7.31	0.25	1.98	4.50	6.75
Marginal impact to previous quarter								
Implications of the capital programme for year:								
For Band D council tax	(10.20)	(17.02)	(15.37)	(14.77)	(29.04)	(5.70)	9.81	13.28
For average weekly housing rents	(0.09)	(1.15)	0.47	2.09	(0.74)	(0.47)	(0.55)	(0.57)

PI 3 - Estimates and actual capital expenditure.

Full details of capital expenditure plans and funding can be found in the Capital budget outturn 2016/17 including quarter one capital budget monitoring 2017/18 report.

	Approved by Council 1 March 2017				As at 30 June 2017			
	2016/17 Forecast £000	2017/18 Forecast £000	2018/19 Forecast £000	2019/20 Forecast £000	2016/17 Actual £000	2017/18 Forecast £000	2018/19 Forecast £000	2019/20 Forecast £000
General Fund	113,768	116,888	49,281	11,544	82,105	133,880	69,986	17,985
HRA	43,052	47,977	59,158	53,197	33,626	52,295	62,358	53,197
	156,820	164,865	108,439	64,741	115,731	186,175	132,344	71,182

APPENDIX B

Debt and Treasury Management - Prudential and Treasury Management Indicators

PI 4 - Estimates and actual capital financing requirement General Fund and HRA.								
The capital financing requirement measures the authority's underlying need to borrow for a capital purpose.								
	Approved by Council 1 March 2017				As at 30 June 2017			
	2016/17 Forecast £000	2017/18 Forecast £000	2018/19 Forecast £000	2019/20 Forecast £000	2016/17 Actual £000	2017/18 Forecast £000	2018/19 Forecast £000	2019/20 Forecast £000
General Fund	604,640	683,790	699,787	686,515	594,161	688,910	716,040	704,667
HRA	278,679	279,825	299,412	314,176	268,969	273,421	292,285	307,010
	883,319	963,615	999,199	1,000,691	863,130	962,331	1,008,325	1,011,677

PI 5 - Authorised limit for external debt.				
These limits apply to the total external debt gross of investments and separately identify borrowing from other long term liabilities such as finance leases including Private Finance Initiatives (PF).				
	Approved by Council 1 March 2017			
	2016/17 Limit £000	2017/18 Limit £000	2018/19 Limit £000	2019/20 Limit £000
Borrowing	914,038	929,492	979,783	1,006,517
Other Long Term Liabilities	94,585	94,591	90,770	86,644
Total Authorised Limit	1,008,623	1,024,083	1,070,553	1,093,161
Actual and Forecast External Debt as at 30 June 2017	753,006	869,158	935,207	966,698
Variance (Under) / Over Authorised limit	(255,617)	(154,925)	(135,346)	(126,463)

PI 6 - Operational boundary for external debt.				
This is based on the same estimates as the authorised limit but directly reflects the Director of Finance's estimate of the most likely, prudent but not worst case scenario, without the additional headroom included.				
	Approved by Council 1 March 2017			
	2016/17 Limit £000	2017/18 Limit £000	2018/19 Limit £000	2019/20 Limit £000
Borrowing	893,284	904,372	964,701	998,154
Other Long Term Liabilities	94,585	94,591	90,770	86,644
Total Operational Boundary Limit	987,869	998,963	1,055,471	1,084,798
Actual and Forecast External Debt as at 30 June 2017	753,006	869,158	935,207	966,698
Variance (Under) / Over Operational Boundary Limit	(234,863)	(129,805)	(120,264)	(118,100)

Debt and Treasury Management - Prudential and Treasury Management Indicators

PI 7 - HRA limit on indebtedness.

This maximum debt limit has been set by Government as part of the self-financing regime and is compared to the HRA capital financing

	Approved by Council 1 March 2017				As at 30 June 2017			
	2016/17	2017/18	2018/19	2019/20	2016/17	2017/18	2018/19	2019/20
	Forecast £000	Forecast £000	Forecast £000	Forecast £000	Actual £000	Forecast £000	Forecast £000	Forecast £000
HRA Debt Limit	356,770	356,770	356,770	356,770	356,770	356,770	356,770	356,770
HRA Capital Financing Requirement	278,679	279,825	299,412	314,176	268,969	273,421	292,285	307,010
Headroom	78,091	76,945	57,358	42,594	87,801	83,349	64,485	49,760

PI for Prudence - Ensuring that external debt is sustainable and compliance with good professional practice are essential features of prudence.

PI 8a - Gross debt and the capital financing requirement.

"In order to ensure that over the medium term debt will only be for a capital purpose, the local authority should ensure that debt does not, except in the short term, exceed the total of capital financing requirement in the preceding year plus the estimates of any additional capital financing requirement for the current and next two financial years". This replaced PI 8 net debt and the capital financing requirement from 2013/14 onwards.

	Approved by Council 1 March 2017				As at 30 June 2017			
	2016/17	2017/18	2018/19	2019/20	2016/17	2017/18	2018/19	2019/20
	Forecast £000	Forecast £000	Forecast £000	Forecast £000	Actual £000	Forecast £000	Forecast £000	Forecast £000
Forecast Capital Financing Requirement at end of Second Year	999,199	1,000,692	1,025,180	1,025,180	1,008,325	1,011,678	1,035,974	1,035,974
Gross Debt	819,680	916,769	973,277	1,002,604	753,006	869,158	935,207	966,698
Capital Financing Requirement Greater than Gross Debt	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

PI 9 - Has the local authority adopted the CIPFA Treasury Management in the Public Services: Code of Practice.

Yes

Debt and Treasury Management - Prudential and Treasury Management Indicators

Treasury Management Indicators (TMI)

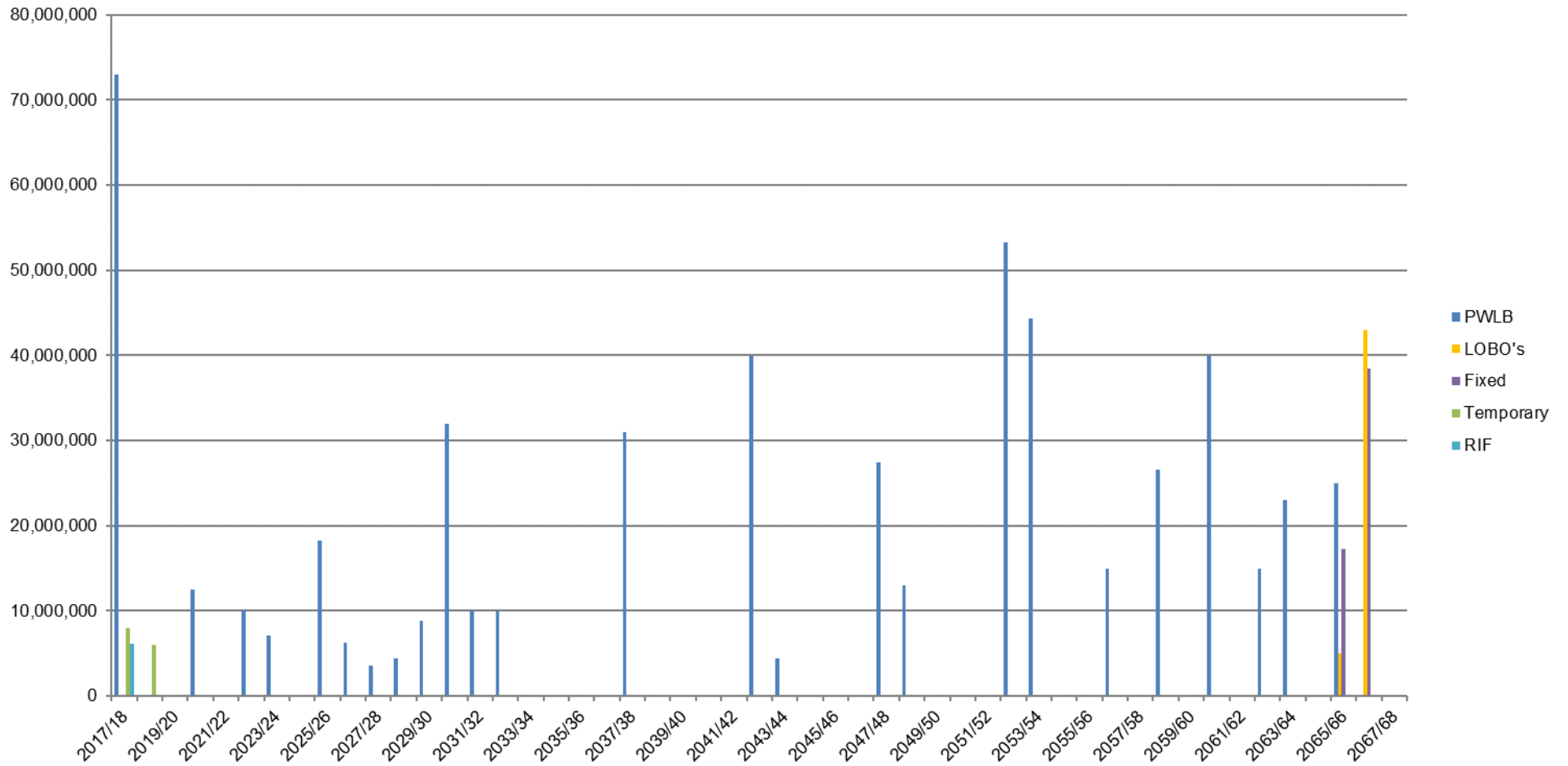
TMI 1 - Upper limits on fixed interest and variable interest exposures.								
These relate to the levels of net outstanding principal sums exposed to fixed and variable interest rates.								
	Approved by Council 1 March 2017				As at 30 June 2017			
	2016/17 Forecast	2017/18 Limit	2018/19 Limit	2019/20 Limit	2016/17 Actual	2017/18 Forecast	2018/19 Forecast	2019/20 Forecast
Upper limit for fixed rate	93%	100%	100%	100%	93%	94%	94%	95%
Upper limit for variable rate	7%	20%	20%	20%	7%	6%	6%	5%

TMI 2 - Upper and lower limits to the maturity structure of its borrowing.				
These limits relate to the % of fixed rate debt maturing.				
	Approved by Council 1 March 2017		As at 30 June 2017	
	Upper Limit	Lower Limit	2016/17 Actual Borrowing	2017/18 Forecast Borrowing
Under 12 months	25%	0%	13.83%	10.64%
12 months and within 24 months	25%	0%	0.95%	4.89%
24 months and within 5 years	40%	0%	1.98%	1.53%
5 years and within 10 years	50%	0%	6.63%	5.10%
10 years and above	90%	50%	76.61%	77.85%

TMI 3 - Upper limits to the total of principal sums invested longer than 364 days.				
This details the maximum amount which can be invested for up to 5 years (as per paragraph 1.7 of the Annual Investment Strategy).				
	Approved by Council 1 March 2017			
	2016/17 Limit £000	2017/18 Limit £000	2018/19 Limit £000	2019/20 Limit £000
Upper limit for more than 364 days	35,000	35,000	35,000	35,000
Actual and Forecast Invested at 30 June 2017	-	-	-	-
Variance (Under) / Over Limit	(35,000)	(35,000)	(35,000)	(35,000)

Borrowing Maturity at 30 June 2017

Page 29



Economic Background

The following economic background has been provided by the Council's Treasury Advisors, Capita Asset Services

UK

As a result of the General Election on the 8th June, the Conservatives have formed a minority government with the help of the DUP although it is unclear as to how stable this government will be. Nonetheless, discussions with regards to leadership and the UK's stance on Brexit remain key topics in respect of the economy. Markets have remained relatively calm in the immediate aftermath of the result, with Sterling holding at \$1.27 against the dollar and the FTSE 100 remaining close to 7,500.

The Bank of England (BoE) cut the bank rate for the first time since 2009 to 0.25% in August 2016, as the Monetary Policy Committee (MPC) voted unanimously in favour of a cut. It also expanded its Quantitative Easing (QE) programme by £60bn to £435bn, however three policymakers voted against the expansion. In addition, the BoE unveiled two new schemes: one to buy £10bn of high grade corporate bonds and the "Term Funding Scheme". This could be worth up to £100bn and is aimed at ensuring banks keep lending into the real economy even after rates have been cut. Both the Bank Rate and Quantitative Easing program were left unchanged in the June MPC meeting, however three members did vote for a rate hike.

The May Inflation Report showed the BoE amended its growth forecast for the UK to reach 1.9% in 2017. Inflation forecasts are now expected to remain above the 2% target until 2020.

The headline inflation figure, CPI, rose to 2.9% in May on an annual basis, whilst the monthly figure was recorded at 0.3%. The weaker pound is seen as a key contributor to this rise.

The second estimates for UK Q1 GDP showed quarterly growth slowed to 0.2% q/q. Growth rose by 2.0% y/y, an increase from 1.9% previously recorded in Q4 2016. Both figures were downward revisions from the previous estimates of 0.3% q/q and 2.1% y/y.

The UK unemployment rate remained at 4.6% in April 2017, the unemployment figure was recorded at 1.530m. British wage growth, including bonuses, rose by 2.1% in April on an annual basis. Excluding bonuses, growth in average weekly earnings in April rose by 1.7% year-on-year.

Nationwide revealed house prices fell for the third consecutive month in May by 0.2%, up slightly from the 0.4% fall recorded in April. On an annual basis, house prices in May rose by 2.1%. Both figures indicate that the household market is starting to lose momentum as the market experiences a slowdown. According to Halifax, house prices rose by 0.4% in May. In the three months to May, annual house price growth fell to a four-year low as it rose by 3.3% compared with the same period last year.

APPENDIX D

The Public Sector Net Borrowing stood at a deficit of £6.7bn in May, 4.9% lower than May 2016. Public Sector Net Borrowing, excluding state owned banks, for the 2017/18 financial year is forecast to come in at a deficit of £53.8bn. Public Sector Net Debt excluding banks stood at £1.737tn in May 2017.

In the March Budget the Government stated that they remain on course to meet their fiscal rules. The OBR expects borrowing to fall to 0.7% of GDP by 2021-22, which is forecast to be the lowest level as a share of GDP in two decades. Debt is expected to peak at 88.8% of GDP in 2017-18, before falling back to 79.8% of GDP in 2021-22.

US

The second estimates for Q1 GDP in the US was recorded at an annual growth rate of 1.2%, a fall from the 2.1% recorded in Q4 . It was reported that this slowdown was as a result of little growth in consumer spending which rose by 0.6%, the slowest pace since the fourth quarter of 2009.

In June 2017, the Fed raised interest rates to a range between 1.00%-1.25% after increasing them in March 2017. The stance of monetary policy remains accommodative, supporting further strengthening in labour market conditions.

Nonfarm payrolls increased by 138,000 in May, a fall from the downwardly revised 174,000 jobs created in April. The unemployment rate fell to 4.3%.

EU

Final figures for Eurozone Q1 2017 GDP showed quarterly growth at 0.6%. Q1 Annual growth rose to 1.9% from 1.8% recorded in Q4.

In its June meeting, the European Central Bank (ECB) stuck with the status quo keeping both its main refinancing rate and deposit rate steady at 0% and -0.40% respectively. The ECB announced their QE programme in January 2015 and began the programme in March 2015. They initially planned to inject €1.1trn into the economy by purchasing private and public assets worth €60bn per month, this was later expanded to €80bn per month. In its June 2017 meeting, the ECB confirmed that the net asset purchases are intended to run until the end of December, or beyond if necessary, at the monthly pace of €60bn.

China

China's annual GDP grew at a rate of 6.9% in the first quarter of 2017. This rise was driven by a surge in industrial activity, property investment and credit growth. Growth was strongest towards the end of the period suggesting momentum is building into the second quarter of 2017. The People's Bank of China temporarily lowered the reserve requirement ratio for the five biggest banks by 1% to 16% in January 2017.

In an attempt to boost its slowing economy, China surprised markets and devalued the Yuan after a run of poor economic data. It is intended to help combat the large falls seen in exports.

APPENDIX D

Interest Rate Forecast

The Council's treasury advisor, Capita Asset Services, has provided the following forecast:

	May-17	Jun-17	Sep-17	Dec-17	Mar-18	Jun-18	Sep-18	Dec-18	Mar-19	Jun-19	Sep-19	Dec-19	Mar-20
Bank rate	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.50%	0.50%	0.75%	0.75%
5yr PWLB rate	1.20%	1.40%	1.40%	1.50%	1.60%	1.70%	1.70%	1.80%	1.80%	1.90%	1.90%	2.00%	2.00%
10yr PWLB rate	1.90%	2.00%	2.10%	2.20%	2.30%	2.30%	2.40%	2.40%	2.50%	2.50%	2.60%	2.60%	2.70%
25yr PWLB rate	2.60%	2.70%	2.80%	2.90%	2.90%	3.00%	3.00%	3.10%	3.10%	3.20%	3.20%	3.30%	3.30%
50yr PWLB rate	2.40%	2.50%	2.60%	2.70%	2.70%	2.80%	2.80%	2.90%	2.90%	3.00%	3.00%	3.10%	3.10%

Disclosure for Certainty Rate

Certainty Rate								
This table details the information that is required to enable the Council to submit a return for 2017/18.								
	Approved by Council 1 March 2017				As at 30 June 2017			
	2016/17 Forecast £000	2017/18 Forecast £000	2018/19 Forecast £000	2019/20 Forecast £000	2016/17 Actual £000	2017/18 Forecast £000	2018/19 Forecast £000	2019/20 Forecast £000
Net Borrowing Requirement:								
Borrowing to finance approved capital expenditure	72,145	100,481	60,329	33,453	43,365	119,545	69,870	35,617
Existing maturity loans to be replaced during the year	103,605	132,000	31,537	50,000	56,925	109,114	58,000	68,000
Less:								
Minimum Revenue Provision for debt repayment	-	-	(8,182)	(14,457)	(21)	-	(7,632)	(14,922)
Voluntary debt repayment	(18,434)	(16,793)	(12,741)	(13,378)	(19,269)	(16,952)	(12,422)	(13,217)
	(18,434)	(16,793)	(20,923)	(27,835)	(19,290)	(16,952)	(20,054)	(28,139)
Loans Replaced Less Debt Repayment	85,171	115,207	10,614	22,165	37,635	92,162	37,946	39,861
Net Advance Requirement	157,316	215,688	70,943	55,618	81,000	211,707	107,816	75,478

Annual MRP Statement 2017/18

Minimum Revenue Provision – an introduction

1. What is Minimum Revenue Provision?

Capital expenditure is generally expenditure on assets which have a life expectancy of more than one year e.g. buildings, vehicles, machinery etc. In accordance with proper practice, the financing of such expenditure is spread over several years in order to try to match the years over which such assets benefit the local community through their useful life. The manner of spreading these costs is through an annual charge known as Minimum Revenue Provision (MRP), which is determined by the Council under guidance.

2. Statutory duty

The Local Authorities (Capital Finance and Accounting) (England) Regulations 2003 (as amended by Statutory Instrument 2008 no. 414 s4) lay down that:

“A local authority shall determine for the current financial year an amount of minimum revenue provision that it considers to be prudent.”

3. Government guidance

Along with the above duty, the Government issued guidance which came into force on 31 March 2008 which requires that a Statement on the Council’s policy for its annual MRP should be submitted to the full Council for approval before the start of the financial year to which the provision will relate.

The Council is legally obliged to “have regard” to the guidance, which is intended to enable a more flexible approach to assessing the amount of annual provision than was required under the previous statutory requirements. Although it is up to each Council to determine for itself how to calculate its MRP, the guidance suggests four methodologies, with an overriding recommendation that the Council should make prudent provision to redeem its debt liability over a period which is reasonably commensurate with that over which the capital expenditure is estimated to provide benefits. The requirement to ‘have regard’ to the guidance therefore means that:

1. Although four main options are recommended in the guidance, there is no intention to be prescriptive by making these the only methods of charge under which a local authority may consider its MRP to be prudent.
2. It is the responsibility of each authority to decide upon the most appropriate method of making a prudent provision, after having had regard to the guidance.

4. Timing

This statement shall take effect from 1 April 2017, unless an alternative date is stated below, and shall take precedence over any statements previously approved.

5. Calculation

MRP shall be calculated by adding together the amount calculated using the method as stated below.

Method

To be used for all capital expenditure taking into account only capital expenditure and financing decisions, and the classification of fixed assets, reflected in the Council's accounts for the preceding year.

With the variations set out below, MRP will be calculated, on an individual fixed asset basis (unless they are land or community assets (no depreciation), where it is capitalised under statute/direction (equal pay, REFCUS etc.) or when one grouped "asset" is created for MRP calculation purposes for each category for individual years), in accordance with the annuity method whereby MRP for each year will be the amount presumed to be the principal element of the equal amounts that would be payable each year in respect of a loan at the specified rate of interest that would reduce the outstanding principal amount to zero at the end of the estimated useful life.

The specified rate of interest will be the average interest rate of the Council's debt as at the end of the year preceding the first year in which the annuity rate is to be applied. Where the interest rate on debt is variable the rate to be used in calculating the average shall be the interest rate on the debt at 31 March of the year for which the average is being calculated.

MRP will thus be calculated in accordance with the following formula:

$$\text{PPMT (A,B,C,D-E) + F - G}$$

Where

PPMT is the PPMT financial function in Microsoft Excel 2010

A is the specified interest rate

B is the number of years (including the current year) for which MRP has been charged on an annuity basis

APPENDIX F

C is the useful economic life of the asset as at the start of the year for which MRP is first charged on an annuity basis. C shall be equal to the useful life of the fixed asset in question, as estimated by the Council. For assets with a useful life of more than 99 years, C shall equal 99. C shall not be varied for changes in the useful life of the asset unless the Council considers that special circumstances apply that would mean that a change would result in MRP being more reasonably calculated on a prudent basis; for example the useful life of a particular asset (as assessed for depreciation purposes) could change so dramatically that continued use of the option would no longer be supportable as prudent. For example, a property could be sold only a short time into its originally estimated useful life.

D is the total need to borrow for capital purposes (resulting from capital expenditure).

E is the aggregate value of any anticipated future capital receipts that are an integral part of the capital scheme in question. E shall be reviewed each year on performing the calculation, and amended if necessary.

F is an amount determined by the Section 151 Officer. The cumulative total of F, taken across all past and current years, shall never be less than zero.

G is an adjustment arising where the Section 151 Officer considers that the previous method of calculating MRP has been overly prudent. An adjustment can be made (G) to reverse the overly prudent sum; the following conditions apply to this adjustment:

- (a) The total MRP after applying this new adjustment (G) will not be less than zero in any financial year;
- (b) The cumulative total of this new adjustment (G) will never exceed the amount of the calculated overly prudent sum.
- (c) The use of the new adjustment will be reviewed on an annual basis or more frequently if there is a mid-year revision for any reason.

The Method shall be varied in the following circumstances:

- (a) For non-operational assets, for which no charge will be made. Where an asset is classed as non-operational because it is under construction, the method above will commence once the asset becomes operational.
- (b) For expenditure on fixed assets that are not or would not be classed as fixed assets of the Council in accordance with proper accounting practice, in these instances C shall initially be equal to the estimated remaining useful life of the fixed asset in question.
- (c) For expenditure capitalised under direction, for which C shall initially equal 20, and shall not be reviewed or amended.

APPENDIX F

- (d) For land acquired on or after 1 April 2015, no charge will be made. In circumstances where an acquisition relates to both land and buildings this policy will only be applied to the element relating to the land value.
- (e) For historical Magistrates' Courts Loan Charges, 4% charge will be made.
- (f) West Midlands Combined Authority: Collective Investment Fund
The agreed Combined Authority Devolution Deal proposes the establishment of a Collective Investment Fund to support investment in the region. It is possible that some of this investment may be delivered by individual districts, and funded from prudential borrowing.

MRP on capitalised loan advances to other organisations or individuals will not be required. Instead, the capital receipts arising from the capitalised loan repayments will be used as provision to repay debt. However, revenue MRP contributions would still be required equal to the amount of any impairment of the loan advanced.

MRP on investments in Equities will be made on an annuity profile over 20 years, as recommended by Government Guidance.

- (g) With regard to PFI and leases the most appropriate MRP method as deemed by the Section 151 Officer will be charged; either in accordance with the financial model imbedded in the legal agreements or annuity and useful economic life.
- (h) Where an asset is classified as an investment asset from 1 April 2013 and generates sufficient income to meet the total costs of borrowing, no charge will be made.

City of Wolverhampton Council
2017/18 Specified Investments Lending List as at 23rd June 2017

Institution	Country (Sovereign Rating)	Limit £000	Term Limit
Australia & New Zealand Banking Group Ltd	Australia (AAA)	10,000	6 mths
Bank Netherlandse Gemeenten	Netherlands (AAA)	20,000	12 mths
Bank of Montreal	Canada (AAA)	10,000	6 mths
Bank of Nova Scotia	Canada (AAA)	10,000	6 mths
Canadian Imperial Bank of Commerce	Canada (AAA)	10,000	6 mths
Commonwealth Bank of Australia	Australia (AAA)	10,000	6 mths
DBS Bank Ltd	Singapore (AAA)	10,000	6 mths
HSBC Bank plc	UK (AA)	10,000	6 mths
National Australia Bank Ltd	Australia (AAA)	10,000	6 mths
National Bank of Abu Dhabi	Abu Dhabi (U.A.E) (AA)	5,000	3 mths
Oversea Chinese Banking Corporation Ltd	Singapore (AAA)	10,000	6 mths
Royal Bank of Canada	Canada (AAA)	10,000	6 mths
Toronto Dominion Bank	Canada (AAA)	10,000	6 mths
United Overseas Bank Ltd	Singapore (AAA)	10,000	6 mths
Westpac Banking Corporation	Australia (AAA)	10,000	6 mths
Nationalised Banks			
Royal Bank of Scotland Group plc			
National Westminster Bank plc	UK (AA)	10,000	3 mths
The Royal Bank of Scotland plc	UK (AA)	10,000	3 mths
Money Market Funds		Fund Rating	
Invesco STIC Account	Fitch AAmmf	20,000	Instant Access
Standard Life Investments Sterling Liquidity Fund	Fitch AAmmf	20,000	Instant Access
Federated Short-Term Sterling Prime Fund	Fitch AAmmf	20,000	Instant Access
Black Rock Sterling Liquidity Fund	Moody's Aaa-mf	20,000	Instant Access
Scottish Widows Sterling Liquidity Fund	Moody's Aaa-mf	20,000	Instant Access

Non-rated Institutions

County Councils, London Boroughs, Metropolitan Districts and Unitary Authorities - limits £6m and 12 months.
Shire District Councils, Fire and Civil Defence Authorities, Passenger Transport Authorities and Police
Authorities - limits £3m and 12 months.

Cabinet Meeting

19 July 2017

Report title	EU Funded Projects – Payment of Grants to Delivery Partners	
Decision designation	RED	
Cabinet member with lead responsibility	Councillor John Reynolds City Economy	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Keren Jones, City Economy	
Originating service	Skills	
Accountable employee(s)	Heather Clark Tel Email	Service Development manager 01902 555614 Heather.Clark2@wolverhampton.gov.uk
Report to be/has been considered by	PLT 8 May 2017 SEB 16 May 2017	

Recommendation(s) for action or decision:

The Cabinet recommends that Council:

1. Approve a programme of reimbursement to pay grants to named Delivery Partners in reimbursement of costs associated with the delivery of European Union and Department of Business Energy and Industrial Strategy (BEIS) funded projects, in accordance with our Lead Authority role.
2. Delegate authority to Cabinet Member for City Economy, in consultation with the Director of Finance to use grant resources to reimburse delivery partner for all EU funded bids in line with their detailed project plans and financial profile to reimburse named delivery partners in line with Grant Agreements. The amounts could vary between years and partners.

That Cabinet agree to:

3. Provide delegated authority for the Cabinet Member for City Economy in consultation with the Service Director, City Economy, to agree grants to Small and Medium Size Enterprises

of up to £50,000 through the ERDF funded Black Country Transformational Growth Opportunities Local Delivery (GOLD) project.

4. Agree to enter into Grant Agreements with Delivery Partners in relation to Black Country Blue Network and Black Country Advice Investment Market (AIM).

1.0 Purpose

- 1.1 The purpose of the report is to request that Cabinet recommend to Full Council to approve a programme of reimbursement to pay grant to named Delivery Partners in reimbursement of costs associated with the delivery of European Union (EU) and BEIS (Department of Business, Energy and Industrial Strategy) funded projects.

2.0 Background

- 2.1 Cabinet (Resources) Panel agreed on 15 September 2015 to submit full bids as Lead Authority for Black Country Advice Investment Markets (AIM) and Transformational Growth Opportunity Local Delivery (GOLD). Cabinet (Resources) Panel agreed on 26 April 2016 to submit a full bid to ERDF as Lead Authority for Black Country Blue Network.
- 2.2 The Black Country Growth Hub offers a 'one stop shop' approach to business assistance across the Black Country, with packages of support available to local businesses. Cabinet (Resources) Panel agreed on 26 April 2016 the revenue budget for the Growth Hub and delegated authority to allocate the funding in line with the funding schedule.
- 2.3 Cabinet (Resources) Panel also agreed on 26 April 2016 to delegate authority for the Cabinet Member for City Economy in consultation with the Service Director, City Economy, to agree grants to Small and Medium Size Enterprises (SMEs) of up to £25,000 through the externally funded Black Country Transformational GOLD project. This report seeks approval to increase delegation to £50,000.
- 2.4 Cabinet (Resources) Panel agreed on 10 January 2017 to enter into Service Level Agreements (SLAs) with Delivery Partners relating to the delivery of the Black Country Blue Network project and on 15 September 2016 relating to Black Country AIM. This report seeks agreement to enter into Grant Agreements rather than SLAs.

3.0 Grants to reimburse costs

- 3.1 As Lead Authority, the City of Wolverhampton Council are responsible for the delivery, monitoring and compliance of the programme for all Delivery Partners, including the risk of clawback of grant from non-compliance or failure to deliver. The Lead Authority is responsible for:
- Submitting the bid on behalf of a number of delivery partners who are named in the bid;
 - Entering into a Grant Funding Agreement with the Managing Authority to deliver the project as set out in the bid;
 - Ensuring delivery of the project as per the funding agreement;
 - Collating evidence of spend and submit claims for grant funding;
 - Reimbursing Delivery Partners for eligible spend;
 - Ensuring compliance with EU rules and regulations.
 - Submitting change requests to amend delivery profiling of schemes where required.

3.2 To minimise risks associated with the Council being a Lead Authority, including clawback of grant, the following are undertaken:

- EU funded projects are set up and overseen by a team with experience of setting up and managing EU funded projects including putting systems in place and ensuring compliance;
- Appointment of an experienced ERDF Project Manager responsible for overseeing delivery against milestones, ensuring compliance and introducing a rigorous project and risk management process;
- Entering into Grant Agreements with named delivery partners to share the risk associated with Lead Authority status by passing, relevant obligations, rules and regulations from funding agreement to Delivery Partners. The move from Service Level Agreements to Grant Agreements is as a result of a recent review to ensure that the risk of the grant funding is appropriately shared in all cases with relevant delivery partners;
- Provide an information pack to Delivery Partners to ensure they deliver in line with the funding agreement and are compliant, providing one-to-one support if required;
- Check Delivery Partner claims to ensure evidence in place to support claim and delivery is compliant with EU rules and regulations including verification visits;

It should be noted that clawback would in most cases be proportionate to the issue, for example a missing invoice and hence lack of supporting information would result in clawback for the amount of that invoice not the whole amount.

- 3.3 Internal Audit are currently reviewing our Lead Authority processes, including ensuring Grant Agreements are in place to pass on risk appropriately to delivery partners, therefore minimising Wolverhampton's exposure to claw back liability.
- 3.4 As part of our role as Lead Authority, we must collate claims from the delivery partners on eligible spend against project delivery. We in turn compile a composite claim for all delivery partners and costs on a quarterly basis with defrayal evidence and then submit to DCLG. On receipt of the grant, we reimburse the delivery partners for their actual costs incurred. Due to the large number of projects, partners and regularity of claims and to increase efficiency of project management, we are seeking delegated authority to use grants resources to reimburse delivery partner for all EU funded bids in line with their detailed project plans, and financial profile to reimburse named delivery partners in line with Grant Agreements. The amounts could vary between years and partners. In future, agreement to become Lead Authority will include delegated authority to reimburse delivery partners as set out above.
- 3.5 Under the Council's constitution, payment to third parties that have not been procured, such as named Delivery Partners in ERDF funded projects, should have grant agreements in place. This report seeks approval to enter into grant agreements with Delivery Partners to reflect requirements of the constitution.
- 3.6 The Black Country Transformational Growth Opportunities Local Delivery (BCT GOLD) project will issue grants to Small and Medium Sized Enterprises (SMEs) to enable a sustainable step change in their working processes, business development and performance. SMEs will apply for grants using an application process. Decisions will be

made by the Investment Decision Group (IDG), the membership of which includes private sector representatives from financial and legal specialists, including Barclays and Santander. Previous approval was up to £25,000, however approval has been given by the Managing Authority, the Department of Communities and Local Government (DCLG), to increase the grant should the application be considered transformational.

4.0 Financial implications

- 4.1 As Lead Authority, the Council collates evidence of spend from delivery partners and reimburses eligible costs from the delivery of the project to delivery partners and then claim all costs back from the DCLG, and Walsall Council which is receiving funding for the Black Country Growth Hub directly from BEIS.
- 4.2 For **Black Country AIM**, based on delivery partners profiled spend and match funding contribution, the following grant payments are anticipated to reimburse eligible project spend:

Delivery Partner	2016	2017	2018	2019	Total
	£000's	£000's	£000's	£000's	£000's
Walsall Council	8	13	25	4	50
Sandwell Council	38	55	57	9	163
University of Wolverhampton	6	84	92	14	196
Black Country Consortium / Invest Black Country	49.5	73	84	9	215.5
Dudley Council	2.5	20	27	5	54.5
Black Country Chamber	22	139	168	20	349
City of Wolverhampton Council including shared costs	2	308	393	86	798
Total ERDF grant	128	692	846	151	1817

- 4.3 For **Black Country Blue Network**, based on delivery partners profiled spend and match funding contribution, the following grant payments are anticipated to reimburse eligible project spend:

Delivery Partner	2017	2018	2019	Grant £000s
	£000's	£000's	£000's	£000's
Environment Agency	13	22	2	37
Birmingham and Black Country Wildlife Trust	5	5		10
Walsall MBC	26	52	8	86
Canal and River Trust	80			80

City of Wolverhampton Council grant including shared costs	51	246	110	407
Total ERDF grant	175	325	120	620
Total Project Cost	350	650	240	1,240

- 4.4 The Black Country Growth Hub Strategic Board approved in February 2017 the following allocation of grant payments to partners for delivery of the **Black Country Growth Hub** objectives, on behalf of Walsall Council which is acting as Lead Authority:

Delivery Partner	Grant 2017/18	£000s
University of Wolverhampton		133
Black Country Consortium		117
City of Wolverhampton Council (including shared costs)		78
Total BEIS grant including City of Wolverhampton costs		328

- 4.5 As Lead Authority, any clawback on these grants would be claimed directly from City of Wolverhampton Council, as described the monitoring of schemes and legal agreements in place with all delivery partners mitigates this associated financial risk.
- 4.6 For **Black Country Transformational GOLD**, DCLG have agreed that the intervention rate can be increased for transformational projects. This will result in some projects being paid more than £25,000. The project will issue grants to SMEs of up to £50,000 with an intervention rate ranging from 10% to 50% of eligible project costs. Delegated authority is therefore sought to agree grants to Small and Medium Size Enterprises (SMEs) of up to £50,000. The financial profile of the project is based on an average intervention rate of 30% and ERDF grant award of £9000.
[HM/05062017/F]

5.0 Legal implications

- 5.1 As Lead Authority, the City of Wolverhampton Council will be required to enter into a funding agreement with the Department of Communities and Local Government (DCLG) which outlines the bid and also European rules and regulations that must be complied. Grant Agreements will subsequently be entered into with each Delivery Partner to set out their roles and responsibilities and ensure compliance with EU rules and regulations and minimise risk to the Lead Authority from non-compliance of delivery partners.
- 5.2 Grant Agreements will subsequently be entered into with each Delivery Partner to ensure compliance with their respective obligations, EU rules and regulations to minimise risk of clawback from the Lead Authority from non-compliance of delivery partners.
[RB/19052017/N]

6.0 Equalities implications

- 6.1 Equal opportunities is a cross cutting objective of all European funded bids, therefore must be considered in the delivery of all European funded projects with equalities data

monitored as part of delivery. The monitored equalities targets are set by the funder as part of the cross cutting themes.

7.0 Environmental implications

7.1 Sustainability is a cross cutting objective of all European funded bids, therefore must be considered in the delivery of all European funded projects.

8.0 Human resources implications

8.1 Project management costs are costed into the grant funded element of the project.

9.0 Corporate landlord implications

9.1 There are no corporate landlord implications.

10.0 Schedule of background papers

10.1 None

Appendix 1 Overview of ERDF and BEIS funded projects

Corporate Priority	Project
Place: Stronger Economy: An environment where new and existing businesses thrive	Black Country Advice Investment and Markets (AIM) will offer specialist support for Small and Medium Sized Enterprises (SMEs) pooling business support across four local authorities, the University and Chamber of Commerce, enhanced with specialist consultancy and delivered via the Growth Hub. The City of Wolverhampton Council is acting as Lead Authority on behalf of the Black Country. Funded by £1.8m ERDF against a total project cost of £3.8m.
Place: Stronger Economy: delivering effective core services that people want	Black Country Blue Network will create a high quality ecological network with a diverse range of habitats, centred on the area's historically important waterways and associated green spaces. This will be achieved through a three year programme of infrastructure and habitat improvements improve habitats along canals and rivers in the Black Country as well as other key nature greenspaces linked into this blue network facilitating better visitor management and improved access for local communities. The sites within Wolverhampton are Smestow Valley Local Nature Reserve (LNR) and Wyrley & Essington Canal Proposed LNR. Funded by £620,402 ERDF against a total project cost of £1.24m.
Place: Stronger Economy: An environment where new and existing businesses thrive	Black Country Growth Hub offers a one stop shop approach to business assistance across the Black Country, with packages of support available to local businesses. It aims to equip Black Country manufacturing Small and Medium Sized Enterprises (SMEs) with the tools and support they need to compete, innovate and take advantage of supply chain opportunities on offer to them. Funded by £328,000 BEIS funding.
Place: Stronger Economy: An environment where new and existing businesses thrive	Black Country Transformational Growth Opportunities Local Delivery (BCT GOLD) project will issue grants to Small and Medium Sized Enterprises (SMEs) to enable a sustainable step change in their working processes, business development and performance. SMEs will apply for grants using an application process. Funded by £1.6m ERDF against a total project cost of £5m. Delivery partners are providing match in the form of staff time but not receiving grants in reimbursement of costs. Approvals to issue grants to businesses are already in place. Funded by £1.6m ERDF against a total project cost of £5m.

Cabinet Meeting

19 July 2017

Report title	Wolverhampton Youth Justice Plan 2017-18	
Decision designation	RED	
Cabinet member with lead responsibility	Councillor Val Gibson Children and Young People	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Emma Bennett	
Originating service	Youth Offending Team (YOT)	
Accountable employee(s)	Sally Nash	Head of Service YOT Democracy 01902 553722 Sally.nash@wolverhampton.gov.uk
Report to be/has been considered by	YOT Management Board	21.6.2017
	People Leadership Team	3.7.2017
	SEB	11.7.2017

Recommendation(s) for action or decision:

The Cabinet recommends that Council:

Formally approve the adoption of the Youth Justice Plan 2017-18.

1.0 Purpose

- 1.1 The purpose of this report is to request that Cabinet recommend to Council the approval of the Youth Justice Plan for 2017-18. This is the plan relating to the work of the Youth Offending Team (YOT) partnership under the oversight of the YOT Management Board and the Safer Wolverhampton Partnership. The work of this plan is regularly reviewed by the YOT Management Board, which comprises membership from City of Wolverhampton Council, West Midlands Police, The Royal Wolverhampton Hospital Trust, Recovery Near You (substance misuse service), National Probation Service and the Chair of the Black Country Youth Court Bench.

2.0 Background

- 2.1 Under the Crime and Disorder Act 1998, each Local Authority is required to have in place arrangements for the delivery of Youth Justice services usually via a YOT. Central government provides a grant to support local Youth Justice work via the Youth Justice Board (YJB) which sits within The Ministry of Justice. A condition of the grant is the provision of satisfactory services that are outlined in the required production of an annual Youth Justice Plan. The Youth Justice Plan requires Full Council approval, as detailed in the constitution under the budget and policy framework.
- 2.2 The format for Youth Justice planning is prescribed by the Youth Justice Board and has varied over the years. The attached plan is compliant with current guidance and an action plan based on future risks to delivery is prepared to drive the work.
- 2.3 This plan has routinely involved significant partnership consultation and planning, and a draft was discussed at the strategic YOT Management Board on 21 June 2017. The plan is required to be officially submitted to the Youth Justice Board by 31 July 2017.
- 2.4 During 2016-17, Wolverhampton YOT worked with 284 statutory young offenders who committed 599 offences, the number of offences being almost exactly the same as in the previous year, although the number of young people committing those offences has reduced. A further 250 young people subject to pre-court 'Out of Court Disposals' and significant efforts are being made to address their assessed needs and issues to prevent them escalating into the Youth Justice system.
- 2.5 The Youth Justice Board Local Performance Adviser regularly monitors local YOT performance and feedback indicates that this YOT continues to perform well in respect of reoffending rates, and First Time Entrants. Every effort is made to provide constructive alternatives to custody, but it is of course accepted that some secure outcomes are both proportionate to the offences and necessary to protect the community.
- 2.6 The previous 2016-17 Youth Justice Plan was also accompanied by an action plan which was in fact the action planning relating to the suggested improvement outcomes of our very successful Inspection published in February 2016. It is pleasing to report that this action planning has been signed off as completed with some targets continuing to move

forward but progress recognised in all areas. The attached Youth Justice plan sets out the priorities moving forward that progress the drive for continuous improvement.

3.0 Financial implications

3.1 The gross partnership pooled budget for 2017-18 for the Youth Offending Service is £2.2 million. Following the deduction of partnership income contributions and other in-kind contributions of £800,000 from partners the approved net budget for the Council for the Youth Offending Service is £1.4 million

3.2 A breakdown of the partnership pooled budget for the Youth Offending Service is shown in the attached Youth Justice Plan 2017-18.
[NM/10072017/G]

4.0 Legal implications

4.1 YOT services are mandated in legislation and oversee Statutory Court Orders. It is a requirement for every area in England and Wales to provide YOT services.
[RB/30062017/S]

5.0 Equalities implications

5.1 The YOT provides services for some of the most vulnerable young people both as offenders, but also as victims of youth crime. There is on-going work to address the potential for disproportionality in the Youth Justice System. The YOT equality analysis will be refreshed alongside the action planning accompanying this Youth Justice Plan.

6.0 Environmental implications

6.1 There are no environmental implications.

7.0 Human resources implications

7.1 YOT employees work to City of Wolverhampton Terms and Conditions and policies or those of their seconding agency.

8.0 Corporate landlord implications

8.1 There are no Corporate Landlord implications..

9.0 Schedule of background papers

9.1 There are no background papers.

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Youth Justice Plan 2017-18

Wolverhampton (Final v.1)



Introduction

Wolverhampton Youth Offending Team (YOT) continues to work with some of the City's most challenging young people to prevent offending and reoffending. The Full Joint Inspection report published in February 2016 outlined strong performance within the top national quartile. Since this time we have delivered an Inspection Improvement Plan which was signed off successfully in Spring 2017. Operational delivery remains strong and well managed, confirmed by more recent audits. During 2016-17 there were a number of business process changes undertaken that supported the ongoing drive to be a confident and capable Youth Offending Team delivering high quality relevant services at a time of challenging resources.

This plan reviews our progress so far and outlines our plans for continuous improvement.

Key achievements in 2016-17

- Delivery and sign off of our Inspection Action Plan following our highly-rated report published in February 2016
- Reduction in the number of reoffences per offender below the national average
- Our National Standards Audit of services to Courts and Victims of Youth crime demonstrated strong practice
- We were part of the 'Good' OFSTED Inspection providing evidence of a strong partnership approach with Children's Services
- We have supported the development of a Black Country Youth Court sustaining our child focus within rationalised resources
- Strong resettlement approach for those in custody, embedding additional resources from the SOVA charitable organisation within our partnership approach
- Providing credible and safe options in the community for the Courts including a robust Intensive Surveillance and Supervision Scheme
- Our Section 11 Safeguarding Audit indicated we maintain and strive to always improve the protection of our children and young people
- Utilising our Police and Crime Commissioner grant from the Safer Wolverhampton Partnership (SWP) to develop a brief intervention approach to those young people on the cusp of the system receiving Community Resolutions
- Implementation of a new Youth Justice software system
- Training the workforce and embedding the 'ASSETplus' assessment framework in accordance with Youth Justice Board (YJB) requirements
- Transition of YOT data management to the centralised Business Intelligence Team (BIT) at City of Wolverhampton Council (CWC) facilitating a more coordinated approach to the understanding of our data
- Improving the participation of young people in shaping our services including the delivery of a Music Project in Spring 2017
- Delivery of a more flexible and innovative Junior Attendance Centre offer
- Offering the whole YOT workforce training in Restorative Practice as part of the drive to embed this model of working across the whole of Children's Services which consolidates our long maintained approach

- Ensuring the Reparation and activity offer is inclusive and creative
- Supporting our Cabinet Member for Children and Young People present our approach to a National Offender Management Conference
- Utilising CWC digital transformation programme to offer agile and more efficient working equipment to staff

What do young people say about us??

A recent 'Viewpoint' survey analysed by Her Majesty's Inspectorate of Probation (rated as 90% confidence level and error margin 10%) told us that:

- 85% of young people said that work with the YOT had made them realise that change is possible
- 97% of young people thought YOT services good or very good
- 40% of those responding to the survey identified themselves as white
- 89% of young people who had a Referral Order Contract felt they had enough say in its preparation
- 90% of young people subject to Referral Orders understood that their contract was to reduce reoffending
- 95% of young people felt they had enough say in their supervision plan
- 100% of young people reported they were asked about what would help them stop offending
- 85% of young people said that they had got better in their attitude to drugs
- 95% of young people said YOT workers did enough to help them take part in their Order

These headlines from an objective national survey with a sample size of 60 tell us that young people are understanding the approach of the YOT. Over the next planning cycle we are seeking to further engage with young people about their needs and wishes to shape our services.

Structure and governance

The work of the YOT is overseen by a well-attended strategic quarterly YOT Management Board (YMB) which receives regular reports on

- Resourcing: both finance and staffing including holding partners to account for any proposed changes
- Performance data in respect of three key national drivers and other local priorities – Reducing Reoffending; First time entrants to youth justice; custody rates and engagement of young offenders in education training and employment.
- National, regional and local developments including Inspection reports, the implications of the Taylor Report, the work of the Police and Crime Commissioner, the development of a Combined West Midlands Authority
- Operational practice presentations which bring alive the work of the YOT to those responsible for strategic decision making and development

- Compliance with YJB grant conditions for example the timely submission of this plan and data returns
- Ensuring Community Safety and Public Protection Incidents provide appropriate opportunities for operational and strategic learning. These are further embedded in the work of the Wolverhampton Safeguarding Children's Board Serious Case Review Committee
- Safeguarding remains a standing item on the YMB agenda to allow any other Strategic or Operational safeguarding issue to be raised within this forum.

All of this is with a view to driving continuous improvement through a Strategic Action Plan, shaping future services in response to presenting trends and need. The YMB is a learning meeting where partners can share collective wisdom and experience to shape the future of Youth Justice in Wolverhampton. At all times the needs of children and young people stay at the heart of the agenda.

The YOT is managed by the CWC within the Children's Service Area and is well placed to contribute to the wider agenda of CWC and the broader SWP. Reports about the work of the YOT are regularly presented to the CWC 'People' Leadership Team, the Strategic Executive Board and through Scrutiny and Cabinet. Particular areas of focus are reported within particular interest committees for example the Education Board. This Youth Justice Plan is approved and endorsed by CWC Cabinet and the Safer Wolverhampton Partnership.

Reducing Reoffending

The main aim of the Youth Justice system is to prevent offending and reoffending. The YJB Regional Performance Manager regularly assists the YMB with reports surrounding our reoffending performance. There is a 'task and finish' group from the YMB looking to target and embed the nationally developed reoffending toolkit which should provide more up to date business intelligence in terms of reoffending trends moving forward.

Reoffending rates are reported in a variety of ways. The most recent data from the YJB which has been tracked historically indicates that the binary rate of reoffending (any offender who reoffends) is slightly higher than the national and regional average. However, the number of reoffences those offenders commit and the frequency rate of reoffending is significantly lower than the regional and national averages for the same period and this trajectory is reducing for Wolverhampton. The story behind these figures is explored by the YMB but it is recognised that more up to date data and trends would assist in more efficient business planning.

Operational initiatives to reduce reoffending in the YOT are central to our work and include:

- Compliance meetings with young people and their carers to ensure that any deterioration in their response to YOT programmes of intervention is quickly understood, addressed and improved
- 7 day per week services for our most challenging and risky service users

- Involvement of young people in shaping our services and listening to their feedback
- Working with the Voluntary Sector to ensure services are diverse and relevant to our whole service user population e.g. SOVA, CATCH 22, Core Assets (IMPACT).
- ASSETPLUS – Continue to embed the comprehensive new assessment tool, which is strength and desistance focussed to improve targeting of smart and timely interventions
- Improved liaison with our partners within Children’s Services e.g. the ‘Looked After Children Transitions Team to produce better outcomes for our mutual population
- Work within the SWP and Children’s partnerships to address the increasing threat of gang and youth violence, in particular the prevalence of weapon involved crime.
- Learn the lessons from our Interventions research to ensure that we understand what is best and effective practice
- Use of the BIT to develop the use of the YJB Reoffending Toolkit to provide more timely data to understand the patterns and trends in current reoffending.

First Time Entrants (FTE) to the Youth Justice system

Both the YJB frequency rate per 100,000 and the actual binary number of FTE for 2016-17 compared against 2015-16 data has shown a decrease of 11.8% and 10% respectively. However, the YJB frequency rate for Wolverhampton remains above both the national and regional average. Recent trends have identified that offences of violence against the person and theft are the most common for FTE. The YOT partnership has recognised the need to address this, and work has been undertaken with the Early Help service to ensure that assessed needs and interventions offered upstream of statutory services include the propensity of children and young people (CYP) to offend. This upturn also reflects the changes in the number of low level Out of Court Disposal outcomes which would not have been previously included in these figures.

Key initiatives to prevent the increase in FTE:

- Development of Early Help assessment to identify upstream CYP at risk of offending
- Introduction of Community Resolution clinic to offer intervention and signposting to CYP on the cusp of FTE
- Work with schools and private Care Home providers to ensure that prosecutions for inappropriate behaviour are minimised and very much the last resort
- Work within the partnership to ensure the universal offer to CYP particularly in respect of Education is engaged with and relevant to the level of need.

Use of custody

It is recognised that some CYP need to be detained for the protection of themselves and the wider community, and that this would be a reflection of the severity of their offending. The YMB receives regular reports on custody rates, but also seeks assurance that those who are detained in the Secure estate are those for whom all other options have been exhausted or their sentence is proportionate to the crime committed.

The YOT Management Board receives regular reports in respect of disproportionality in the system and has been concerned and exercised by the over-representation of black young men in custody. The YOT will be involved in utilising the YJB disproportionality toolkit to closely monitor trends and shape the YOT responses to this issue.

Wolverhampton the rate of custody per 1,000 young people in the community is higher than the national and Midlands average, but is currently on a downward trajectory following a peak in 2016. Examination of individual custodial outcomes occurs after each sentencing event and the YOT senior management are generally satisfied that the YOT efforts to provide alternatives to custody for the Court are relevant and robust.

The other use of the Secure Estate is for CYP on remand and it is recognised that the YJB devolved budget is insufficient for the level of demand in Wolverhampton. The financial margins in these arrangements are small and a single adverse outcome can completely impact upon the budget. The overspend against this budget provision for 2016-17 £130,000. The YOT works hard to provide credible bail packages to the courts, but the ongoing difficulty in accessing bespoke placements for our most challenging children within such small timescales, can produce adverse Secure outcomes in Court. In addition, the YOT partnership is working to adhere to the PACE Concordat and produce a local protocol so that those vulnerable children detained in police cells have better options overnight.

The YOT works to ensure that the ambition to save the use of custody for cases where it is truly the only proportionate option by the following:

- Producing quality gatekept reports to the court, supported by proportionate and credible community sentence recommendations
- The maintenance of a robust ISS scheme offering oversight and creative interventions to address risky offending and offer real alternatives to custody and secure remands.
- Maintaining the confidence of the court in all tiers of interventions and bail options e.g. Referral Order panels by offering shadow visits, presentations to Youth Court Panel meetings etc.
- Clear and credible compliance and, where necessary, enforcement procedures
- A clear risk management policy that reviews and maintains management oversight
- Utilising the Voluntary and Third Sector to ensure relevance of service to all sectors of the community
- Use business intelligence to further understand disproportionality
- Developing clear guidance and working protocols with Children Services in the response and management of remand bail requests to avoid where appropriate secure remands.

Engagement in Education Training and Employment (ETE)

This is no longer a nationally collected indicator, but the local YOT partnership has recognised that engagement in ETE is a key protective factor against offending. The Inspection report published in 2017 recognised that there needed to be significant improvements in both the offer and engagement of young offenders in ETE and this was the main component of our inspection action plan. It is recognised that many of the changes required to effect improvement in the engagement of YOT young people in ETE will take some time to embed, and this is reflected in the out-turn figures for 2016-17 of 60%.

What can be proven at present is that young people exiting YOT orders are better engaged with ETE than they were at the start of their order. However, their entry level is significantly low and the wider partnership is working to understand how this occurs.

An ambitious target of 80% engagement has been set by our Education Board for 2017/18 and this continuous improvement will be driven by:

- The extension of the LAC Virtual Head role to include all YOT young people
- Work with Designated Teacher School forum to raise the profile and needs of young people who are disengaged from school age education
- Greater strategic support for YOT meetings convened to track those who are disengaged and ensure swift responses for a new more relevant offer
- Work with schools to encourage restorative responses to challenging behaviour
- Work within the local partnership to address the threat of increasing use of weapons and gang violence
- Support the development of the post 16 offer
- Support the SEND improvement strategy and action planning
- Dedicate YOT resources to assist ETE engagement
- The addition of Core Assets staff to the YOT workforce, funded by the European YEI IMPACT to encourage the engagement of the 16 plus age group in ETE

Resources and Value for Money

The Wolverhampton YOT partnership receives a variety of resources both financial and in kind from its partners all of which are overseen and understood within the strategic YOT Management Board.

The YJB grant is a main source of financial income that is used to finance staffing to support the wide range of Youth Justice functions undertaken across the partnership.

Appendix One to this Plan is the Youth Justice Application framework which indicates the finance and in kind contributions made by local partners. It is noted that in these resources some part of the local approach to Early Help and Crime Prevention is involved including the PCC grant.

In accordance with the Crime and Disorder Act 1998, Wolverhampton YOT receives contributions from all statutory partners – Police, Education, Health, Probation and Social Care. The level and type of these contributions has changed over the years since the

inception of YOTs, but all partners are active participants in YOT strategic and operational delivery. Any proposal to change the levels of resourcing are presented at YMB for discussion and ratification. It is pleasing to report that since our last YJ plan, a Children Adolescent Mental Health Services (CAMHS) practitioner is now in place in the YOT and service delivery has been greatly enhanced by this important component of our delivery. Health delivery within the YOT is of note with mental health, primary care and substance delivery all being represented as separate staff members, whilst working to achieve a joined up seamless approach to delivery.

CWC has historically made the biggest in-kind and financial contribution to the work of the YOT, and as part of Children's Service the YOT has been required to contribute to efficiency savings. However, the YOT has also been able to utilise CWC drives for efficiency improvements such as digital transformation and Business Intelligence to produce coordinated and more efficient business processes.

The Junior Attendance Centre continues to receive a ring-fenced budget from the YJB and this is now being utilised to provide bespoke and flexible services for young people generally more significantly involved in the Youth Justice system. The number of referrals from Wolverhampton has been steady and manageable. We have been pleased to consolidate our partnerships with Wolverhampton College and the Dog's Trust amongst others, to offer a diverse, and meaningful programme. It is intended that longer term we will seek to accredit our programmes.

Partnership Arrangements

The Youth Offending Team has strong links with key partnerships within the Children's and Community Safety areas of work.

The YOT Head of Service chairs the local Serious Case Review Sub Committee and is a full member of the local Safeguarding Board. The Sub Committee considers any Community Safety Public Protection Incidents alerted by the YOT to the YJB and as such there is an added layer of partnership oversight. The YOT undertakes an annual Section 11 audit providing evidence of our ongoing commitment to protecting vulnerable children. The YOT is represented at fora working to address issues of Child Sexual Exploitation (CSE), trafficking and the needs of those with various types of disability including learning disability. All young people attending the YOT are assessed for their risks to others, their risk of reoffending, and their individual safety and wellbeing issues. The YOT has strong links with the Multiagency Safeguarding Hub and can utilise referral procedures where necessary. The YOT leads on PREVENT training for Children's Services and recognises the growing climate of concern in respect of terrorist activity and the need to identify early the potential for radicalisation. The YOT is working to improve the step up and step down relationships with Early Help and other Children's Services.

Within the Safer Partnership, the YOT HOS is a full member of the Partnership Board and also attends the Delivery Board. The YOT has strongly contributed to the Gangs and Youth Violence Strategy and is actively working to understand the increasing tensions in the local community. The YOT has contributed to the PCC review of Youth Justice

Services and welcomes the opportunity to consider regional development and opportunity.

Risks and Actions for Future Delivery

Emerging trends and concerns in relation to Gang and Youth Violence will be a key component of our work moving forward as a YOT partnership. The level of risk and concern of both professionals and service users presents us with a challenge to ensure that young people feel safe in our community whilst accessing relevant services.

The embedding of Restorative Practice across Children's Services provides a real opportunity for the YOT to share its wisdom and history of work with this focus with a view to producing wider and better outcomes for CYP across the City.

In addition to this overarching plan with its continued focus on reducing reoffending, FTE, use of custody and ETE the YMB has an action plan to address a number of key areas of priority and delivery for the next year. Within this plan the three key areas that will be given significant priority will be:

- Addressing and responding to Gang and Youth Violence
- Achieving the ETE 80% engagement target
- Reducing the use of Youth Detention Accommodation and accessing remand placements in the community with Children Services.

The plan will therefore include the following:

- YOT contributing to a task and finish group reporting to the Multi-agency gang steering group to co-ordinate statutory and voluntary responses to Gang and Youth violence.
- YOT Action Plan to specifically address and respond to Gang and Youth Violence.
- Work with the local OMU to sustain MAPPA, Deter and serious offender management arrangements, including the management of Gang and Youth Violence.
- Sustain the targeted approach to the safeguarding and offending risks created by CSE
- Work with schools to improve engagement outcomes, reduce criminalisation and ensure that young people thrive
- Strengthen YOT remand management and review the remand offer with Children Services.
- Continually seek the opportunities provided by the community and voluntary sector to enhance and shape our services
- Continuing development of services with The Way Youth Zone to ensure that YOT young people are accessing the best of facilities
- Work with the Secure Estate to further improve communication and information exchange including health outcomes
- BIT to develop the Reoffending Toolkit

- Achievement of a local protocol in respect of PACE Concordat
- Improve the participation of CYP in shaping YOT services
- Achieve a health triage system that unifies delivery within the YOT whilst respecting the separate professional disciplines
- Sustain and improvement our Transition to adulthood arrangements

Approval

This plan is approved by the YOT partnership and signed off by the Chair of the YOT Management Board. It is also subject to Cabinet approval within CWC

Appendix and Table 1: Partner contributions to the youth offending partnership pooled budget 2017-18

Agency	Staffing costs (£)	Payments in kind – revenue (£)	Other delegated funds (£)	Total (£)
Local authority*	1,187,359	21,907	262,737	1,472,003
Police Service	27,360	58,800		86,160
National Probation Service		58,000		58,000
Health Service		118,786		118,786
Police and crime commissioner**	66,000			66,000
YJB Practice Grant	434,481			434,481
Welsh Government				
Other***		16,320		16,320
Total	1,715,200	273,813	262,737	2,251,750

* For multi-authority YOTs, the totality of local authority contributions should be described as one figure.

** Any money from the police and crime commissioner that has been routed through a local crime reduction partnership should be included here.

*** It should be noted that the 'Other' category is for additional funding that the YOT can use for any general youth justice activities.

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Cabinet Meeting

19 July 2017

Report title	Draft Budget and Medium Term Financial Strategy 2018-2019 - 2019-2020	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor Andrew Johnson Resources	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Keith Ireland, Managing Director	
Originating service	Strategic Finance	
Accountable employee(s)	Claire Nye Tel Email	Director of Finance 01902 550478 Claire.Nye@wolverhampton.gov.uk
Report to be/has been considered by	Strategic Executive Board Confident Capable Council Scrutiny Panel	4 July 2017 27 September 2017

Recommendations for decision:

That Cabinet is recommended to approve:

1. That the budget reduction proposals amounting to £12.5 million in 2018-2019 be further developed, including the necessary equalities analyses, for inclusion in the Draft Budget and Medium Term Financial Strategy 2018-2019 – 2019-2020, to be reported to Cabinet in October 2017 for approval to proceed to the formal consultation and scrutiny stages of the budget process.
2. That work continues between July and October 2017 to further develop and identify additional budget reduction and income generation proposals totalling £2.3 million, in order to ensure that a balanced budget can be set in 2018-2019.

3. That work continues to identify additional recurring budget reduction opportunities that will work towards the remaining budget challenge to be delivered by 2019-2020. An update on progress will be incorporated into the October report to Cabinet.

Recommendations for noting:

That Cabinet is asked to note:

1. That of the total £12.5 million budget reduction proposals identified at this stage for 2018-2019, £5.0 million are ongoing budget reduction proposals, as detailed in Appendix A, whilst £7.5 million are one-off budget reduction proposals, as detailed in Appendix B. Therefore, a significant element of the budget reduction proposals relate to one-off opportunities that can be achieved in 2018-2019. Taking this into account, the remaining cumulative budget challenge to be identified by 2019-20 stands at £15.5 million.
2. That the updated projected deficit assumes the achievement of budget reduction proposals amounting to £33.8 million over the three year period to 2019-2020. Over the last seven financial years the Council has identified budget reductions in excess of £200.0 million. This continues to be the most significant financial challenge that the Council has ever faced.
3. That due to external factors, budget assumptions remain subject to change. This could therefore result in alterations to the financial position faced by the Council.
4. That while significant progress is being made towards identifying the projected budget deficit for 2018-2019; work continues to identify possibilities to deliver the remaining £2.3 million of budget reduction and income generation targets for 2018-2019.
5. That the General Fund revenue outturn position for 2016-2017 was a net underspend of £266,000 (-0.12%) against the net budget requirement of £217.4 million, after meeting the net cost of redundancy after the use of capital receipt flexibility and contributions to essential specific reserves, as reported to Cabinet at this meeting in the Revenue Budget Outturn 2016-2017 report.
6. That the positive General Fund outturn position for 2016-2017 will help to support the Council's short term financial position, enabling one-off investment to support transformation of the Council, however, it is important to note that it does not address the challenging financial position that the Council finds itself in over the medium term; as detailed in this report.
7. That an element of the underspend arising within the 2016-2017 General Fund outturn is already factored into the Council's Medium Term Financial Strategy (MTFS), including the early achievement of approved budget reductions.

8. That the Council's General Fund Balance remains at £10.0 million; the minimum balance as determined in the Council's approved Reserves and Balances Policy. Emphasis therefore continues to be placed on identifying budget reductions and income generation proposals to meet the projected budget deficit over the medium term.
9. That the 2018-2019 budget timetable will, as in previous years, include an updated report presented to Cabinet in October 2017 detailing budget reduction and income generation proposals that will be subject to formal budget consultation and scrutiny during October – December 2017. Further to this, an update on all budget assumptions and the Provisional Local Government Settlement will be presented to Cabinet by January 2018, with the final budget report due to be approved by Full Council in March 2018.

1.0 Purpose

- 1.1 The purpose of this report is to provide Councillors with an update on progress towards identifying additional budget reduction proposals in order to address the projected £14.8 million budget deficit for 2018-2019.
- 1.2 This report is the first of the financial year on the budget and Medium Term Financial Strategy (MTFS) and provides an update on some key factors, the timetable for the budget process and the risks in relation to them.

2.0 Background and Summary

- 2.1 The 2017/18 Budget and Medium Term Financial Strategy (MTFS) 2017/18 - 2019/20 was presented to Full Council for approval on 1 March 2017. After updating the MTFS for changes in assumptions and the outcome of the Local Government Finance Settlement, the Council was able to set a balanced budget for 2017-2018 without the use of general fund reserves; however the Council is now faced with finding further estimated budget reductions totalling £20.5 million by 2019-2020.
- 2.2 It is important to note that the updated projected deficit assumes the achievement of budget reduction proposals amounting to £33.8 million over the three year period from 2017-2018 to 2019-2020. Over the last seven financial years the Council has identified budget reductions in excess of £200.0 million. This continues to be the most significant financial challenge that the Council has ever faced.
- 2.3 In March 2017, Full Council approved that work started immediately to identify £14.8 million of budget reduction and income generation proposals to address the projected deficit in 2018-2019, with an update on progress to be reported to Cabinet in July 2017.
- 2.4 A further £5.7 million of budget reduction and income generation proposals need to be identified, over and above the target for 2018-2019, in order to address the projected budget deficit over the medium term to 2019-2020.
- 2.5 It should be noted that due to external factors, budget assumptions remain subject to change. This could therefore result in alterations to the financial position faced by the Council.
- 2.6 Since the 2017-2018 budget was set, detailed work has progressed across all areas of the Council to identify £14.8 million of budget reduction and income generation targets for 2018-2019.
- 2.7 This report provides an update on the identification of budget reduction and income generation proposals for 2018-2019, proposes a high level strategy for budget reduction proposals over the medium term to 2019-2020 and details the pressures that the Council currently faces.

3.0 Proposals for 2018-2019

- 3.1 Since the 2017-2018 budget was set in March 2017, detailed work has taken place to identify budget reduction and income generation opportunities for 2018-2019.
- 3.2 When identifying budget reduction and income generation opportunities, the Council's strategic approach to address the budget deficit continues to be to align resources to the Corporate Plan to achieve:
- a Stronger Economy,
 - a Stronger Community,
 - a Stronger Organisation.
- Investment in the future is essential for both the Council and the City.
- 3.3 The 2018-2019 proposals that have been identified at this stage are summarised by Cabinet Portfolio in the table below:

Table 1 – 2018-2019 Proposals by Cabinet Portfolio

Cabinet Portfolio	No.	2018-2019 £000
Resources	9	(10,890)
Governance	3	(230)
City Assets and Housing	1	(1,000)
City Environment	1	(400)
Adults	-	-
Children and Young People	-	-
Public Health and Wellbeing	-	-
City Economy	-	-
Education	-	-
Total	14	(12,520)

- 3.4 As can be seen from the table above, the Council has currently identified a total of £12.5 million budget reduction proposals towards the strategy of identifying £14.8 million for 2018-2019. Further details on the proposals can be found in Appendices A and B.
- 3.5 Whilst this represents significant progress towards identifying the projected budget deficit for 2018-2019, work is continuing to identify possibilities to deliver the remaining estimated £2.3 million of budget reduction proposals required for 2018-2019. It is therefore proposed that Cabinet approve that work continues between July and October 2017 to further develop and identify additional budget reduction and income generation proposals totalling £2.3 million in order to ensure that a balanced budget can be set in 2018-2019.

- 3.6 Of the total £12.5 million budget reduction proposals identified at this stage for 2018-2019, it is important to note that £5.0 million are ongoing budget reduction proposals, as detailed in Appendix A, whilst £7.5 million are one-off budget reduction proposals, as detailed in Appendix B. Therefore, a significant element of the budget reduction proposals relate to one-off opportunities that can be achieved in 2018-2019. Taking this into account, the remaining cumulative budget challenge to be identified by 2019-2020 stands at £15.5 million.
- 3.7 Given the challenging financial environment which the Council finds itself in, a focus on medium term financial planning is vital. It is therefore proposed that Cabinet approve that work continues to identify additional recurring budget reduction opportunities that will work towards the remaining budget challenge to be delivered by 2019-2020. An update on progress will be incorporated into the October report to Cabinet.
- 3.8 As in previous years, the proposals for 2018-2019 will be classified as either Budget Reduction and Income Generation Proposals or Financial Transactions and Base Budget Revisions. Budget Reduction and Income Generation Proposals are those upon which the outcome of formal budget consultation is required, whilst Financial Transactions and Base Budget Revisions are proposals which can be implemented without reliance on the outcome of formal budget consultation. At this stage, the majority of proposals currently identified are Financial Transactions and Base Budget Revisions.
- 3.9 It is important to note that the projected deficit approved by Council in March 2017 assumes the achievement of budget reduction proposals identified across most portfolio areas amounting to £33.8 million over the three year period from 2017-2018 to 2019-2020.

4.0 General Fund Outturn and General Balances

- 4.1 The General Fund revenue outturn position for 2016-2017 was a net underspend of £266,000 (-0.12%) against the net budget requirement of £217.4 million, after meeting the net cost of redundancy after the use of capital receipt flexibility and contributions to essential specific reserves, as reported to Cabinet at this meeting in the Revenue Budget Outturn 2016-2017 report.
- 4.2 The positive General Fund outturn position for 2016-2017 will help to support the Council's short term financial position, enabling one-off investment to support transformation of the Council, however it is important to note that it does not address the challenging financial position that the Council finds itself in over the medium term; as detailed in this report.
- 4.3 An element of the underspend arising within the 2016-2017 General Fund outturn is already factored into the Council's Medium Term Financial Strategy, including the early achievement of approved budget reductions. Nevertheless, a comprehensive review of all service areas will take place to challenge areas of underspend in 2016-2017. Any budget reductions arising as a result of this review will be incorporated into the Draft

Budget and Medium Term Financial Strategy report due to be presented to Cabinet in October 2017.

- 4.4 The General Fund Balance remains at £10.0 million; the minimum balance as determined in the Council's approved Reserves and Balances Policy. Emphasis continues to be placed on identifying budget reductions and income generation proposals to meet the projected budget deficit over the medium term.

5.0 Update on Key Factors

- 5.1 The assumptions used in the preparation of the budget and Medium Term Financial Strategy (MTFS) remain under constant review and update.
- 5.2 The 2017-2018 budget includes previously approved budget reductions totalling £23.4 million. The achievement of these budget reductions is monitored throughout the financial year during the revenue budget monitoring process, with updates provided to Cabinet (Resources) Panel quarterly on the forecast outturn by service.
- 5.3 In the Revenue Budget Outturn 2016-2017 report, presented to Cabinet at this meeting, the outturn includes budget pressures that have been realised within some service areas including Waste and Recycling and Learning Disabilities Assessment & Care Management due to the delayed achievement of some budget reduction proposals. In addition to this, pressures against care purchasing budgets due to increasing demand for support also created a budget pressure in 2016-2017. Service budgets will be closely monitored throughout 2017-2018, with service areas focused on identifying ways to mitigate any pressures that arise.

6.0 Budget Risk Management and Timetable

- 6.1 A summary of the 2018-2019 budget setting process timetable is detailed in the table below:

Table 2 – Budget Timetable

Milestone	Deadline
Report to Cabinet	19 July 2017
Intensive work to develop proposals	July – October 2017
Draft Budget and Medium Term Financial Strategy (MTFS) 2018-2019 – 2019-2020 report to Cabinet	18 October 2017
Formal Budget Consultation and Scrutiny	19 October – 31 December 2017
Report to Cabinet (Resources) Panel following the Local Government Financial Settlement	16 January 2018
Final Budget Report 2018-2019 to Cabinet	21 February 2018
Full Council Approval of Final Budget 2018-2019	7 March 2018

6.2 The overall level of risk associated with the Draft Budget and Medium Term Financial Strategy (MTFS) 2017-2018 – 2019-2020 is assessed as Amber. The following table provides a summary of the risks associated with the MTFS, using the corporate risk management methodology.

Table 3 - General Fund Budget Risks 2017-2018 – 2019-2020

Risk	Description	Level of Risk
Medium Term Forecasting	Risks that might materialise as a result of the impact of non-pay inflation and pay awards, uptake of pension auto enrolment, Equal Pay and National Living Wage	Amber
Budget Management	Risks that might materialise as a result of the robustness of financial planning and management, in addition to the consideration made with regards to the loss of key personnel or loss of ICTS facilities	Green
Transformation Programme	Risks that might materialise as a result of not identifying budget reductions, not delivering the reductions incorporated into the budget and not having sufficient sums available to fund the upfront and one-off costs associated with delivering budget reductions and downsizing the workforce.	Amber
Reduction in Income and Funding	<p>Risks that might materialise as a result of the Final Local Government Finance Settlement.</p> <p>Risks that might materialise as a result of income being below budgeted levels, claw back, reduction to government grant or increased levels of bad debts.</p> <p>The risk of successful appeals against business rates.</p>	Amber
Service Demands	Risks that might materialise as a result of demands for services outstretching the available resources.	Amber
Third Parties	Risks that might materialise as a result of third parties and suppliers ceasing trading or withdrawing from the market.	Amber

Government Policy	Risks that might materialise as a result of changes to Government policy including changes in VAT and taxation rules, the impact of exiting the European Union and, in particular, from the Care Bill.	Red
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7.0 Financial Implications

7.1 The financial implications are discussed in the body of the report.
[MH/04072017/H]

8.0 Legal Implications

- 8.1 The Council's revenue budgets make assumptions which must be based on realistic projections about available resources, the costs of pay, inflation and service priorities and the likelihood of achieving any savings proposals.
- 8.2 The legal duty to spend with propriety falls under S.151 Local Government Act 1972 and arrangements for proper administration of their affairs is secured by the S.151 Officer as Chief Financial Officer.
- 8.3 Section 25 of the Local Government Act 2003 requires the Chief Financial Officer to report to the Council when it is making the statutory calculations required to determine its council tax. The Council is required to take this report into account when making its budget decision. The Chief Financial Officer's report must deal with the robustness of the budget estimates and the adequacy of the reserves for which the budget provides. Both are connected with matters of risk and uncertainty. They are inter-dependent and need to be considered together. In particular, decisions on the appropriate level of Reserves should be guided by advice based upon an assessment of all the circumstances considered likely to affect the Council.
- 8.4 The relevant guidance concerning reserves is Local Authority Accounting Panel Bulletin 77, issued by CIPFA in November 2008. Whilst the Bulletin does not prescribe an appropriate level of reserves, leaving this to the discretion of individual authorities, it does set out a number of important principles in determining the adequacy of reserves. It emphasises that decisions on the level of reserves must be consistent with the Council's MTFs, and have regard to the level of risk in budget plans, and the Council's financial management arrangements (including strategies to address risk).
- 8.5 In addition, Section 114 of the Local Government Finance Act 1988 requires the Chief Financial Officer to '**...make a report ... if it appears to him that the Authority, a committee or officer of the Authority, or a joint committee on which the Authority is represented**':
- (a) has made or is about to make a decision which involves or would involve the Authority incurring expenditure which is unlawful,
 - (b) has taken or is about to take a course of action which, if pursued to its conclusion, would be unlawful and likely to cause a loss or deficiency on the part of the Authority, or

(c) is about to enter an item of account the entry of which is unlawful.

- 8.6 The Chief Financial Officer of a relevant Authority shall make a report under this section if it appears to him that the expenditure of the Authority incurred (including expenditure it proposes to incur) in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.
- 8.7 These statutory requirements will have to be taken into account when making final recommendations on the budget and council tax requirement for 2018-2019.
[TS/10072017/W]

9.0 Equalities implications

- 9.1 The further development of the various budget reduction proposals for Cabinet's consideration in October will include an initial equalities screening for each proposal and, where necessary, a full equalities analysis. This will enable Councillors to pay due regard to the equalities impact of their budget decisions. The Council will publish the equalities analyses as part of its public consultation around the 2018-2019 budget.

10.0 Human resources implications

- 10.1 In line with the Council's statutory duties as an employer under the Trade Union Labour Relations (Consolidation) Act 1992, an HR1 form has been issued to the Secretary of State for Business, Innovation and Skills identifying the intention to reduce the workforce by up to 1,000 jobs across the Council in the period up to 31 March 2017 through both voluntary redundancy and budget reduction targets which will result in compulsory redundancies. This was to comply with the Council's announcement in 2013, that there would be 2,000 job losses. To date there have been 1,770 employees leave City of Wolverhampton Council through voluntary redundancy and 324 under compulsory redundancy. Further redundancies will be required in order to achieve the proposed budget reductions. A further HR1 will be issued, identifying the intention to reduce the workforce by up to a further 500 jobs in the period up to 31 March 2018.
- 10.2 As part of the ongoing transformation of the Council, although many services are being, or will be, redesigned, it is not anticipated that as many employees will exit the organisation as in previous years. Changes to the make up of teams and alternative ways of working will require services to be restructured, but numbers will not reduce as significantly as they have done previously.
- 10.3 The numbers included in the HR1 will include posts held by colleagues who, as part of the business review and restructure, need to be included, as they will need to be put at risk of redundancy. However, many of these employees will apply and be offered jobs in the new structure and therefore the number of employees leaving the authority is anticipated to be far fewer than the number declared on the HR1.

- 10.4 Reductions in employee numbers will be achieved in line with the Council's HR policies. Compulsory redundancies will be mitigated as far as is possible through seeking voluntary redundancies in the first instance, and through access to redeployment.
- 10.5 The Council will ensure that appropriate support is made available to employees who are at risk of and selected for redundancy, and will work with partner and external agencies to provide support. Budget reduction targets to move service delivery from direct Council management to private, community or third sector providers may have implications under the TUPE regulations. If TUPE were to apply, appropriate consultation with relevant Trade Unions and affected employees, would take place.
- 10.6 There is on-going consultation with the trade unions on the impact of the Council's budgetary position and the targets being made to meet the challenges posed by it.

11.0 Schedule of Background Papers

Revenue Budget Outturn 2016-2017, report to Cabinet, 19 July 2017.

Reserves, Provisions and Balances 2016-2017, report to Cabinet, 19 July 2017.

2016/17 Budget and Medium Term Financial Strategy 2017/18 – 2019/20, report to Full Council, 1 March 2017.

Ongoing Budget Reduction Proposals by Cabinet Portfolio

Resources

Description of Proposal	Cabinet Portfolio	Directorate	2018-2019 £000
Corporate Budget – reduction in funding over the required level for Adult Social Care	Resources	Corporate	(700)
Savings arising as a result of Senior Management Restructure	Resources	Corporate	(260)
Risk Management and Insurance – saving arising as a result of insurance contract renegotiation (net of potential pressures)	Resources	Corporate	(300)
Anticipated reduction in Integrated Transport Authority (ITA) Levy	Resources	Corporate	(250)
Audit Services – removal of vacant posts	Resources	Corporate	(30)
Pension Budget savings arising as a result of making additional upfront payments to the West Midlands Pension Fund for future years past service deficit costs	Resources	Corporate	(2,375)

Ongoing Budget Reduction Opportunities by Cabinet Portfolio

Governance

Description of Proposal	Cabinet Portfolio	Directorate	2018-2019 £000
Health and Safety – saving arising as a result of lower than expected Lone Worker system costs	Governance	Corporate	(50)

City Assets and Housing

Description of Proposal	Cabinet Portfolio	Directorate	2018-2019 £000
Facilities Management Review – allowance for anticipated increasing costs no longer required	City Assets and Housing	Place	(1,000)

One-off Budget Reduction Proposals by Cabinet Portfolio

Resources

Description of Proposal	Cabinet Portfolio	Directorate	2018-2019 £000
One-off savings due to the additional S31 grant relating to Business Rates	Resources	Corporate	(210)
Elections - one-off savings due to the application of the Individual Electoral Registration (IER) grant held on the balance sheet	Resources	Corporate	(80)
Pension Budget savings arising as a result of making additional upfront payments to the West Midlands Pension Fund for future years past service deficit costs	Resources	Corporate	(5,585)
Treasury Management savings arising predominately as a result of reducing the provision for Capitalisation Risks	Resources	Corporate	(1,100)

Governance

Description of Proposal	Cabinet Portfolio	Directorate	2018-2019 £000
Human Resources – one-off saving arising as a result of using Workforce Development grant held on the balance sheet to support training costs	Governance	Corporate	(150)
Register Office - one-off saving arising as a result of the application of the Tell Us Once grant held on the balance sheet.	Governance	Corporate	(30)

One-off Budget Reduction Proposals by Cabinet Portfolio

City Environment

Description of Proposal	Cabinet Portfolio	Directorate	2018-2019 £000
Highways Management – use of Bus Lane enforcement reserve to support Highways costs	City Environment	Place	(400)

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Cabinet Meeting

19 July 2017

Report title	Reserves, Provisions and Balances 2016-2017	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor Andrew Johnson Resources	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Keith Ireland, Managing Director	
Originating service	Strategic Finance	
Accountable employee(s)	Claire Nye Tel Email	Director of Finance 01902 550478 Claire.nye@wolverhampton.gov.uk
Report to be/has been considered by	Strategic Executive Board Confident Capable Council Scrutiny Panel	20 June 2017 27 September 2017

Recommendations for decision:

The Cabinet is recommended to:

1. Approve the transfers (to)/from specific reserves, provisions and general balances as detailed in tables 2, 3 and 4.
2. Approve expenditure from provisions for their purposes as set out in Appendix B, up to the value held in each provision as at 31 March 2017.
3. Approve the continuation of delegation of authority to the Cabinet Member for Resources, in consultation with the Director of Finance, to allocate funds from the Budget Contingency Reserve, the Regeneration Reserve, the Efficiency Reserve, the Transformation Reserve, the Development Reserve, the Regional Work Reserve, the

Enterprise Zone Business Rates Reserve, the Business Rates Equalisation Reserve, the Treasury Management Equalisation Reserve and the Budget Strategy Reserve.

4. Approve the delegation of authority to the Cabinet Member for Resources, in consultation with the Director of Finance, to allocate funds from the Pension Deficit Recovery Reserve.
5. Approve the creation of seven new reserves as detailed in 5.4.

Recommendations for noting:

The Cabinet is asked to note:

1. The level of the Council's specific reserves, provisions and general balances as at 31 March 2017 and the purposes for which they are being held, as detailed in Appendices A and B.
2. That relevance and adequacy of specific reserves and general balances will be reviewed as required by the Constitution during the 2018-2019 budget setting process.
3. That allocation of funding from all specific reserves will be reported to Cabinet (Resources) Panel in the scheduled quarterly budget monitoring reports.
4. That Confident Capable Council Scrutiny Panel will scrutinise the use of reserves as part of the budget setting process as in previous years.
5. That the Director of Finance considers that the overall level of all reserves, provisions and balances is sufficient to meet the likely level of obligations to be met from reserves, provisions and general balances in the short term.
6. That the positive General Fund outturn position during 2016-2017, and the resulting adjustments to reserves, will help to support the Council's short term financial position, enabling one-off investment to support transformation of the Council. However, it does not address the challenging financial position that the Council finds itself in over the medium term; namely identifying an additional £20.5 million of budget reduction and income generation proposals over the two-year period to 2019-2020. Cabinet will be presented with a report at this meeting detailing the progress towards identifying £14.8 million of budget reduction and income generation proposals for 2018-19.
7. That the figures quoted in the report are still subject to statutory audit by Grant Thornton UK LLP as part of the 2016-2017 accounts closedown process.

1.0 Purpose

- 1.1 The purpose of this report is to inform Cabinet of the Council's resources currently held as specific reserves, provisions and general balances as at 31 March 2017, taking account of the outturn position for 2016-2017.

2.0 Summary

- 2.1 An analysis of the authority's general balances, specific (revenue) reserves and provisions at 31 March 2017 is provided in table 1 below. This comprises of reserves, provisions and balances held for all funds including the General Fund, the Housing Revenue Account and Schools.

Table 1 – Balances, Reserves and Provisions as at 31 March 2016 and 31 March 2017

	Further details	Balance at 31 March 2016 £000	Transfer Out £000	Transfer To £000	Balance at 31 March 2017 £000
Total General Balances	Table 2	(26,059)	10,754	(6,389)	(21,695)
Total Specific Reserves	Table 3	(61,937)	14,209	(6,880)	(54,608)
Total Provisions	Table 4	(34,505)	22,165	(20,432)	(32,772)
Overall Total		(122,502)	47,128	(33,701)	(109,075)

- 2.2 Overall, during 2016-2017 there has been a decrease of £13.4 million in the level of general balances, specific reserves and provisions. Full details of the movements against general balances, specific reserves and provisions are provided in the sections below.

3.0 Background

- 3.1 Specific reserves are made up of retained surpluses against previous years' revenue budgets, which are available to fund future expenditure. Some are required by law or accounting practice, whilst others represent amounts voluntarily set aside by the Council for specific purposes.
- 3.2 The definition of provisions is set out in financial reporting standards. They state that a provision should be established when:
1. the Council has a present obligation as a result of a past event, and
 2. there is significant uncertainty around the timing or amount of settlement of the obligation, but
 3. a reliable estimate can be made of the likely cost to the Council.

- 3.3 These definitions are for accounting purposes. The important issue for the Council in looking forward is whether or not the specific reserves and provisions, taken together with the Council's general balances, are sufficient to meet the cost of fulfilling the obligations (past or future) for which these reserves and provisions were established. If those obligations have been met, it is good practice to release the reserve or provision. The funds released are then available for other uses.
- 3.4 Due to the projected financial challenges facing the Council over the medium term, combined with the budget risks, reserves should only be called on in very specific circumstances and are not a viable funding option to reduce the projected budget deficit over either the short or longer term.
- 3.5 The policy on the use of reserves was revised during the 2014-15 budget process, and approved by Full Council in November 2013. The revised policy states:
1. Specific Reserves - to provide sufficient sums to meet known and estimated future liabilities and/or planned expenditure.
 2. General Fund Balance:
 1. To retain a minimum balance of £10.0 million at all times in order that sufficient sums are available to address the significant budget risks that face the authority should they materialise.
 2. This actual balance may however be lower than the £10.0 million where the use of these balances is the only option to fund significant costs associated with downsizing the workforce, in order to deliver significant on-going savings. These balances should however be replenished to the minimum level of £10.0 million within a maximum of two financial years.
 3. Can only be used following the agreement of Full Council having first been considered by the Cabinet Member for Resources in consultation with Cabinet colleagues and then by Cabinet (Resources) Panel and only in the following circumstances:
 - a. To fund one-off exceptional/extraordinary items of expenditure where such expenditure cannot be contained within existing budgets or by calling on specific reserves and/or provisions.
 - b. To smooth the impact of a significant projected medium term budget deficit, where robust plans to address that deficit will take time to approve and implement.
 - c. To fund Invest to save or income generating initiatives where there are insufficient sums held within the Efficiency Reserve to fund the initiative and there is a payback within a reasonable period of time.

4.0 General Balances

4.1 The Council maintains a number of general balances created by retained surpluses in this year and past years, as detailed in the table below.

Table 2 – General Balances at 31 March 2016 and 31 March 2017

	Balance at 31 March 2016 £000	Use of Balances in 2016-2017 £000	Balance at 31 March 2017 £000
Schools' Balances	(11,059)	4,365	(6,695)
General Fund Balance	(10,000)	-	(10,000)
Housing Revenue Account Balance	(5,000)	-	(5,000)
Total Balances	(26,059)	4,365	(21,695)

4.2 General balances, unlike specific reserves, are funds that are generally available and not earmarked for a specific purpose although the individual funds (General Fund and Housing Revenue Account) are ring-fenced.

4.3 Schools' Balances (including balances held by Pupil Referral Units) are accumulated from underspends against school budgets in past years. This sum is only available to fund expenditure against schools' delegated budgets. It should be noted that the balance at 31 March 2016 included balances from school which have subsequently converted to an academy during 2016-2017 but were local authority maintained schools at 31 March 2016. In the instance that a school holds a surplus balance at the point it converts to an academy, the surplus balance is transferred to the academy.

4.4 The positive General Fund outturn position during 2016-2017, and the resulting adjustments to reserves, will help to support the Council's short term financial position enabling one-off investment to support transformation of the Council. It does not, however, address the challenging financial position that the Council finds itself in over the medium term; namely identifying an additional £20.5 million of budget reduction and income generation proposals over the two-year period to 2019-2020. Cabinet will be presented with a report at this meeting detailing the progress towards identifying £14.8 million of budget reduction and income regeneration proposals for 2018-2019.

4.5 The General Fund Balance remains at £10.0 million as at 31 March 2017. This is the minimum balance as determined by the Council's policy on reserves and balances.

4.6 The Housing Revenue Account (HRA) Balance of £5.0 million as at 31 March 2017 has been accumulated from net surpluses against HRA budgets in previous years. This balance is only available to fund expenditure against the HRA budget.

5.0 Specific revenue reserves

5.1 In addition to general balances, the Council also holds a number of specific reserves. An analysis of the authority's specific reserves at 31 March 2017 is provided in the table below and is shown in more detail by individual reserve in Appendix A.

Table 3 – Specific Revenue Reserves as at 31 March 2016 and 31 March 2017

	Balance at 31 March 2016 £000	Transfer Out £000	Transfer To £000	Balance at 31 March 2017 £000
People	(2,317)	1,131	(696)	(1,882)
Place	(5,036)	1,372	(1,516)	(5,180)
Corporate Services (including Education)	(2,844)	460	(247)	(2,631)
Corporate Budgets	(47,094)	10,773	(4,421)	(40,742)
Revenue Grants Unapplied Reserve	(4,646)	473	-	(4,173)
Total Specific Reserves	(61,937)	14,209	(6,880)	(54,608)

5.2 As part of the 2017-2018 budget process all specific reserves were once again reviewed for relevance and adequacy by Strategic Finance in conjunction with Budget Managers. They were also reviewed by Confident Capable Council Scrutiny Panel Specific Reserves Working Group on 28 November 2016 for appropriateness. The Working Group considered and commented on the appropriateness of the specific reserves held by the Council and supported the recommendation that any reserves no longer required for their original purpose should be transferred to the Council's Efficiency or Transformation Reserve.

5.3 There has been a net reduction to specific reserves totalling £7.3 million, as shown in more detail at Appendix A.

5.4 Following a review to ensure adequacy by the Director of Finance, it is recommended that the following transfers to new specific reserves are approved by Cabinet:

1. Contribute £3.0 million from the General Fund revenue account during 2016-2017 to the Pension Deficit Recovery Reserve. This proposal follows the decision of Cabinet in October 2016, where authority was delegated to the Cabinet Member for Resources in consultation with the Director of Finance to explore the option of making further pension contributions to the West Midlands Pension Fund in 2017-2018, in order to reduce the total costs and secure on-going budget reductions to support the budget challenge that the Council would face in future years.

2. Contribute £406,000 from the General Fund revenue account during 2016-2017 to the Multi Agency Safeguarding Hub (MASH) - Assessment Team reserve. It is proposed that this reserve is created to fund the creation of social work assessments and analysis team in MASH for one year only.
 3. Contribute £132,000 to the Early Intervention Programme – 4x Strengthening Family Workers Reserve. It is proposed that this reserve is created to fund the creation of four additional Strengthening Families Support Workers posts.
 4. Contribute £122,000 to Local Growth Fund Transport reserve. It is proposed that this reserve is created to meet the costs that may arise should capital funded development not realise a capital asset.
 5. Contribute £80,000 to catering – Trading Days reserve. It is proposed that this reserve is created to support the catering service in years of less than average trading days.
 6. Contribute £85,000 to School Balances – Clawback reserve. It is proposed that this reserve is established from funds clawed back from schools with excess balances. The funds are to be redistributed to schools following a bidding process.
 7. Contribute £303,000 to HRA Strategy reserve. It is proposed that this reserve is established to set aside funds to cover council tax relating to void properties in 2016-2017 which will be billed in 2017-2018.
- 5.5 In addition to those transfers detailed in the paragraph above, due to the positive General Fund outturn position for 2016-2017, as reported to Cabinet at this meeting in the Revenue Budget Outturn 2016-2017 report, the Council underspent by £266,000. It is therefore proposed that £266,000 is transferred into Efficiency Reserve. The specific reserves detailed in Appendix A reflect this proposal, which Cabinet is recommended to approve.
- 5.6 Specific reserves will be reviewed as part of the revenue budget monitoring process throughout 2017-2018, as required within the Constitution. Any proposed adjustments to specific revenue reserves will be reported to Cabinet (Resources) Panel for approval. In addition to this, a fundamental review of all specific reserves will be undertaken during 2017-2018 to rationalise specific reserves where appropriate.
- 5.7 Furthermore, the Confident Capable Council Scrutiny Panel will scrutinise the use of reserves as part of the 2018-2019 budget setting process, as in previous years.
- 6.0 Provisions**
- 6.1 An analysis of the authority's provisions, which is a liability that the Council is aware of but the amount and timing of the liability is uncertain, as at 31 March 2017 is provided in the table below and is shown in more detail by individual provision in Appendix B.

Table 4 – Provisions as at 31 March 2016 and 31 March 2017

	Balance at 31 March 2016 £000	Transfer Out £000	Transfer To £000	Balance at 31 March 2017 £000
Provisions for Bad & Doubtful Debts	(16,698)	8,525	(13,286)	(21,458)
Other Provisions	(17,807)	13,640	(7,147)	(11,314)
Total	(34,505)	22,165	(20,432)	(32,772)

7.0 Adequacy

7.1 In accordance with the provisions of the Local Government Act 2003 (Section 25), the Director of Finance is required to report on the adequacy of the proposed reserves. The Director of Finance considers that the overall level of all reserves, provisions and balances is sufficient to meet the likely level of obligations to be met from reserves, provisions and general balances in the short term.

7.2 It is important to note that many of the changes to specific reserves detailed within this report, which have arisen from the positive General Fund outturn position in 2016-2017, will help to support the Council's short term financial position. This does not, however, address the challenging financial position that the Council finds itself in over the medium term; namely identifying an additional £20.5 million of budget reductions and income generation proposals by 2019-2020.

7.3 Work continues to identify budget reduction and income generation proposals to address the projected budget deficit faced by the Council over the medium term and progress will be reported to Cabinet at this meeting in the Draft Budget and Medium Term Financial Strategy 2018-19 - 2019-20 report.

8.0 Financial implications

8.1 The financial implications are discussed in the body of the report.
[MH/03072017/G]

9.0 Legal implications

9.1 Section 151 of the Local Government Act 1972 requires local authorities to make arrangements for the proper administration of their financial affairs.
[TS/05072017/W]

10.0 Equalities implications

10.1 This report has no direct equality implications. However, any consideration given to the use of reserves, provisions or balances could have direct or indirect equality implications.

These will need to be considered as and when sums are allocated from reserves and/or balances whereby an initial screening will be conducted.

11.0 Environmental implications

- 11.1 This report has no direct implications for the Council's environmental policies. However, any consideration given to the use of reserves and/or balances could have direct or indirect environmental implications. These will need to be considered as and when sums are allocated from reserves, provisions or balances.

12.0 Schedule of background papers

Draft Budget and Medium Term Financial Strategy 2018-2019 to 2019-2020, report to Cabinet, 19 July 2017.

Revenue Budget Outturn 2016-2017, report to Cabinet, 19 July 2017.

2017/18 Budget and Medium Term Financial Strategy 2017/18 - 2019/20, report to Cabinet, 22 February 2017.

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
People					
Voluntary Sector and Community Partnership Reserve	To support partnership activities approved by the Safer Wolverhampton Partnership and Wolverhampton Strategic Partnership. For example, strategic objectives around infrastructure projects, domestic violence and probation.	(115)	-	-	(115)
Mary Ellen Bequest - Oxley Training Centre Reserve	Bequest available for use at the Oxley Training Centre.	(7)	-	-	(7)
Youth Cafe Reserve	To fund running costs of the Youth Café and Youth Council rent and activities for young persons through to 2018-2019. Any remaining costs until the end of the lease and dilapidation costs will need to be met from this reserve.	(235)	-	-	(235)
Youth Offending IT Reserve	To fund the Youth Offending Team migration onto Childview - a new bespoke upgraded database.	(20)	-	-	(20)
Building Resilience Reserve	To continue activities under the Preventing Violent Extremism work stream.	(4)	-	-	(4)

APPENDIX A

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Mediation Service	To provide a Mediation Service which is self-funded through annual contributions, mainly from Wolverhampton Homes and Cannock Chase District Council. The service provides a channel for positive conflict resolution into which a variety of agencies across Wolverhampton make referrals.	(17)	5	-	(12)
Safeguarding – Adults Board	To fund the Adults Board expenditure in future years. This reserve is made up of contributions from our partners (Police, CCG, Probation and Prospects) to support the running costs of the Adults Board in future years.	(45)	-	(28)	(74)
Safeguarding – Children’s Board	To fund Children's Board expenditure in future years. This reserve is made up of contributions from our partners (Police, CCG, Probation and Prospects) to support the running costs of the Children's Board in future years.	(36)	36	-	-
Inclusion Support Reserve	To provide a contingency should the level of schools traded service decrease in the future and allow time for reconfiguration of the service.	(100)	-	(130)	(230)
Community Safety	To assist the Safer Wolverhampton Partnership to deliver the Crime Reduction, Community Safety and Drugs Strategy 2014-17 and the Local Policing	(169)	131	-	(38)

APPENDIX A

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
	& Crime Plan 2016-17. The reserve is funded by partner contributions.				
Multi Agency Safeguarding Hub – Assessment Team	To fund the creation of a social work assessments and analysis team in the MASH for one year only. The team would both interrogate new referrals for child in need assessments and complete and resolve these and transfer cases to social work units where longer term work is identified. This would ensure referrals are dealt with quicker and area teams could concentrate on longer-term quality casework and hopefully reduce the number of re-referrals.	-	-	(406)	(406)
Early Intervention Programme – 4 x Strengthening Family Workers	To fund the creation of four additional FTE's Strengthening Families Support Workers for one year only. The posts will assist with dealing with the increased caseloads within the Locality Teams that have arisen as part of the Children's Re-design.	-	-	(132)	(132)
Public Health - Emergency Planning Contingency	To respond to public health incidents and support the establishment of the resilience team imbed robust framework.	(35)	35	-	-

APPENDIX A

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Public Health Early Intervention Team	To support the families first programme.	(55)	55	-	-
Public Health Housing Standards	Improving health through improving private sector housing.	(400)	63	-	(337)
Public Health - Infant Mortality	Corporate action in relation to the Infant Mortality Scrutiny Review and Action Plan.	(325)	325	-	-
Public Health - Alcohol	In line with the Corporate Priority to support the delivery of an effective Hospital based Alcohol Treatment Service and the implementation of a Multi Agency Safeguarding Hub (Toxic Tri Link). This reserve was established from underspends against the Public Health grant.	(121)	121	-	-
Public Health - Health Protection and Sexual Health	To support the implementation of new sexual health services for Wolverhampton and to initiate new ways of engaging and protecting vulnerable groups from infectious diseases.	(260)	10	-	(250)
Public Health - Year 2 Transformation Fund	To support the final year of two Transformational projects approved through Health & Wellbeing Board.	(383)	350	-	(33)
People Total		(2,328)	1,131	(696)	(1,893)

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Place					
HRA Homelessness	Available to support initiatives that work to prevent homelessness. This reserve was set up due to the uncertain future of the grant.	(103)	157	(168)	(115)
Cemeteries and Crematorium Reserve	For the purposes of investment in service improvements, to contribute towards the cost of ensuring the sustainability of the City Council's cemeteries and crematorium and invest to save initiatives.	(124)	-	(400)	(524)
Energy Efficiency Reserve	To fund major repairs and/or refurbishment to supplement capital budgets targeted at energy efficiency measures. The reserve is funded from savings generated through energy efficiency interventions which are then recycled for future projects.	(706)	-	(27)	(732)
Art Gallery Touring Exhibitions Reserve	To support the costs of touring exhibitions. The reserve has been built up from net income generated in previous tours.	(9)	-	-	(9)
Building Control Service Improvements	Any surplus achieved on the Building Control Service is required to be reinvested back into the service	(216)	-	(11)	(227)

APPENDIX A

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Kickstart Loans	Recycling of funds secured following the repayment of Kickstart Loans into assistance for private sector housing improvements.	(72)	-	-	(72)
Regeneration Reserve	To fund projects in support of corporate regeneration priorities and maintaining the city centre development.	(2,750)	1,215	-	(1,535)
Showell Road Travellers Site - Residents Deposits Reserve	Deposits from new tenants of sites managed by the City of Wolverhampton Council. The deposits are refundable when tenants leave or they are used to offset arrears or to pay for any damage.	(3)	-	(2)	(5)
Victoria Square Sinking Fund Reserve	Sums set aside for future maintenance costs at Victoria Square commercial units.	(12)	-	(3)	(14)
Library Equipment	For the purchase of equipment for libraries.	(104)	-	-	(104)
Local Growth Fund Transport	Sum set aside to meet the costs that may arise should capital funded development not realise a capital asset.	-	-	(122)	(122)
Catering - Trading Days	Available to support the Catering service in years of less than average trading days.	-	-	(80)	(80)
Magistrates Court Reserve	Sinking fund to meet future refurbishment costs for building occupied by Magistrates court.	(34)	-	-	(34)

APPENDIX A

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Highway Management Reserve	Reinvestment of funds secured through Bus lane enforcement into Highway improvement	(891)	-	(400)	(1,291)
HRA Strategy Reserve	Sum set aside to pay for council tax relating to void properties in 2016-2017 but billed in 2017-2018.	-	-	(303)	(303)
Place Total		(5,025)	1,372	(1,516)	(5,169)

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Corporate Services and Education					
Insurance Reserve	The Reserve is for unexpected insurance claim events that cannot be covered by Insurance Fund budgets. Insurance claims costs vary year to year and a contribution may be made to or from the Reserve dependent on the Fund outturn position	(2,445)	460	-	(1,985)
Apprenticeship Scheme Reserve	There is a General Fund budget earmarked for apprentice posts. The Reserve is intended to provide for temporary expansions of the apprenticeship scheme beyond the budgeted level in a given year.	(203)	-	(57)	(260)
Markets Reserve	To fund periodic repairs and maintenance at the wholesale market including, for example, internal and external redecoration. The Reserve has been established from market trader contributions (part of annual service charges).	(66)	-	(13)	(79)
Licensing Reserve	The Licensing service is not permitted to make a surplus over a three-year period. Against this background the Reserve is used to minimise variations in fees imposed as costs and license volumes fluctuate between years.	(44)	-	(165)	(209)

APPENDIX A

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Wholesale Market Sinking Fund	Established to fund specific major replacement and refurbishment projects at the wholesale market including, for example, plant and equipment replacement or a roof replacement. This Reserve has been established from market trader contributions (part of annual service charges).	(12)	-	(13)	(25)
Schools Arts Service Reserve	The reserve supports arts projects for schools. The activities are available for all schools and will generate income that will replenish the reserve for development of further activities.	(74)	-	-	(74)
Corporate Services and Education Total		(2,844)	460	(247)	(2,631)

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Corporate					
Budget Contingency Reserve	Available to address in-year budget pressures that cannot be addressed from within existing service budgets.	(10,924)	5,290	-	(5,634)
Efficiency Reserve	Available to allow pump priming and investment in new developments, where the main aim is to generate efficiencies in the future as supported by a fully costed business case. These business cases are considered by the Strategic Executive Board and decisions are reported to Councillors as part of the quarterly financial monitoring and reporting arrangements.	(7,877)	1,837	(718)	(6,758)
Transformation Reserve	To progress the 3Cs Transformation Strategy and ultimately deliver greater efficiencies.	(2,000)	530	-	(1,470)
Funds and Bequests Reserve	Trust funds administered by the authority with specific criteria for allocation.	(9)	-	-	(9)
FutureWorks Reserve	This amount has been set aside to part fund costs arising from the Council's FutureWorks Programme.	(1,115)	500	-	(615)

APPENDIX A

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Job Evaluation Reserve	To assist with the funding of the implementation of new pay scales arising from job evaluation, in addition to equal pay costs that cannot be charged to the provision.	(2,525)	394	-	(2,131)
Local Strategic Partnership Reserve	The Council's unspent share of LPSA reward grant received in 2010-11. This funding is used to support the delivery of activities recommended by the Skills Commission.	(137)	126	-	(11)
Art Fund Bequest	Funds administered to support revenue expenditure against criteria defined by the bequest.	(33)	-	-	(33)
Mayors Award	Trust funds administered by the authority with specific criteria for allocation.	(2)	-	-	(2)
Grand Theatre Loop	Trust funds administered by the authority with specific criteria for allocation.	(0)	-	-	-
Combined Authorities Reserve	Established from contributions of £50,000 from each Metropolitan District Council in the West Midlands to support the Combined Authority. This has now been transferred to the Combined Authority as it is no longer managed by the City of Wolverhampton Council.	(503)	503	-	-
Development Reserve	To fund feasibility works for pipeline projects.	(500)	-	-	(500)

APPENDIX A

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Regional Work Reserve	Available to fund and support regional initiatives.	(750)	-	(213)	(963)
Enterprise Zone Business Rates Equalisation Reserve	To equalise the fluctuation in business rates receipts within the Enterprise Zone.	(669)	-	-	(669)
Business Rates Equalisation Reserve	To equalise the impact of the fluctuation in business rates on the Council's General Fund arising as a result of revaluations and appeals.	(4,024)	1,592	(454)	(2,886)
Treasury Management Equalisation Reserve	To support the revenue costs associated with re-profiling in the Capital Programme.	(3,456)	-	-	(3,456)
Budget Strategy Reserve	Funds available to address reorganisation costs as a result of the financial challenges faced by the Council over the medium term.	(12,569)	-	-	(12,569)
Salary Sacrifice	To cover any unforeseen costs associated with the various salary sacrifice schemes.	(1)	1	-	-
Pension Deficit Recovery Reserve	This amount has been set aside to make further pension contributions towards the past service deficit in order to reduce the total costs and secure on-going budget reductions. This will support the budget	-	-	(3,037)	(3,037)

APPENDIX A

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
	challenge that the Council will face in future years.				
Corporate Total		(47,094)	10,773	(4,421)	(40,742)

Specific Reserve	Description of Reserve	Balance at 31 March 2016 £000	Transfer Out £000	Transfer In £000	Balance at 31 March 2017 £000
Revenue Grants Unapplied Reserve	Established in accordance with the principles of IFRS in relation to the recognition of grants and contributions in the council's accounts. Approvals for the use of actual grants are made during the year according to the council's constitution.	(4,646)	473	-	(4,173)
Council Total		(61,937)	14,209	(6,880)	(54,608)

Provision	Description of Provision	Balance at 31 March 2016 £000	Transfer Out £000	Transfer to £000	Balance at 31 March 2017 £000
Provisions for Bad and Doubtful Debts					
Collection Fund	All bad and doubtful debt provisions are calculated by application of an established formula that takes account of the risk of not recovering debts owed to the Council using a combination of factors including age of debt.	(7,437)	6,444	(10,738)	(11,731)
General Fund Sundry Debtors		(7,606)	1,055	(1,318)	(7,870)
Housing Revenue Account		(1,654)	1,026	(1,230)	(1,858)
Provisions for Bad and Doubtful Debts Total		(16,698)	8,525	(13,286)	(21,458)

Balance at 31 March 2016 £000	Provision Name	Provision Details	Amounts Used in 2016-2017 £000	Provisions Made in 2016-2017 £000	Balance at 31 March 2017 £000
(8,544)	Capitalisation Risks	This provision is in respect of potential claims under equal pay legislation. An adjustment has been made to the provision to reflect information available to the Council at the 31 March 2017. It is currently uncertain when payments might need to be made, and the value of any such payments.	3,753	2,292	(2,499)
(2,303)	Insurance	The Council self-insures risks to property and assets up to a total aggregate limit of £1.0 million and its liability exposures up to a limit of £250,000 on any one occurrence above which limits the external insurance cover operates. The insurance provision of £2.3 million is in respect of the outstanding claims under the self-insurance programme covering the current and past years.	-	-	(2,303)
(694)	Termination Benefits	During 2016-2017, the Council undertook a further voluntary redundancy exercise. As a result of this initiative, there were a number of employees and former employees to whom termination benefits were due, but had not yet been made, at the end of the year.	694	(139)	(139)
(132)	Midlands Housing Consortium (MHC)	MHC was previously a member of the West Midlands Pension Fund. It paid a lump sum to the Council to support pension payments to fund members. This provision will reduce gradually over time as pension payments are made.	28	-	(104)

APPENDIX C

Balance at 31 March 2016 £000	Provision Name	Provision Details	Amounts Used in 2016-2017 £000	Provisions Made in 2016-2017 £000	Balance at 31 March 2017 £000
(81)	Housing Revenue Account	There are three separate provisions: for legal disrepair claims, for tenant management organisation expenditure and for rent bonds.	62	-	(20)
(5,986)	Outstanding NNDR appeals	The Collection Fund account requires a provision for appeals against the rateable valuation set by the Valuation Office Agency (VOA) not settled as at 31 March 2017.	9,102	(9,299)	(6,183)
(68)	Other	These are small amounts relating to ex-members of the pension fund and refunds of aftercare payments made by residents subsequently falling within Section 117 of the Mental Health Act 1983 and from whom charges are not due.	2	(1)	(66)
(17,807)	Total Other Provisions		13,640	(7,147)	(11,314)

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Cabinet Meeting

19 July 2017

Report title	Revenue Budget Outturn 2016-2017	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor Andrew Johnson Resources	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Keith Ireland, Managing Director	
Originating service	Strategic Finance	
Accountable employee(s)	Claire Nye	Director of Finance
	Tel	01902 550478
	Email	Claire.Nye@wolverhampton.gov.uk
Report to be/has been considered by	Strategic Executive Board	20 June 2017
	Confident Capable Council Scrutiny Panel	27 September 2017

Recommendations for noting:

The Cabinet is asked to note:

1. That the revenue outturn position for 2016-2017 for the General Fund; a net underspend of £266,000 (-0.12%) was achieved against the net budget requirement of £217.4 million, after meeting the net cost of redundancy and pension strain, after the use of capital receipt flexibility, and contributions to essential specific reserves.
2. That, whilst the positive General Fund outturn position during 2016-2017 and the resulting adjustments to reserves will help to support the Council's short term financial position, it does not address the challenging financial position that the Council finds itself in over the medium term; namely identifying an additional £20.5 million of budget reduction and income generation proposals over the two year period to 2019-2020.

Cabinet will be presented with a report at this meeting detailing the progress towards identifying £14.8 million of budget reduction and income generation proposals for 2018-2019.

3. That a comprehensive review of all services will be undertaken following the positive 2016-2017 General Fund outturn position to identify any new budget reduction or income generation opportunities; Cabinet will be provided with an update on progress in the October 2017 budget report.
4. That the General Fund outturn position takes into account a number of proposed transfers to and from reserves and provisions for which approval is sought in the Reserves, Provisions and Balances 2016-2017 report to be presented at this meeting.
5. That approval is sought in the Reserves, Provisions and Balances 2016-2017 report, to be presented at this meeting, to establish a Pension Deficit Recovery Reserve and to contribute £3.0 million from the General Fund revenue account during 2016-2017.
6. That schools under the control of the City of Wolverhampton Council drew down a net £3.4 million of their reserves during 2016-2017, taking the total accumulated reserves to £8.5 million at 31 March 2017.
7. That the Housing Revenue Account revenue outturn position for the year was a surplus before allocations of £19.3 million, compared to a budgeted surplus of £15.3 million.
8. That the draft financial statements of Yoo Recruit Limited will be subject to external audit.
9. That as a result of recruitment through Yoo Recruit Limited, the Council has been able to avoid fees which would otherwise have been incurred, including approximately £225,000 in relation to the permanent recruitment of individuals who had been previously employed on a temporary basis through the agency.
10. That the Collection Fund outturned with a £3.3 million deficit during 2016-2017; this resulted in an overall deficit of £13.2 million to be carried forward. In 2014-2015, as a result of the adverse outturn against the Collection Fund, primarily owing to the impact of appeals against Business Rates, over which the Council has no control, Cabinet approved the establishment of a Business Rates Equalisation reserve to equalise the impact of appeals on the Council. In the Reserves, Provisions and Balances report to be presented to Cabinet at this meeting, approval is sought to bolster that reserve in 2016-2017 to support the Council over the medium term.
11. That 92 non-domestic rates accounts totalling £1,082,357.82 have been approved for write off by the Director of Finance in accordance with the Council's Financial Procedure Rules.
12. That 1,457 council tax accounts totalling £342,913.88 have been approved for write off by the Director of Finance in accordance with the Council's Financial Procedure Rules.

13. That 46 sundry debt accounts totalling £45,559.95 have been approved for write off by the Director of Finance in accordance with the Council's Financial Procedure Rules.
14. That 67 housing benefit debt accounts totalling £15,150.70 have been approved for write off by the Director of Finance in accordance with the Council's Financial Procedure Rules.

Recommendation for decision:

The Cabinet is recommended to:

1. Approve that the net surplus after taxation of £298,000 of Yoo Recruit Limited be retained by the company to enable further business development.
2. Approve the write off of 7 non-domestic rates totalling £192,133.08 as detailed in Appendix G.
3. Approve the write off of 2 housing benefit accounts totalling £14,662.89 as detailed in Appendix H.
4. Approve the write off of 4 council tax accounts totalling £23,104.94 as detailed in Appendix I.

1.0 Purpose

- 1.1 The purpose of this report is to inform Cabinet of the Council's revenue outturn position for 2016-2017 compared with approved budgets and targets.

2.0 Executive Summary

- 1.1 Overall a net underspend of £266,000 (-0.12%) was achieved against the General Fund net budget requirement of £217.4 million, after meeting the net cost of redundancy and pension strain after the use of capital receipt flexibility, and contributions to essential specific reserves.
- 1.2 In the Reserves, Provisions and Balances 2016-2017 report to be considered at this meeting, it is proposed that the Council make a contribution of £266,000 to the Efficiency Reserve as a result of the General Fund net underspend.
- 1.3 Whilst the positive General Fund outturn position during 2016-2017, and the resulting adjustments to reserves, will help to support the Council's short term financial position, it does not address the challenging financial position that the Council finds itself in over the medium term; namely identifying an additional £20.5 million of budget reduction and income generation proposals over the two year period to 2019-2020. Cabinet will be presented with a report at this meeting detailing the progress towards identifying £14.8 million of budget reduction and income generation proposals for 2018-2019.
- 1.4 It is important to note that the updated projected deficit assumes the achievement of budget reduction proposals amounting to £33.8 million over the three year period from 2017-2018 to 2019-2020. Over the last seven financial years the Council has identified budget reductions in excess of £200.0 million. This is the most significant financial challenge that the Council has ever faced.
- 1.5 The Council's General Fund Balance remains at £10.0 million; the minimum balance as determined in the Council's approved Reserves and Balances Policy. Emphasis therefore continues to be placed on identifying budget reduction and income generation proposals to meet the projected budget deficit over the medium term.
- 1.6 Schools remaining in the control of the local authority drew down a net £3.4 million of reserves during 2016-2017, taking the total accumulated reserves to £8.5 million at 31 March 2017. This is set against schools' projection of balances of £4.3 million at the end of 2016-2017. Therefore, actual balances are £4.2 million greater than forecast. The Directors of Education and Finance will continue to challenge those schools who hold surplus balances, aiming to gain an understanding of plans in place and whether they are appropriate.
- 1.7 The Housing Revenue Account revenue outturn position for the year was a surplus before allocations of £19.3 million, compared to a budgeted surplus of £15.3 million. In accordance with the strategy approved as part of the Business Plan adopted in January

2016, the HRA reserve has been maintained at £5 million and as such the surplus of £19.3 million has been used to pay down debt.

- 1.8 Yoo Recruit, the Council owned temporary staffing agency has now completed its first two years of trading. The company had a turnover of £10.0 million and a net surplus after tax of £298,000. It is proposed that the net surplus is retained by Yoo Recruit to enable further business development. As a result of recruitment through Yoo Recruit Limited, the Council has been able to avoid fees which would have otherwise have been incurred, including approximately £225,000 in relation to the permanent recruitment of individuals who had been previously employed on a temporary basis through the agency.
- 1.9 The Collection Fund outturned with a £3.3 million deficit during 2016-2017; this resulted in an overall deficit of £13.2 million to be carried forward.
- 1.10 The Director Finance has approved the write off of 1,662 debt accounts totalling £1.5 million in value.

3.0 Revenue Budget Outturn – General Fund Summary

- 1.1 An analysis of the Council's outturn position against General Fund revenue budgets for 2016-2017 is detailed in the table below. Further detailed analysis for each Directorate can be found in Appendices A to D.

Table 1 – 2016-2017 Revenue Budget Outturn Summary

	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variation Over/(Under)	
			£000	%
People	113,219	113,094	(125)	-0.11%
Place	42,029	41,057	(972)	-2.31%
Corporate Services (including Education)	33,673	36,476	2,803	8.32%
Corporate Budgets	28,429	27,054	(1,375)	-3.90%
Net Budget Requirement	217,350	217,681	331	0.15%
Government Grant (General)	(92,622)	(93,371)	(749)	-0.81%
Business Rates	(37,805)	(37,805)	-	0.00%
Enterprise Zone Business Rates	(1,532)	(1,379)	153	9.98%
Council Tax	(86,036)	(86,036)	-	0.00%
Collection Fund Deficit	2,237	2,236	(1)	0.02%
Business Rates Equalisation Reserve	(1,592)	(1,592)	-	0.00%
Total Resources	(217,350)	(217,947)	(597)	-0.27%
Use of General Balances	-	-	-	0.00%
Net Budget (Surplus) / Deficit	(0)	(266)	(266)	-0.12%

- 1.2 As can be seen from the table above, overall a net underspend of £266,000 (-0.12%) was achieved against the General Fund net budget requirement of £217.4 million, after meeting the net cost of redundancy and pension strain, after the use of capital receipt flexibility, and contributions to essential specific reserves.
- 1.3 Part of the underspend arising within the 2016-2017 General Fund outturn is already factored into the Council's Medium Term Financial Strategy; in some cases budget reduction proposals have been achieved earlier than anticipated. However, a comprehensive review of all services will be undertaken following the positive 2016-2017 General Fund outturn position to identify any new budget reduction or income generation opportunities; Cabinet will be provided with an update on progress in the October 2017 budget report.
- 1.4 Whilst the positive General Fund outturn position during 2016-2017, and the resulting adjustments to reserves, will help to support the Council's short term financial position, it

does not address the challenging financial position that the Council finds itself in over the medium term; namely identifying an additional £20.5 million of budget reduction and income generation proposals over the two-year period to 2019-2020. Cabinet will be presented with a report at this meeting detailing the progress towards identifying £14.8 million of budget reduction and income generation proposals for 2018-2019.

- 1.5 The Council's General Fund Balance remains at £10.0 million; the minimum balance as determined in the Council's approved Reserves and Balances Policy. Emphasis therefore continues to be placed on identifying budget reduction and income generation proposals to meet the projected budget deficit over the medium term.
- 1.6 It is important to note, that the General Fund outturn position takes into account proposed transfers to and from reserves and provisions. Full details regarding reserve transfers are included in the Reserves, Provisions and Balances 2016-2017 report, for which approval will be sought at this meeting.

4.0 Revenue Budget Analysis per Directorate

People

- 1.7 A summary of the 2016-2017 outturn against the People net controllable revenue budget is provided in the table below, whilst a detailed analysis is provided in Appendix A.

Table 2 – 2016-2017 Revenue Budget Outturn – People

Service	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variation	
			Over/(Under) £000	%
Strategic Director and Safeguarding	3,828	3,983	155	4.04%
Older People	25,928	26,029	101	0.39%
Disability & Mental Health	38,034	39,765	1,731	4.55%
Children & Young People	45,428	43,324	(2,104)	-4.63%
Public Health & Wellbeing	-	(7)	(7)	0.00%
People Total	113,219	113,094	(125)	-0.11%

- 1.8 Overall, a net underspend of £125,000 (-0.11%) for the year was achieved by the People Directorate. The main factors for each service directorate contributing towards the net underspend are detailed as follows:
- Strategic Director and Safeguarding** – There was a net overspend of £155,000 mainly due to the appointment of additional independent review Officers within Children's Safeguarding (£187,000).

2. **Older People** – There is a net overspend of £101,000 mainly as a result of pressures on care purchasing budgets due to increased demand for support for Older People Assessment & Care Management service (totalling £1 million). This is offset partially by underspends mainly from within:
 - a. The Carer Support service which has underspent by £501,000 as a result of support packages being coded against the individuals rather than the carer, therefore the costs will be within other services across Adults,
 - b. The Community Support Service which is reporting an underspend of £113,000 due to efficiencies on employee costs and,
 - c. Following the Senior Management restructure an underspend of £134,000 is being reported due to the early achievement of a 2017-2018 budget reduction target.

3. **Disability & Mental Health** – There was a net overspend of £1.7 million within this service directorate resulting from various factors including:
 - a. Cost pressures across care purchasing budgets along with slippage on budget reduction targets within Learning Disabilities Assessment & Care Management (£2.1 million),
 - b. Slippage of budget reduction targets also on Learning Disability Provider (£395,000); this will be delivered in full in 2017-2018.
 - c. The Emergency Duty Team has overspent as a result of employing agency staff covering three long term staff absences (£129,000); this has now been resolved.

These overspend have been partly offset by underspends within the following services:

 - d. The Disabilities Service has underspent by £223,000 as a result of the early achievement of a 2017-2018 budget reduction target.
 - e. The Mental Health Commissioning service has underspent by £182,000 as a result of efficiencies on contract budgets whilst the Physical Disabilities Assessment service underspent by £147,000 as a result of efficiencies across staffing budgets.
 - f. The service supporting Children with Disabilities has underspent by £392,000 due to a change of pattern in shortbreaks including reduction in activity in overnight residential short breaks.

4. **Children & Young People** – There was a net underspend of £2.1 million within the service, which has arisen primarily as a result of:

- a. The early achievement of budget reduction proposals linked to Youth Offending and Looked After Children totalling £1.3 million.
- b. Staff vacancies as a result of service redesign for Specialist Support and Early Intervention have also contributed to the overall underspend by £1.1 million.
- c. The Inclusion Support service has also contributed to the underspend by £233,000 as a result of efficiencies across this service and the generation of increased income.

However, these savings are offset partly by an overspend of £466,000 on the Child Protection service due to increased costs in Section 17 payments including no recourse to public funds (NRPF).

Place

- 1.9 A summary of the 2016-2017 outturn against the Place net controllable revenue budget is provided in the table below, whilst a detailed analysis is provided in Appendix B.

Table 3 – 2016-2017 Revenue Budget Outturn – Place

Service	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variation	
			Over/(Under) £000	%
Directorate	459	384	(75)	-16.31%
City Economy	7,189	7,125	(64)	-0.89%
Corporate Landlord	8,646	7,960	(686)	-7.94%
Strategic Director - Housing	1,788	1,798	10	0.55%
City Environment	23,947	23,790	(157)	-0.65%
Place Total	42,029	41,057	(972)	-2.31%

- 1.10 Overall a net underspend of £972,000 (-2.31%) for the year was achieved by the Place Directorate. The main factors contributing towards the underspend are detailed as follows:

1. **City Economy** – There was a net underspend of £64,000 within the service directorate which has arisen primarily as a result of an underspend against the Skills service due to large savings on Connexions. This underspend was offset by an overspend within Visitor Economy due to the Civic Hall being closed for refurbishment programme and some pressure associated with staffing costs as a result of abolishing zero hour contracts.

2. **Corporate Landlord** – This service directorate outturned with a £686,000 underspend mainly as a result of underspends within the following services:
- a. Corporate Asset Management as a result of savings achieved on utility costs due to change in accounting treatment and reduced costs as a result of building closures (£1.2 million).
 - b. Estate and Valuations service underspent by £356,000 because of additional income being received from former HRA shops and increased rental income as well as income stream from i10.
 - c. Maintenance Programme is showing a surplus of £113,000 as a result of additional income received from school SLA.

However, these underspends are offset partially by an overspend totalling £596,000 on Facilities Management due to increased costs for the management of vacant properties. Alongside this, the Capital Programme service outturned at an overspend of £382,000 primarily due to the change in accounting treatment of capitalised salaries and part under recovery of employee costs.

3. **City Environment** – There was a net underspend of £157,000 for the service directorate, which has arisen as a result of various factors including:
- a. Bringing in-house of the West Area grounds maintenance contract within Environmental Maintenance totalling £798,000.
 - b. Reduced energy costs within the Street Lighting service resulting in an underspend of £111,000.
 - c. Underspends against the Public Protection service as a result of staff vacancies and additional enforcement income being received totalling £222,000 and
 - d. Additional income and general efficiency savings within the Operation & Maintenance of Network service totalling £102,000.

These savings were partly offset by an overspend of £184,000 within Transportation primarily due to the change in accounting treatment of capitalised salaries and part under recovery of costs. The Waste and Recycling service outturned with a deficit of £809,000 due to a savings target which could not be achieved in 2016-2017. The savings have been re-profiled in the MTFs.

Corporate Services (including Education)

- 1.11 A summary of the 2016-2017 outturn against the Corporate Services (including Education) net controllable revenue budget is provided in the table below, whilst a detailed analysis is provided in Appendix C.

Table 4 – 2016-2017 Revenue Budget Outturn – Corporate Services (incl Education)

Service	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variation	
			Over/(Under) £000	%
Directorate	1,433	1,213	(220)	-15.34%
Corporate Services	23,706	23,237	(469)	-1.98%
Governance	6,772	6,139	(633)	-9.35%
Education	1,762	5,887	4,125	234.14%
Corporate Services (incl Education) Total	33,673	36,476	2,803	8.32%

1.12 Overall a net overspend of £2.8 million (8.32%) for the year was achieved by Corporate Services including Education. The main factors contributing towards the overspend are detailed as follows:

1. **Directorate** – An underspend of £220,000 has arisen due to vacancies held across the Corporate Business Support service.
2. **Corporate Services** – There was a net underspend of £469,000 within the service directorate, which has primarily arisen as a result of:
 - a. Underspends within Audit Services (£254,000) and Corporate Communications (£265,000) due to unfilled vacancies held by both services.
 - b. A managed underspend of £918,000 on Central Corporate budgets to offset overspends within the other services within Corporate Services. These include an overspend of £300,000 on Commercial Services as a result of additional resources required to improve contract efficiencies and commercialisation, in addition to the slower delivery of savings within Customer Services required in order to maintain service levels during an extensive programme of technological improvements. This was monitored and identified in quarterly update reports to Cabinet (Resources) Panel throughout the financial year, and is the reason for the outturn variance against budget. It is important to note that £500,000 savings were identified during 2016-17 and that the Customer Services savings in the Medium Term Financial Strategy have been re-profiled to reflect updated delivery timescales.
3. **Governance** – There was a net underspend of £663,000 within the service directorate primarily as a result of underspends against the Human Resources service totalling £577,000 as a result of lower than anticipated spend against a

range of corporate training budgets and vacancies arising as former Transformation Division teams were amalgamated within the service. In addition to this, the Legal Service underspent by £105,000 as a result of higher than anticipated income levels.

4. **Education** - There was a net overspend of £4.1 million within the Education Directorate which has arisen primarily as a result of overspends in the following services:
- a. An overspend of £170,000 for Director of Education mainly due to savings targets not being met and increased costs relating to the Director of Education.
 - b. School Planning and Resources overspent by £619,000 as a result of increased transport costs.
 - c. Standards and Vulnerable Pupils overspent by £632,000. During 2016-2017 there were increased out of city placements which resulted in increased payments.
 - d. Schools overspent by £2.7 million primarily due to £2.1 million of academy deficits being charged to the General Fund. Councils are legally obliged to fund deficits for schools where forced academisation takes place. In addition to this, Schools also received £170,000 less Education Support Grant than originally anticipated for 2016-2017.

Corporate Budgets

- 1.13 A summary of the 2016-2017 outturn against the Corporate Budgets net controllable revenue budget is provided in the table below, whilst a detailed analysis is provided in Appendix D.

Table 5 – 2016-2017 Revenue Budget Outturn – Corporate Budgets

Service	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variation	
			Over/(Under) £000	%
Corporate Budgets	28,429	27,054	(1,375)	-3.90%
Corporate Budgets Total	28,429	27,054	(1,375)	-3.90%

- 1.14 **Corporate Budgets** – There was a net underspend of £1.4 million within Corporate Budgets. The main factors contributing towards the underspend are as follows:

- a. **Redundancy Costs** – Redundancy and pension strain payments totalling £3.6 million were incurred against the corporate budget during 2016-2017. Throughout 2016-17 it was anticipated that redundancy costs would be funded by underspends against the Central Provision for Auto-enrolment and Pay Award Costs, in addition to Capital Receipts flexibility announced by the Secretary of State.
 - b. **Treasury Management** – There was a net underspend of £1.7 million against the Corporate Treasury Management budget, primarily as a result of re-phasing in the capital programme and in prudent management of Treasury.
 - c. **Central Provision for Auto-enrolment and Pay Award Costs** – There was a £4.6 million underspend against the budget for auto-enrolment and pay award costs as the provision was not required in 2016-2017. This underspend has helped to offset overspends elsewhere within corporate budgets including redundancy costs.
 - d. **Provision for Bad Debts** – The adjustment to the provision for bad debts in was £1.0 million greater than the budget of £200,000 for 2016-2017. As the age of the debt increases the likelihood of collection reduces, therefore a greater provision for bad debts has been created in 2016-2017. Work will be undertaken during 2017-2018 to further improve the collection performance of outstanding debts, in addition to this a review of the provision methodology will be undertaken to account for the likelihood of collection after twelve months. The overspend against this line within Corporate Budgets was offset by underspends against the Central Provision for Auto-enrolment and Pay Award Costs as detailed above.
- 4.9 It is important to note that, Cabinet approval is sought in the Reserves, Provisions and Balances 2016-2017 report, to be presented at this meeting, to establish a Pension Deficit Recovery Reserve and to contribute £3.0 million from the General Fund revenue account during 2016-2017. In October 2016, Cabinet delegated authority to the Cabinet Member for Resources in consultation with the Director of Finance to explore the option of making further pension contributions to West Midlands Pension Fund in 2017-2018, in order to reduce the total costs and secure on-going budget reductions to support the budget challenge that the Council would face in future years.

5.0 Reserves, Provisions and Balances

- 1.1 A report detailing the Council's reserves, provisions and balances as at 31 March 2017 will be received at this meeting. The report, titled 'Reserves, Provisions and Balances 2016-2017', will seek approval for transfers to and from reserves, provisions and balances.
- 1.2 At the beginning of 2016-17 a balance of £10.0 million was held within the General Fund reserve. The General Fund Balance remains at £10.0 million as at 31 March 2017. This is the minimum balance as determined by the Council's policy on reserves and balances. Emphasis therefore continues to be placed on identifying budget reductions and income generation proposals to meet the projected budget deficit over the medium term.

1.3 It is important to note that the positive General Fund outturn position during 2016-2017, and the resulting adjustments to reserves, will help to support the Council's short term financial position. It does not, however, address the challenging financial position that the Council finds itself in over the medium term; namely identifying an additional £20.5 million of budget reduction and income generation proposals over the two-year period to 2019-2020. Cabinet will be presented with a report at this meeting detailing the progress towards identifying £14.8 million of budget reduction and income generation proposals for 2018-2019.

6.0 Outturn on Schools' Budgets

1.1 Schools that remain in local authority control started the 2016-2017 financial year with accumulated reserves of £11.9 million. At the end of the year revenue balances for these schools were £8.5 million, a reduction of £3.4 million. This remaining balance of £8.5 million represents 8.09% of the funding and income available to schools during 2016-2017.

1.2 The Directors of Education and Finance will continue to challenge those schools who hold surplus balances, aiming to gain an understanding of plans in place and whether they are appropriate.

1.3 Further details on schools' finances for 2016-2017 are shown at Appendix E.

7.0 Housing Revenue Account

7.1 The table below provides the Housing Revenue Account (HRA) revenue outturn for 2016-2017 compared to the approved budget. It is important to note that debt redemption, in order to enable future years' capital expenditure, is a critical element of the business plan and as such in-year surpluses are committed and not generally available.

Table 6 – Housing Revenue Account Revenue Outturn 2016-2017

	Budget £000	Outturn £000	Variation £000
Total income	(98,674)	(99,471)	(797)
Total expenditure	70,095	69,410	(685)
Net cost of HRA services	(28,579)	(30,061)	(1,482)
Interest payments and receipts	13,273	10,793	(2,480)
(Surplus)/deficit before transfers to/from reserves and provision for redemption of debt	(15,306)	(19,268)	(3,962)
<i>Allocation of (surplus)/deficit</i>			
Provision for redemption of debt	15,306	19,268	3,962
Balance for the year	-	-	-

- 7.2 The table above, which is shown in more detail at Appendix F, shows the 2016-2017 revenue outturn against budget for the Housing Revenue account (HRA). The outturn position for the year is a surplus of £19.3 million, compared to a budgeted surplus of £15.3 million. The additional surplus of £4.0 million will be used to redeem debt to comply with the Council's approved HRA Business Plan.
- 7.3 The main forecast variance was an underspend of £2.5 million on interest payable which was primarily due to slippage on the HRA capital programme.
- 7.4 Rental income from dwellings was £800,000 higher than budgeted due to a reduction in time taken to re-let empty properties.
- 7.5 Overall expenditure was £700,000 lower than budgeted generally due to underspends on repairs and maintenance and supervision and management costs.

8.0 Yoo Recruit Limited

Financial Summary

- 1.1 On the 7 January 2014 Cabinet (Resources) Panel approved the structure of a Council owned temporary staffing agency. Yoo Recruit has now completed the first three years of trading. The table below summarises the financial position for the 2016-2017 financial year; the company had a turnover of £10.0 million and a net surplus after tax of £298,000. It is proposed that the net surplus is retained by Yoo Recruit to enable business development. The financial statements of Yoo Recruit Limited will be subject to external audit.

Table 7 – Yoo Recruit Financial Statement 2016-2017

	£000
Sales	10,018
Direct Expenses	(9,173)
Gross Surplus	845
Overheads	(472)
Net Surplus before taxation	375
Taxation	(75)
Net Surplus after taxation	298

- 1.2 As a result of recruitment through Yoo Recruit Limited the Council has been able to avoid fees which would have otherwise have been incurred. These include approximately £225,000 in 2016-2017 in relation to the permanent recruitment of individuals who had

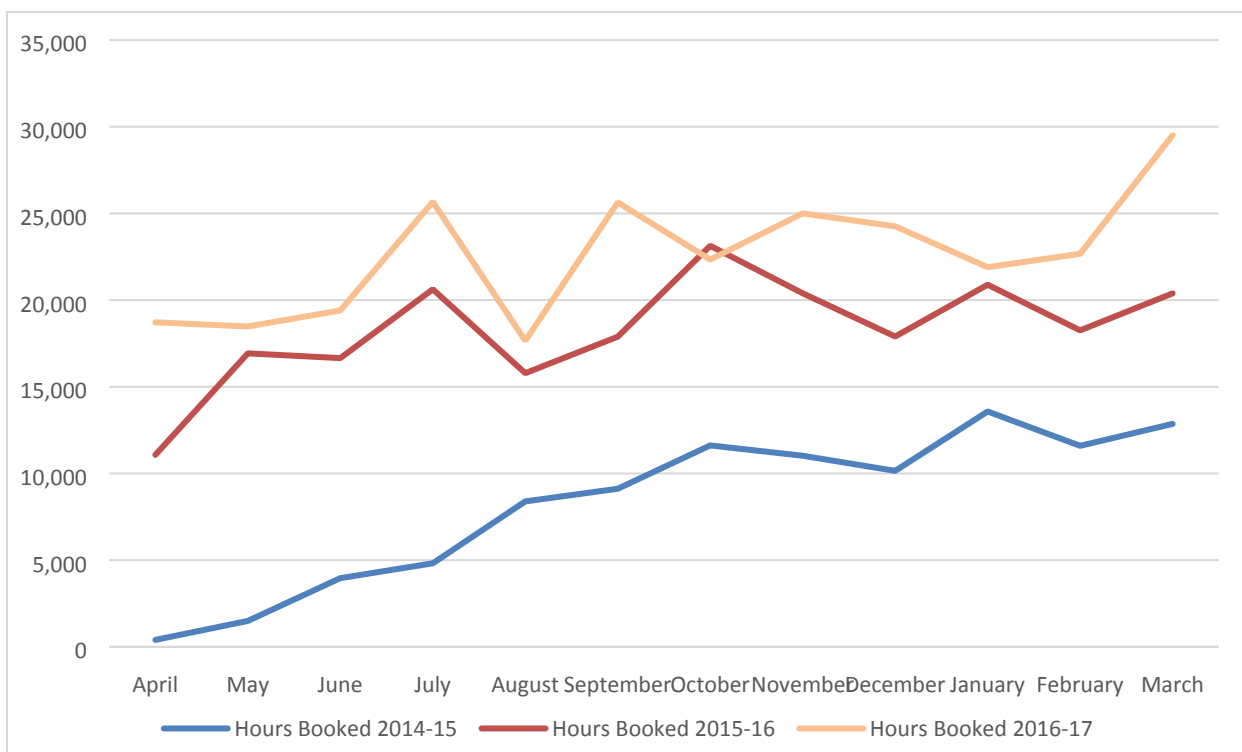
been previously employed on a temporary basis through the agency. Ordinarily the Council could expect to pay a fee for the transfer of temporary staff to permanent posts.

- 1.3 On the 22 July 2015 Cabinet approved a loan of £300,000 to Yoo Recruit Limited in order to maintain the cash flow and, therefore, enable further business development. The loan was repaid in 2016-2017.

Operational Data

- 1.4 During 2016-2017 approximately 271,221 hours of work were booked through Yoo Recruit. Graph 1 illustrates the hours booked per month and demonstrates a steady increase both over the course of the year, and from 2014-2015.

Graph 1 – Yoo Recruit, Hours Booked per Month



- 1.5 Over the course of the year a total of 17,553 individual bookings were made by clients and a total of 774 workers were employed to fulfil the bookings.

2.0 Collection Fund

- 2.1 The Collection Fund outturned with a £3.3 million deficit during 2016-2017 and this resulted in an overall deficit of £13.2 million to be carried forward. The Collection Fund income comes from receipts of Council Tax and Business Rates, also referred to as Non Domestic Rates (NDR) collected from tax payers during the year and any balances from previous years. The £3.3 million deficit outturned as a result of £2.0 million deficit on Council Tax and £1.3 million deficit for Business Rates.

- 2.2 The Collection Fund opening balance for Council Tax was a surplus of £2.8 million and combined with the in-year deficit results in a surplus balance of £759,000 to be carried forward.
- 2.3 The Collection Fund opening balance for Business Rates was a deficit of £12.7 million and combined with the in year deficit results in a deficit balance of £14.0 million to be carried forward.
- 2.4 In 2014-2015, as a result of the adverse outturn against the Collection Fund, primarily owing to the impact of appeals against Business Rates, over which the Council has no control, Cabinet approved the establishment of a Business Rates Equalisation reserve to equalise the impact of appeals on the Council. In the Reserves, Provisions and Balances report to be presented to Cabinet at this meeting, approval is sought to increase that reserve in 2017-2018 to support the Council over the medium term.

10.0 Debt Write Offs

- 10.1 Debts are only written off as a last resort, when all feasible recovery action has been exhausted. If the situation surrounding an individual case changes in the future, appropriate steps would be taken to pursue the debt, despite the debt having been formally written off in the Council's accounts.
- 10.2 **The Collection Fund** - the City of Wolverhampton Council acts as billing and collecting authority for council tax and non-domestic rates income. The Council administers a separate Collection Fund account for this purpose. The Collection Fund accounts for the receipt of council tax and business (non-domestic) rates income and payments to precepting authorities such as the Fire Authority and the Police. Within this account, provisions are made for bad and doubtful debts and any write offs are charged to the Council Tax or Business Rates provision as appropriate.
- 10.2.1 **Council Tax** - Overall, 1,461 debt write offs totalling £366,018.82 have been incurred. All except 4 totalling £23,104.94, which require the approval of this Panel (see Appendix I), have been approved for write off by the Director of Finance in accordance with the Council's Financial Procedure Rules.
- 10.2.2 **Non-Domestic Rates** - Overall, 99 debt write offs totalling £1,274,490.90 have been incurred. All but seven valued at £192,133.08 in total, which require the approval of this Panel (see Appendix G), have been approved for write off by the Director of Finance in accordance with the Council's Financial Procedure Rules.
- 10.3 **Sundry Debtors** - Income is due to the council for a wide range of services provided to individuals and businesses. To reflect the fact that, despite the council's best efforts, not all of this income will actually be collected, the council makes provision for bad and doubtful debts, which it charges directly to the General Fund. Overall, 46 debt write offs totalling £45,559.95 have been incurred. All have been approved for write off by the Director of Finance in accordance with the Council's Financial Procedure Rules.

- 10.4 **Housing Benefits** - Housing benefit overpayments occur when rent rebate or rent allowance awards exceed a recalculated entitlement. Whilst the Council aims to limit the incidence of overpayments they may occur for a number of reasons including as a result of fraud or error. In general, overpaid benefit is written off in line with Government guidance where recovery would cause hardship, where the debtor has died or cannot be traced.
- 10.5 The Council receives Government subsidy in respect of overpaid housing benefit at rates of between 40% and 100% according to the circumstances in which the overpayment arose. The unsubsidised element of any overpayment is charged to the General Fund.
- 10.6 Overall 69 debt write offs totalling £29,813.59 have been incurred during the period. All but two valued at £14,662.89 in total, which require the approval of this Panel (see Appendix H), have been approved for write off by the Director of Finance in accordance with the Council's Financial Procedure Rules.
- 10.7 As a result of the information detailed in paragraphs 10.3 – 10.6 above, the Director of Finance has approved the write off of 1,662 debt accounts totalling £1.5 million in value.

11.0 Financial Implications

- 11.1 The financial implications are detailed in the body of the report.
[MH/04072017/G]

12.0 Legal Implications

- 12.1 Section 151 of the Local Government Act 1972 requires local authorities to make arrangements for the proper administration of their financial affairs.
- 12.2 The General Power of Competence, contained in Section 1 (1) the Localism Act 2011 gives eligible local authorities, , “*the power to do anything that individuals generally may do*” as long as they do not break other laws. This includes the power to lend or invest money and to set up a company to trade and engage in commercial activity.
- 12.3 The provision of a ‘soft’ loan where there is an artificially low rate of interest or it is non-interest bearing can constitute State Aid under European legislation. The Council will avoid any question of their being State Aid if it can show that the loan agreement terms including the amount and the length of the loan and the interest rate under which the loan is repayable corresponds to normal market conditions i.e. it is on commercially acceptable terms. This will be the case here.
[TS/05072017/Q]

13.0 Equality Implications

- 13.1 As this report provides details of the outturn for 2016-2017, there are no equalities implications arising from it. The necessary equalities analyses were carried out as part of the preparations for setting the 2016-2017 and 2017-2018 budgets, and will similarly form part of the requisite pre-work for 2018-2019.

14.0 Environmental Implications

- 14.1 The Council's annual budget and medium term financial strategy support a range of programmes designed to both improve environmental conditions across the city and promote economic and community development.

15.0 Background Papers

Draft Budget and Medium Term Financial Strategy 2018-2019 – 2019-2020, report to Cabinet, 19 July 2017.

Reserves, Provisions and Balances 2016-2017, report to Cabinet, 19 July 2017.

2017-18 Budget and Medium Term Financial Strategy 2017-18 – 2019-20, report to Cabinet, 22 February 2017.

Revenue Budget Outturn 2016-2017 – People

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Directorate					
Strategic Director People		1,887	1,855	(32)	-
Safeguarding	The overspend is mainly due to the appointment of additional Independent Review Officers along with increased costs against the Children's Safeguarding Board.	1,941	2,128	187	(7)
Total Directorate		3,828	3,983	155	(7)

Revenue Budget Outturn 2016-2017 – People

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-17 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Older People					
Business Support		71	74	3	-
Carer Support	The underspend is as result of support packages being coded against the individual rather than the carer. Costs will therefore be shown against service budgets. The coding of packages within Care First will be explored during 2017-18	1,292	791	(501)	-
Community Support	The underspend is as a result of efficiencies on employee costs.	993	880	(113)	-
Independent Living Service		2,303	2,253	(50)	-
Older People Assessment & Care Management	The overspend is a result of cost pressures across care purchasing budgets due to increased demand for support	14,826	15,851	1,025	(283)
Older People Commissioning	-			-	-
Older People Provider Services		4,004	4,054	49	-
Quality Assurance and Policies		287	207	(80)	-
Service Director Older People	The underspend is due to the early achievement of a 2017-18 Budget Reduction Target.	592	458	(134)	-
Welfare Rights & Financial Assessment		1,560	1,461	(99)	-
Total Older People		25,928	26,029	101	(283)

Revenue Budget Outturn 2016-2017 – People

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Disability & Mental Health					
Service Director Disability & Mental Health		96	143	47	
All Age Disability (Disabilities)	The underspend is due to the early achievement of a 2017-18 Budget Reduction Target.	1,846	1,624	(223)	
Better Care Fund		-	12	12	
Children With Disabilities	The underspend mainly on residential short breaks.	2,338	1,946	(392)	
Children's Disability Commissioning		50	40	(10)	
Emergency Duty Team	The overspend is as a result of employing agency staff covering long term staff absences.	456	585	129	
Joint Commissioning Younger Adults				-	
Learning Disability Assessment & Care Management	The overspend is due to cost pressures across care purchasing budgets; including greater expenditure relating to prior years higher than projected and slippage on Budget Reduction Targets.	17,668	19,720	2,052	(123)
Learning Disability Provider	The overspend relates to slippage on the Budget Reduction Target across in-house services. Target will be delivered in full in 2017-18.	4,640	5,035	395	
Mental Health Assessment & Care Management		4,476	4,453	(23)	(59)

Revenue Budget Outturn 2016-2017 – People

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Mental Health Commissioning	The underspend is due to efficiencies on contract budgets across the service	867	686	(182)	
Physical Disabilities Assessment	The underspend is mainly due to efficiencies across staffing budgets due to vacancies and associated budgets.	5,203	5,056	(147)	(5)
Short Breaks Commissioning		394	465	72	
Total Disability & Mental Health		38,034	39,765	1,731	(187)

Revenue Budget Outturn 2016-2017 – People

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Children & Young People					
Service Director Children & Young People		(237)	(181)	56	
Child Protection	The overspend is due to increased costs in relation to Section 17, including no recourse to public funds (NRPF) totalling £550,000, offset in part by efficiencies on the Contact contract.	6,522	6,988	466	
Children's Commissioning		619	537	(82)	
Early Intervention	The underspend is as a result of one off savings due to staff vacancies following the Children Services re-design.	4,187	3,647	(540)	132
Early Years		496	528	32	(440)
Inclusion Support	The underspend is a result of efficiencies across the service and the generation of increased income	683	450	(233)	130
Looked After Children	The underspend is mainly due to the early achievement of Budget Reduction targets across LAC (£2.2 million), this is off set in part by pressures on adoption /residence order allowances of £1 million and the creation of a reserve to support the Multi Agency Safeguarding Hub (MASH) .	29,181	28,197	(984)	406

Revenue Budget Outturn 2016-2017 – People

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Social Inclusion & Play Service				-	
Specialist Support	The underspend is as a result of one off savings due to staff vacancies following the Children Services re-design.	2,740	2,227	(513)	
Youth Offending	The underspend is due to the early achievement of the Budget Reduction Target (£150,000) along with one off efficiencies due to staff vacancies.	1,236	931	(305)	
Youth Services		-		-	
Total Children & Young People		45,428	43,324	(2,104)	228

Revenue Budget Outturn 2016-2017 – People

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Public Health & Wellbeing					
Service Director Public Health & Wellbeing		-	-	-	(1,079)
Business Continuity & Emergency Planning		-	-	-	
Commissioning		-	-	-	
Community Safety		-	-	-	(135)
Contracts		-	-	-	
Health Protection & NHS Facing		-	-	-	
Healthier Places Service		-	(7)	(7)	(98)
Intelligence & Evidence		-	-	-	
Management and Administration		-	-	-	
Sports Development		-	-	-	(61)
Transformation - Public Health		-	-	-	(344)
Total Public Health & Wellbeing		-	(7)	(7)	(1,717)
Total People		113,219	113,094	(125)	(1,966)

Revenue Budget Outturn 2016-2017 – Place

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Directorate					
Strategic Director Place		459	384	(75)	(79)
Total Directorate		459	384	(75)	(79)
City Economy					
Adult Education		(145)	(145)	(0)	-
City Development		549	518	(31)	(551)
Enterprise		691	635	(56)	-
Library Services		1,462	1,406	(56)	(21)
Planning	The underspend has arisen as a result of over achieving against income budgets	833	753	(79)	(95)
Service Director City Economy		136	133	(3)	-
Skills	The underspend is a result of large saving achieved on Connexions Contract.	2,135	1,971	(164)	(201)
Visitor Economy	The overspend within Visitor Economy is due to the Civic Hall being closed due to a refurbishment programme and as a result of some pressure associated with staffing costs as a result of abolishing zero hour contracts	1,529	1,854	325	(15)
Total City Economy		7,189	7,125	(64)	(882)

Revenue Budget Outturn 2016-2017 – Place

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Corporate Landlord					
Capital Programme	An overspend primarily due to the change in accounting treatment of capitalised salaries and part under recovery of costs through PCB	(195)	188	382	(2)
Catering		(1,573)	(1,569)	3	-
Cleaning		995	1,007	11	-
Corporate Asset Management	The underspend is due to savings on utilities due to a change in accounting treatment and reduced costs as a result of building closures. The underspend is offset by additional costs relating to the disposal of buildings.	8,403	7,225	(1,178)	(305)
Corporate Landlord Support		489	452	(37)	-
Estates and Valuations	The underspend is as a result of receiving additional income from former HRA shops, increased rental income as well as income stream for I10.	(2,663)	(3,020)	(356)	3
Facilities Management	The overspend is due to increased costs for management of vacant properties which is partly reflected through underspend on energy and NNDR shown above and partly offset by estates rental income.	939	1,535	596	-
Head of Corporate Landlord		283	289	5	(37)
Maintenance Programme	An underspend is due to receiving additional income from schools SLA which is offset by corresponding costs in Facilities Management above.	1,967	1,854	(113)	-
Corporate Landlord		8,646	7,960	(686)	(341)

Revenue Budget Outturn 2016-2017 – Place

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Strategic Director Housing					
Housing		1,788	1,798	10	-
Total Strategic Director Housing		1,788	1,798	10	-

Revenue Budget Outturn 2016-2017 – Place

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
City Environment					
Service Director City Environment		124	127	3	-
Bereavement Services		(2,108)	(2,122)	(13)	400
Environmental Maintenance	An underspend is primarily due to the bringing in-house of the West Area grounds maintenance contract	6,974	6,176	(798)	-
Fleet Services		(527)	(470)	57	-
Highways Maintenance		1,981	2,045	64	-
Landscape		(24)	4	27	-
Operation & Maintenance of Existing Network	An underspend is due to receiving additional income and achieving general efficiency savings	991	890	(102)	-
Parking Services	Increased car parking and bus lane enforcement income offset by associated additional costs	(2,293)	(2,348)	(56)	400
Public Protection	An underspend as a result of savings due to staff vacancy and additional enforcement income received during the year.	2,085	1,863	(222)	-
Street Lighting	An underspend as a result of reduced energy costs	2,795	2,684	(111)	-
Transportation	The overspend is primarily due to the change in accounting treatment of capitalised salaries and part under recovery of costs	639	823	184	-
Waste and Recycling Service	The overspend is due to unachieved savings which have been re-profiled in the updated MTFs	13,310	14,119	809	(14)
Total City Environment		23,947	23,790	(157)	786
Total Place		42,029	41,057	(972)	(516)

Revenue Budget Outturn 2016-2017 – Corporate Services (including Education)

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Directorate					
Managing Director		196	196	(0)	-
Corporate Business Support	An underspend has arisen due to vacancies held across the service.	1,237	1,017	(220)	(513)
Total Directorate		1,433	1,213	(220)	(513)

Revenue Budget Outturn 2016-2017 – Corporate Services (including Education)

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Corporate Services					
Finance Director		144	142	(2)	-
Audit Services	An underspend has arisen due to vacancies held across the service and changes in working practices.	1,936	1,682	(254)	(460)
Central Corporate Budgets	Managed underspend to offset forecast overspends within the Directorate.	5,144	4,225	(918)	-
Commercial Services	The overspend has arisen as a result of additional resources required to improve contract efficiency and commercialisation. Contract efficiencies will be obtained across the Council.	608	908	300	(10)
Corporate Communications	An underspend has arisen due to vacancies held across the service.	1,893	1,628	(265)	-
Customer Services	During 2016-17 it was identified that slower delivery of savings within Customer Services was required in order to maintain service levels during an extensive programme of technological improvements. It is important to note that £500,000 savings were identified during 2016-17. The remaining savings target has now been distributed across the directorates.	1,969	2,312	343	-
ICTS		4,460	4,546	86	-
Leisure Services	An overspend was forecast during the financial year and has been contained within Corporate Services.	1,390	1,586	196	-

Revenue Budget Outturn 2016-2017 – Corporate Services (including Education)

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Revenues & Benefits		2,130	2,119	(10)	-
Service Improvement		81	81	0	-
Strategic Finance		2,264	2,256	(8)	(500)
The Hub		1,689	1,751	63	-
Total Corporate Services		23,706	23,237	(469)	(970)

Revenue Budget Outturn 2016-2017 – Corporate Services (including Education)

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Governance					
Democratic Services		2,204	2,105	(99)	-
Director of Governance		158	140	(18)	-
Governance Services		534	510	(24)	-
Human Resources	An underspend has arisen as a result of lower than anticipated spend against a range of corporate training budgets and vacancies arising as former Transformation Division teams were amalgamated within the service. It is anticipated that training budgets will be fully utilised in future when directorates are provided with workforce planning support through a restructured service.	3,003	2,427	(577)	(338)
Legal Services	An underspend has arisen due to higher than anticipated income levels.	2,177	2,072	(105)	-
Licensing		(448)	(448)	-	165
Markets	Income levels have reduced, partly due to temporary charging arrangements extended to Wolverhampton traders.	(856)	(668)	188	25
Total Governance		6,772	6,139	(633)	(148)

Revenue Budget Outturn 2016-2017 – Corporate Services (including Education)

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Education					
Director of Education	Overspent as a result of £90,000 savings which were not delivered and increased costs relating to the interim Director of Education.	134	304	170	-
School Planning & Resources	Overspend as a result of increased transport costs.	3,487	4,105	619	-
Schools	An overspend primarily due to £2.1 million academy deficits being charged to the General Fund. (Forecast at £1.3m q3). Schools also received £170,000 less Education Support Grant for 2016-17 than budgeted and £300,000 more grant was accrued in previous years which has impacted this year's income when the accrual was reversed.	(2,600)	104	2,704	-
Standards and Vulnerable Pupils	There were an increased number of out of city placements in 2016-17.	742	1,373	632	-
Total Education		1,762	5,887	4,125	-
Total Corporate		33,673	36,476	2,803	(1,631)

Revenue Budget Outturn 2016-2017 – Corporate Budgets

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Corporate Budgets					
Treasury Management Budgets	The underspend against the Treasury Management Budget has arisen as a result of rephasing in the capital programme and the prudent management of treasury budgets.	14,647	12,963	(1,684)	
Central Provision for Auto-enrolment and Pay Award Costs	There was an underspend against the budget for auto-enrolment as the provision was not required in 2016-17. This underspend has helped to offset overspends elsewhere within corporate budgets including redundancy costs.	4,593	-	(4,593)	
West Midlands Transport Levy	Underspend as a result of the levy charge being less than what was estimated at the start of the year.	11,380	11,245	(135)	
Environment Agency Levy		67	70	3	
Provision for Bad Debts	Provision for bad debts was greater than originally budgeted. Work will be undertaken during 2017-18 to further improve the collection performance of outstanding debts, in addition to this a review of the provision methodology will be undertaken to account for the likelihood of collection after twelve months.	200	1,207	1,007	
Birmingham Airport - Rent		(69)	(80)	(11)	
Redundancy Costs	Redundancy payments due in 2016-17 arising as a result of the voluntary redundancy programme.	-	3,611	3,611	

Revenue Budget Outturn 2016-2017 – Corporate Budgets

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Capital Receipt Flexibility - Redundancy costs	In December 2015, the Secretary of State announced that from 1 April 2016 capital receipts may be used for revenue transformational projects. Capital receipts totalling £1.9 million have been used to offset reorganisation costs.	-	(1,857)	(1,857)	
		-	-	-	
Other Corporate /Transformation Budgets and Contingencies	Underspends arising against other corporate budgets.	1,811	(216)	(2,027)	
Contribution from BSF refinancing reserve	Contribution to specific reserves	(4,200)	(4,200)	-	
Contribution to Pension Deficit Recovery reserve	Contribution to specific reserves	-	3,037	3,037	
Contribution to Regional Work Reserve	Contribution to specific reserves	-	213	213	
Contribution to Homelessness Reserve	Contribution to specific reserves	-	168	168	
Contribution to Efficiency Reserve	Contribution to specific reserves	-	439	439	
Contribution to Business Rates Equalisation Reserve	Contribution to specific reserves	-	454	454	

Revenue Budget Outturn 2016-2017 – Corporate Budgets

Service/Budget	Reason for Variation/Comments	Net Controllable Budget 2016-2017 £000	Net Controllable Outturn 2016-2017 £000	Variance 2016-2017 £000	Element Relating to Transfer to/(from) Earmarked Reserves £000
Reserve Adjustments:					
Contribution to the Efficiency Reserve	Reallocation of the positive General Fund underspend to Earmarked Reserves to ensure sufficient funds are available for future projects.	-	266	266	
		-	-	-	
Total Corporate Budgets		28,429	27,320	(1,109)	-
Total Education		28,429	27,320	(1,109)	-

Outturn on Schools' Budgets

Overview

Schools that remain in local authority control started the 2016-2017 financial year with accumulated reserves of £11.9 million. At the end of the year revenue balances for these schools were £8.5 million, a reduction of £3.4 million. This represents 8.09% of the funding and income available to schools during 2016-17.

Schools budget plans collected assumed balances of £4.3 million for 2016-2017 therefore actual balances are £4.2 million greater than forecast.

The table below illustrates the in-year movement by school type

Table 8 - Analysis of Schools Balances 2016-2017

	Balance at 1 April 2016 £000	Use of Balances in 2016-2017 £000	Balance as at 31 March 2017 £000
Infant	(489)	253	(236)
Junior	(564)	124	(440)
Primary	(6,576)	1,911	(4,665)
Secondary	469	689	1,158
Special	(1,887)	539	(1,348)
Nursery	(1,427)	580	(847)
PRU	(1,469)	(608)	(2,077)
Total	(11,943)	3,488	(8,455)

Within the City, five schools have now had a balance of over fifteen per cent of their income for five years meaning that the Local Authority is liable to further challenge from the Department for Education with regard to these schools. During 2015-2016 the Local Authority met with head teachers and chairs of governors of schools to agree plans for the use of balances to ensure that they were being used effectively.

In July 2016 an arbitration panel met with eight schools with high levels of balances to consider a recovery of some level of surplus which would be used on school improvement priorities agreed by the school forum. The result of this process was a recovery of £85,000 from a single school, which was added to the reserve and is available for school improvements under a bidding process. In March 2017, the same panel met with four schools, and have again agreed to recover surplus funds from a single school, amounting to £26,000.

Schools may be maintaining balances for:

APPENDIX E

- a) Future cost increases in pension and other pay related costs, whilst they are aware that there will be no increases in funding per pupil for the foreseeable future.
- b) The impact of a national funding formula that has been announced for 2018-2019. It is expected that this will bring significant turbulence in the school funding system and to schools funding settlements.

It is important to note that, as any variances against schools' delegated budgets are transferred either to or from schools' accumulated reserves, their outturn position is financially neutral to the Council's General Fund.

Schools in a Deficit Position

The table below shows that the total number of schools in deficit has increased by two.

Table 9 – Number of Schools in a Deficit Position

Sector	2015-2016	2016-2017
Infant	-	1
Junior	-	1
Primary	3	4
Secondary	3	4
Special	-	-
Nursery	-	1
Pupil Referral Unit	3	-
Total	9	11

Where schools end the financial year in a deficit position they are required to seek the approval of the Local Authority, to operate with a deficit balance. A further report on these will be brought to Cabinet (Resources) Panel in September 2017.

A further £1.8 million has been taken out from the school balances reserve to fund the continued pressures in Out of City placements, effectively borrowing from the 2017-2018 allocation.

APPENDIX F

Housing Revenue Account Revenue Outturn 2016-2017

	2016-2017 Budget £000	2016-2017 Outturn £000	2016-2017 Forecast Variance £000
Income			
Gross rents – dwellings	(92,389)	(93,274)	(885)
Gross rents – non dwellings	(860)	(847)	13
Charges to tenants for services and facilities	(5,425)	(5,350)	75
Total income	(98,674)	(99,471)	(797)
Expenditure			
Repairs and maintenance	26,104	25,763	(341)
Supervision and management	19,135	18,717	(418)
Rents, rates and taxes	435	378	(57)
Increase in provision for bad debts	2,250	2,393	143
Depreciation of fixed assets	22,171	22,159	(12)
Total expenditure	70,095	69,410	(685)
Net cost of HRA services	(28,579)	(30,061)	(1,482)
Interest payable	13,597	11,141	(2,456)
Interest and investment income	(37)	(61)	(24)
Adjustment for premiums and	(287)	(287)	-
(Surplus)/deficit before transfers to/from reserves and provision for redemption of debt	(15,306)	(19,268)	(3,962)
Allocation of (surplus)/deficit			
Provision for redemption of debt	15,306	(19,238)	3,962
Balance for the year	-	-	-

APPENDIX G

National Domestic Rates (NDR) Write offs to be approved by Cabinet

Account Ref	Reason for Write-off	Write-off amount £
5110422	No Trace	7,778.30
5109567	Recovery Prohibited By Statute	77,720.47
5102791	Recovery Prohibited By Statute	45,645.59
5107768	Recovery Prohibited By Statute	23,730.36
5101359	Recovery Prohibited By Statute	16,880.07
5058814	Recovery Prohibited By Statute	15,199.44
5058039	Recovery Prohibited By Statute	5,178.85
	Total	192,133.08

APPENDIX H

Housing Benefit Write offs to be approved by Cabinet

Account Ref	Reason for Write-off	Write-off amount £
52238	Deceased	9,286.00
MATNX003	Deceased	5,376.89
	Total	14,662.89

APPENDIX I

Council Tax Write offs to be approved by Cabinet

Account Ref	Reason for Write-off	Write-off amount £
2960243223	No Trace	5,203.47
11670021122	Recovery Prohibited By Statute	5,206.85
16900321304	Recovery Prohibited By Statute	7,232.47
61234545497	No Trace	5,462.15
	Total	23,104.94

Cabinet Meeting

19 July 2017

Report title	Libraries Transformation Strategy 2017 – 2027	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor John Reynolds City Economy	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Keren Jones, City Economy	
Originating service	Libraries	
Accountable employee(s)	Charlotte Johns	Head of Service, City Economy
	Tel	01902 554240
	Email	charlotte.johns@wolverhampton.gov.uk
Report to be/has been considered by		

Recommendation(s) for action or decision:

The Cabinet is recommended to:

1. Approve the 10 year Libraries Strategy (appendix A), having read and considered the appendices in full, including the feedback received in the twelve week consultation period (appendix B) and equalities analysis (appendix C).
2. Agree to review the location of Bilston Library and Gallery at a future Cabinet meeting, pending more detailed feasibility study.

1.0 Purpose

- 1.1 The purpose of this report is to approve the 10 year libraries strategy and supporting appendices, including the survey analysis following the 12 week public consultation which was held from 27 February to 21 May 2017.
- 1.2 The City of Wolverhampton is committed to library services, and the strategy maintains 16 libraries.

2.0 Background

- 2.1 A peer challenge of the library service in 2016 emphasised that there was a need for change to ensure that a vibrant, modern and sustainable library service is delivered. This resulted in developing a draft libraries strategy. A 12 week public consultation then followed.
- 2.2 We have identified the following strategic aims for Wolverhampton Libraries to achieve improved outcomes for the City of Wolverhampton.
 - Supporting reading and literacy
 - Promoting learning & improving skills
 - Increasing the use of digital services
 - Promoting and enabling health & wellbeing
 - Widening access to quality information
 - Broadening access to culture
- 2.3 These six strategic aims form our core offer to all people who live, work and study in Wolverhampton. These aims incorporate the 'National Universal Offer' framework recommended by the Society of Chief Librarians.
- 2.4 The public consultation also gauged public opinion on the following areas:
 - Improve the quality of the physical library spaces
 - Good quality book stock that is well rotated across the network
 - To stop investing in 'old technologies' such as CDs and DVDs
 - Support people to access new and emerging digital technology
 - Increase the opening hours, accessibility and convenience for library users through working with other services and the community to increase co-location, use of self-service facilities and use of volunteers.
 - Hold and promote a variety of events and activities in libraries to support the delivery of our strategic aims
 - Ensure there are professional well trained staff that can support individuals and communities to improve their life chances
 - Increase the number, use and roles of volunteers in the library service to increase skills and employability for local people
 - Increase income generation and commercialisation in the service to improve sustainability of the service.

3.0 Consultation

- 3.1 Over 800 people participated in the public consultation through completion of an online survey and four consultation events.
- 3.2 Various methods of communication were used to promote the consultation including promotion in libraries and other council buildings, emails, press releases and social media outlets.
- 3.3 Four consultation events took place, one within each constituency area with an additional event at Bilston.

Event	Date	Number in attendance (based on signing in sheet)
Bilston Library	22 March 2017	45
Bantock House	23 March 2017	13
Wednesfield Library	25 March 2017	3
Bilston Library	19 April 2017	18

- 3.4 A further consultation event with City of Wolverhampton's Youth Council took place on 24 April 2017.

- 3.5 The key themes from the consultation were:

- Individuals were very supportive of the library services and believed that it continued to be relevant for a wide variety of reasons.
- Most respondents (82%) indicated that they are satisfied with the current service provided
- At least 78% of respondents agree or strongly agree with the proposed vision statement

Proposed Strategic Aims	% satisfied / highly satisfied
Promoting learning and improving skills	92.92%
Supporting reading and literacy	92.21%
Widening access to quality information	89.89%
Broadening access to culture	85.13%
Increasing the use of digital services	83.83%
Promoting and enabling health and wellbeing	80.86%

- A large proportion of respondents (65.3%) agree with the vision to provide good quality books.
- Over half the respondents (61.7%) agreed that the quality of library spaces should be improved.
- Over half of the respondents (53.3%) agreed to increasing the opening hours across the library service.
- A small proportion of respondents (26.4%) agreed that the library service should stop investing in old technologies such as CDs and DVDs. However, respondents (60.7%) further agreed to invest in new emerging technologies.

- A small number of respondents (9%) that own an e-book access the libraries e-book collection.

3.6 As part of the consultation, over half the respondents (62.8%) were interested in events and activities taking place in libraries.

3.7 A consultation for the Home Library Service has also taken place. The current service is delivered in partnership with Dudley Metropolitan Borough Council, with a contract in place until the end of September 2017. Around half of the users took part in the consultation with 99% of the respondents being satisfied with the service, and providing feedback on the desired frequency and length of visit and the type of resources they wish to receive. This feedback will be used to ensure the Home Library Service meets the needs of customers as part of a review of the delivery arrangements for this service going forward.

3.8 A consultation for the Education Library Service has also taken place. There were 15 respondents to the survey, and this feedback will also be used to review the delivery model of the service in partnership with schools and the Education directorate.

4.0 Bilston Library and Gallery

4.1 Bilston library is currently located at Mount Pleasant with the Gallery. As part of the consultation opinion was sought on the location of Bilston Library and Gallery to another location within Bilston.

4.2 Response to the consultation was mixed, and in the two consultation events people expressed that they wanted more information on a proposed move, including how services would fit into Bilston Town Hall and what would happen to the current Library and Gallery building should these services move.

Preferred location	Total	%
Option 1 - Move to Bilston Town Hall	138	21.7
Option 2 - Remain where it is	167	26.3
Option 3 - Move to another location	26	4.1
No opinion	108	17.0
Blank	196	30.9
Total	635	100.0

4.3 In order to explore these issue more fully and provide this information to the public for consideration, Cabinet will be asked to consider the findings of a more detailed feasibility study in due course.

5.0 Opening hours

5.1 During the consultation people supported extending opening hours at libraries. In order to respond to this, work has taken place with some Community Associations to see how

opening hours can be extended through providing additional 'self serve' only times at some libraries. This is in addition to, and not replacing periods when libraries are staffed.

- 5.2 As a result of this it has been possible to extend advertised opening hours at Ashmore Park and Long Knowle Libraries, to formalise arrangements where the library is accessible for self serve provision when the community hub is open as follows:
- Long Knowle Library – subject to volunteers being available, the library will also open from 12.30pm – 3.30pm on Wednesday increasing the library opening hours by 20%
 - Ashmore Park Library - subject to volunteers being available, the library will also open from 10am until 1pm on Wednesday and Friday increasing the library opening hours by 25%
- 5.3 Through the consultation, volunteers at Collingwood Library requested a change to opening hours to enable them to continue to support the running of the library. As a result, Collingwood library will remain open 15 hours a week but the hours will be spread out across the week.
- 5.4 New opening hours will take place from 31 July 2017.
- 5.5 Consultation is also underway with Low Hill Community Association to review the lay out of Low Hill library to potentially also enable increased opening hours through more self service provision in addition to staffed library hours.
- 5.6 The feedback received on opening hours in the consultation will also be used to inform service provision going forward.
- 6.0 Financial implications**
- 6.1 The 2017/18 net controllable budget for the Library Service is £1.9 million. There are currently no savings target included within the Medium Term Financial Strategy for the service. Ongoing efficiencies and improved income generation will continue to be sought whilst delivering the strategy.
- 6.2 There is no financial impact of the proposed amendment to opening hours as this is being facilitated through partnership with the community and voluntary sector.
- 6.3 Fees and charges were also part of the consultation. No changes are proposed to fees and charges for photocopying. Charges for room hire across the library estate will be reviewed as part of work around income generation.
- 6.4 Responding to feedback in the consultation regarding PC Hire, it is proposed from the 31 July that a two hour limit be introduced for all PC hire, with a charge of £1 per hour after this.
- 6.5 Future changes in the fees and charges for library services will be set in line with the corporate fees and charges review and report to Cabinet Resources Panel. The

proposed variation falls in line with Black Country Libraries Partnership (BCLiP) as detailed in the Cabinet Resources Panel report Fees and Charges review 2017/18.

[HM/07072017/H]

7.0 Legal implications

- 7.1 Library authorities are required to provide a “comprehensive and efficient” library service for everyone who wants to use it in its area (per section 7 (1) of the Public Libraries and Museums Act 1964). Section 7 (2) of the Act above also requires an authority to have regard to the “desirability” of securing by the keeping of adequate stocks by arrangements with other library authorities and by any other appropriate means that facilities are available for the borrowing of, or reference to books and other printed matter, pictures, gramophone records, films and other materials, sufficient in number, range and quality to meet the general requirements and any special requirements both of adults and children. The Council is also subject to a general duty of best value to "make arrangements to secure continuous improvement in the way in which its functions are exercised having regard to a combination of economy, efficiency and effectiveness". Best Value Statutory guidance issued by the Department for Communities and Local Government, revised in 2015, makes clear that this duty applies and includes economic, environmental and social value when reviewing service provision. Non compliance with the general duty of Best Value is a potential substantive ground for challenge that can be made against Councils and so this duty must also be considered and borne in mind.
- 7.2 Section 149 of the Equality Act 2010 establishes what is known as the Public Sector Equality Duty (PSED) and requires a public authority to have due regard to the need to eliminate discrimination, advance equality of opportunity and foster good relations between persons who share a relevant protected characteristic and those that do not. A public authority must be mindful of these requirements throughout the course of considering the proposed Libraries Services Transformation in this case up to and at the point of decision. To show the Section 149 PSED duty and requirements have been considered and met, a public authority often completes an equality analysis. Completion of one or more Equality Analysis does not in itself mean that the need to have “due regard” has been met but it does serve as documentary evidence that the duty and need to comply with the s149 PSED has been borne in mind and considered by the public authority in its consideration of the matter and decision making process. An up to date Equality Analysis dated 29 June 2017 in respect of the proposed Libraries Transformation Strategy has been undertaken and the noted positive and negative impacts and solutions (to mitigate any negative impacts) considered. Councillors are asked to analyse this report and all the relevant material referred to within the report and attached as supporting appendices with the specific statutory considerations in mind.

[RB/04072017/R]

8.0 Equalities implications

- 8.1 Equalities implications have been considered in line with the Equality Act 2010 and the Public Sector Equality Duty as set out above. This has included work on equality

analysis on all alternatives for the library service. An equalities analysis has been conducted on the strategy including the consultation findings.

9.0 Environmental implications

9.1 There are no known environmental implications at this time. A travel survey conducted in October/November 2016 showed that walking is the most popular mode of transport for visiting a library.

10.0 Human resources implications

10.1 Employee resources will need to be aligned to ensure effective delivery of the strategy.

11.0 Corporate landlord implications

11.1 There are significant implications for Corporate Landlord in terms of potential relocation and investment in certain libraries.

12.0 Schedule of background papers

12.1 Cabinet - 22 February 2017

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Transforming Libraries Strategy

2017 - 2027



Contents

Executive Summary	3
Key facts and figures about our libraries	5
Performance by library location 2015-16	6
Services and facilities libraries deliver in Wolverhampton	7
Vision	8
Delivering our vision	9
How we will deliver our strategic aims	10
<i>Cross cutting areas</i>	10
<i>Promoting learning and improving skills</i>	11
<i>Supporting reading and literacy</i>	12
<i>Widening access to quality information</i>	13
<i>Broadening access to culture</i>	14
<i>Increasing the use of digital services</i>	15
<i>Promoting and enabling health & wellbeing</i>	16
Appendix 1 - Action Plan	17
<i>Cross cutting areas</i>	17
<i>Promoting learning and improving skills</i>	19
<i>Supporting reading and literacy</i>	20
<i>Widening access to quality information</i>	21
<i>Broadening access to culture</i>	21
<i>Increasing the use of digital services</i>	22
<i>Promoting and enabling health & wellbeing</i>	23

Executive Summary

Our vision is:

Modern, vibrant and sustainable libraries for the City of Wolverhampton

The ambition of this strategy is to improve library services for people who live, work, and study in the City of Wolverhampton. It sets out how we will deliver local and national priorities in the context of changing demands and customer needs.

In the City of Wolverhampton we value our libraries, demonstrated by the 12% increase in visits to our libraries in 2016/17. Libraries provide a unique ‘cradle to grave’ service to the public, and are highly valued by communities – even those who do not use them. This is why our strategy maintains the current number of libraries in the city and enhances the offer and services delivered, bringing our libraries into the 21st century.

Against the backdrop of a wider public sector financial challenge, we also need to ensure that our libraries provide a network of support that is sustainable and provides value for money to taxpayers.

Background and Context

Libraries are a statutory service under the Public Libraries and Museums Act 1964, which means local councils in England have a duty to provide a ‘comprehensive and efficient’ library service for local people.

In May 2016 the Library Service undertook a Peer Challenge. This provided feedback on the service and our plans and approach to developing it in the future.

Demand for libraries is changing, and we need to promote their use whilst demonstrating value for money. Exploring new ways of working to

maximise our resources and maintain a quality service is important. We also need to ensure that we future proof library services so that they are equipped to meet the future needs of citizens, including maximising opportunities in relation to digital technologies.

What local people have told us about libraries in the City of Wolverhampton

In October 2016, the Council undertook an engagement exercise with communities, discussing the case for change and seeking feedback and views on what a modern, vibrant and sustainable library service should look like. Over 500 people participated in the engagement phase through externally facilitated workshops, an online survey, email and social media.

The key themes from the engagement exercise were:

- Besides offering educational value, libraries were seen to serve an important role as a social hub.
- Adopting a multi-use facility approach. The largest proportion of respondents believed that library services could be optimised and utilised more effectively through co-location and multi-use spaces.
- The majority of respondents felt that library services could improve if integrated into other organisations, in particular community, health and social organisations.
- When asked what would make people use a library more, the most cited theme was more convenient opening hours, a wider number of services and better computing facilities.
- Most participants reported that libraries of the future need a building because they are the hub of the community and motivate people to get out of their houses, relax, and enhance social interaction.



The full report on the findings from the engagement exercise can be found at wolverhampton.gov.uk/mylibraryservice

In February - May 2017 the Council undertook a formal consultation exercise on a draft libraries strategy. Over 830 people participated in the consultation through an online survey or attendance at a consultation event.

The key findings from the consultation, that have been used to inform this final strategy were:

- The majority of respondents (76.2%) agreed with the proposed vision statement of ‘a modern vibrant and sustainable library service for the City of Wolverhampton’.
- The six proposed Strategic Aims were approved by more than four-fifths of respondents, with the most support for ‘promoting learning and improving skills’ and ‘supporting reading and literacy’.
- When asked about the proposed ways of delivering the strategy, more than half of respondents were in agreement with all aspects.

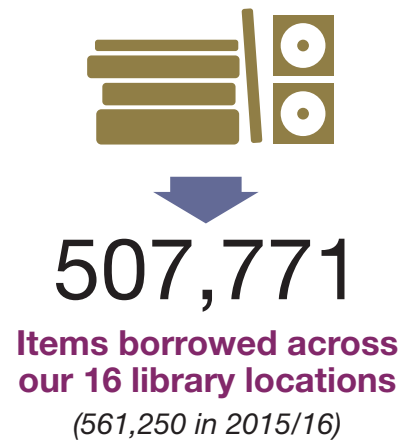
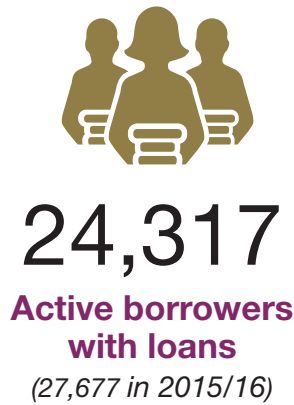
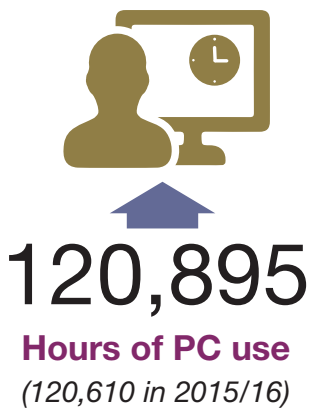
- There was support for promoting the use of new digital technologies, in particular extending the use of tablets and touch screens, 3D printers and hiring e-readers.
- Opening hours – many respondents reported that they would wish to see libraries open for longer. This strategy proposes this is done through co-location of libraries with other services and working with the community.
- 81.3% of respondents agreed with the idea to “hold and promote events and activities”. Respondents were invited to suggest different “events and activities” suitable for libraries, the most commonly-suggested being cultural & arts events, History, Reading Group, Learning another language, and Children and family events.

The full report on the findings from the consultation can be found at wolverhampton.gov.uk/mylibraryservice

Key facts and figures about our libraries (2016-17)



Resulting in...



Supported by...



Costing

£1,940,670
2017/18 Budget

Performance by library location 2015-16 and 2016-17



Library	Hours open	Visits 2015-16	Visits 2016-17	Items borrowed 2015-16	Items borrowed 2016-17
Ashmore Park	24	37875	37937 ▲	23393	19932 ▼
Bilston	35	38525	52312 ▲	31503	28319 ▼
Blakenhall Community Hub	56	2225	3900 ▲	1284	970 ▼
Central Library	47	348026	376754 ▲	174258	155577 ▼
Collingwood	15	875	1767 ▲	2959	2144 ▼
East Park	15	10100	11875 ▲	12558	7613 ▼
Finchfield	30	21625	22712 ▲	52797	48525 ▼
Long Knowle	15	6600	8237 ▲	10960	10622 ▼
Low Hill	15	8350	15163 ▲	13336	13285 ▼
Pendeford	24	21850	23013 ▲	25829	25222 ▼
Penn	24	21925	26475 ▲	31784	27229 ▼
Spring Vale	15	15475	22425 ▲	11454	9277 ▼
Tettenhall	30	28700	29400 ▲	69281	66466 ▼
Warstones	35	41100	41563 ▲	43122	38098 ▼
Wednesfield	35	58912	66325 ▲	47477	45676 ▼
Whitmore Reans	15	18125	18350 ▲	9245	8816 ▼
Total		680288	758208 ▲	561250	507771 ▼

Services and facilities libraries delivered in Wolverhampton

Library Loans



Books including inter-library loans and reservation facilities

Digital



Free public computer facilities



Free public wifi in all 16 libraries

Resources and Information



Reference materials and information



Newspapers and magazines



Other lending eg. audiobooks and e-books

Advice and Support



Blue badge scheme support



Support for job seekers



Health and well-being support eg. Memory Matters

A Community Space



A life long learning space



A safe space

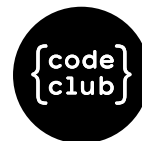


Office and room hire



Quiet space to read and study

Clubs, Events and Activities



Code clubs



Local community displays, e.g. photography clubs



Author events, theatre and other art and cultural activities

Vision

Our vision is:

Modern, vibrant and sustainable libraries for the City of Wolverhampton

We will maintain 16 libraries in the City of Wolverhampton.

Outcomes

Libraries in Wolverhampton play a significant role in supporting the delivery of the Council's Corporate Plan, and also the wider Vision 2030 for the city. We will measure the success of this strategy through the delivery of outcomes for local people.

The outcomes for local people which will be delivered through the City of Wolverhampton's Library Strategy 2017–2027 are:

- Improved skills, learning and life chances for local people
- Improved health and wellbeing for local people
- Local people's lives are enriched with improved access to culture, literature and quality information
- Increased civic and community participation through:
 - *Visiting and engaging in activities in libraries*
 - *Volunteering*

Our strategic aims are:

Libraries in Wolverhampton will work to six strategic aims that form our core offer to all people who live, work and study in the City of Wolverhampton. These aims incorporate the 'National Universal Offer' framework



recommended by the Society of Chief Librarians, and were strongly supported through the consultation on our libraries strategy.

They are:

- Promoting learning and improving skills
- Supporting reading and literacy
- Widening access to quality information
- Broadening access to culture
- Increasing the use of digital services
- Promoting and enabling health and wellbeing

Delivering our vision

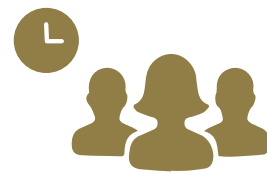
To deliver the vision and strategic aims there are a number of cross cutting areas we will work to deliver:



**professional
well trained staff**



**increasing
volunteering
opportunities**



**working with the
local community to
extend opening hours**



**high quality
book offer**



**access to
latest technology**



**increasing events
and activities**



**improving
physical library
spaces**



**making libraries
more sustainable**



**co-locating/providing
other services**

How we'll deliver our strategic aims

Strategic aim

Cross cutting areas

How we will deliver it

To delivery our vision of a 'vibrant, modern, sustainable library service' there are a number of actions we will deliver on. These support more than one or all of our strategic aims.

This includes:

- Wherever possible, increase opening hours, accessibility and convenience for library users through working with other services and the community to increase co-location, use of self service facilities and use of volunteers.
- Improve the quality of physical library spaces through a programme of improvement works to libraries, starting with those that have had no recent investment.
- Ensure on-going maintenance works in all libraries are completed in a timely manner.
- Maintain excellent customer service standards, ensuring libraries respond to customer feedback to ensure libraries meet the needs of local communities.
- Ensure there are professional well trained staff that can support individuals and communities to improve their life chances. This is to include the development of a workforce development plan for libraries.
- Improve the promotion of volunteering opportunities and the co-ordination of volunteers across the library network, working with external partners as necessary.
- Increase income generation and commercialisation in the service to improve sustainability of the service, including a review of room hire options across libraries and promote these, working in partnership with community associations where libraries are co-located.



How we will monitor success

Outcomes

- Improved skills, learning and life chances for local people
- Improved health and wellbeing for local people
- Local people's lives are enriched with improved access to culture, literature and quality information
- Increased civic and community participation through:
 - *Visiting and engaging in activities in libraries*
 - *Volunteering*

Outputs

- Number of hours library services are accessible per week
- Visit numbers
- Book issues
- PC usage
- Use of self service machines
- Number of volunteers
- Number of volunteer hours
- Income generated

Strategic aim

Promoting learning and improving skills

How we will deliver it

Everyone in our city should have the same opportunity to learn and achieve their ambitions in life, in their communities and at work. Libraries play an important role in promoting opportunities for learning, from informal to more formal learning opportunities and improving people's skills. This strategic aim was supported most strongly by local people in the consultation on our libraries strategy, and reflects the importance of this issue as identified through initiatives such as the Wolverhampton Skills and Employment Commission (2015). Libraries in the city need to play their part in ensuring the city's residents can develop the skills needed to compete successfully for local job opportunities.

We will do this through:

- Providing a free, safe and welcoming space for all people to learn and share knowledge in libraries.
- Providing access to quality materials such as books, digital equipment and other resources to promote learning and improve skills.
- Offering informal learning sessions that will help people to explore further opportunities for learning and/or creativity
- Signposting people to learning, skills and employment opportunities using initiatives such as Wolves@Work.
- Working in partnership with other learning providers to develop joint services to meet the needs of the city.

How we will monitor success

Outcomes

- Improved skills, learning and life chances for local people
- Increased civic and community participation through:
 - *Visiting and engaging in activities in libraries*
 - *Volunteering*

Outputs

- Visits to libraries
- Book issues
- PC usage
- Access to Wolves@Work via library PCs
- Number of volunteers
- Number of volunteer hours



Strategic aim

Supporting reading and literacy

How we will deliver it

Reading and literacy are fundamentally important life skills. Research suggests that adults and children who read are healthier, happier and more confident than those who do not.

We will do this through:

- Providing free access to quality reading materials that meet the needs of all our communities, that is well rotated across the network of libraries.
- Commissioning a new stock services contract with other Black Country libraries to maximise value for money.
- Implementing a new Library Management System to widen access to stock in other Black Country authorities and improve customer experience.
- Supporting reading and poetry groups in our libraries.
- Hosting events and activities that promote and support reading, such as the Summer Reading Challenge and author events.
- Meeting the national 'Children's Promise' to provide the highest quality experience for our children and young people in Wolverhampton libraries.
- Reviewing the Education Library Service delivery model to ensure that library resources are focussed on improving literacy.

How we will monitor success

Outcomes

- Improved skills, learning and life chances for local people
- Improved levels of literacy in the city
- Increased civic and community participation through:
 - *Visiting and engaging in activities in libraries*
 - *Volunteering*

Outputs

- Book issues
- Visit numbers
- Number of reading and poetry groups supported
- Attendance at reading and poetry groups
- Number of events and activities
- Participation levels in events and activities.





Strategic aim

Widening access to quality information

How we will deliver it

Libraries provide access to researched information, giving users of libraries a level of assurance in the information that they are receiving.

We will do this through:

- Providing a variety of impartial resources to aid businesses, self development and self help
- Having well trained staff and volunteers who can offer quality advice and guidance were appropriate
- Working with partners to widen access to quality information and advice, such as continuing to hold Citizens Advice Bureau surgeries and Blue Badge Check and Send services.
- Developing advocates within the library service to ensure we meet the national ‘six steps to library services for blind and partially sighted people’.

How we will monitor success

Outcomes

- Local people’s lives are enriched with improved access to culture, literature and quality information
- Improved skills, learning and life chances for local people
- Increased civic and community participation through:
 - *Visiting and engaging in activities in libraries*
 - *Volunteering*

Outputs

- PC usage
- Book issues

Strategic aim

Broadening access to culture

How we will deliver it

Libraries are an important part of the cultural infrastructure of our city. By working with other cultural organisations, artists and community groups libraries can also provide a welcoming space for new and existing audiences to engage more widely in arts and cultural activities – whether that be more traditional aspects of art, such as literature, or new and different art forms.

We will do this through:

- Working in partnership with other cultural organisations, artists and community groups to develop and deliver initiatives that widen access to arts and culture in the city.
- Adopting the national Society for Chief Librarians' recommendations for providing a cultural offer when they are announced (due 2017).

How we will monitor success

Outcomes

- Local people's lives are enriched with improved access to culture, literature and quality information
- Improved skills, learning and life chances for local people
- Increased civic and community participation through:
 - *Visiting and engaging in activities in libraries*
 - *Volunteering*

Outputs

- Number of events and activities
- Participation levels in events and activities.



Strategic aim

Increasing the use of digital services

How we will deliver it

Access to digital services, and improving skills in relation to using new and emerging forms of technology are an important part of a 21st century library service.

In the consultation on our strategy, there was some concern about ceasing older forms of technology such as CDs and DVDs, particularly for older groups. However there was strong support for promoting the use of new technologies, and so we will ensure the needs of communities who wish to use older technologies continue to be met alongside developing new forms of technology.

We will do this through:

- Supporting people to access new and emerging digital technology.
- Maintaining provision of free wifi in all libraries and providing PCs and other digital technology in our libraries.
- Continuing to deliver code clubs for children and young people.
- Developing opportunities for all ages to learn code and other important digital skills.
- Installing new forms of technology and support people to use these – for example, develop funding bids to secure a ‘digital fab lab’ in Wolverhampton Libraries.
- Maintaining provision of CDs and DVDs in the short term to meet community needs alongside investment in new forms of technology.
- Procuring a new e-books contract to improve the offer and support people to access these.

- Considering a scheme to borrow e-readers and other technology.
- Improving the use of social media and email marketing by the library service, set out in a clear communications and marketing plan.
- Improving the library web page and catalogue, including a calendar of events and activities.
- Providing reading software on all public PCs.

How we will monitor success

Outcomes

- Improved skills, learning and life chances for local people
- Increased civic and community participation through:
 - *Visiting and engaging in activities in libraries*
 - *Volunteering*

Outputs

- Number of events and activities in relation to digital e.g. code clubs
- Participation levels in events and activities e.g. code clubs
- PC usage
- Wifi usage
- E-book usage
- Social media usage figures (*likes, follows and email marketing links*)



Strategic aim

Promoting and enabling health & wellbeing

How we will deliver it

Libraries in our city are a safe, non-stigmatised space that can help support better health and wellbeing outcomes for local people.

We will do this through:

- Providing accredited health information in libraries.
- Signposting people to organisations and activities that could help them improve their health and wellbeing.
- Providing events, activities and meeting spaces to help reduce social isolation.
- Providing volunteering opportunities that keep people active and engaged.
- Reviewing the Home Library Service delivery model to ensure the needs of service users continue to be met and that the service provides value for money.
- Working in partnership with health professionals to provide services that promote health and wellbeing in libraries, which may include clinical space.

How we will monitor success

Outcomes

- Improved health and wellbeing for local people
- Local people's lives are enriched with improved access to culture, literature and quality information

Outputs

- Number of activities and events for promoting health and wellbeing
- Participation in activities and events for promoting health and wellbeing
- Number of volunteers in libraries
- Number of hours volunteers in libraries

Monitoring delivery of this strategy

The outcomes and outputs identified in this strategy will form part of the performance management framework for libraries.

These will be monitored regularly by the library service, and an annual report will be published to share more widely the performance against delivering the strategy.

Appendix 1 - Action Plan

This action plan will be monitored on a quarterly basis, and formally reviewed on an annual basis.

Strategic aim

Cross cutting areas

<i>Action</i>	<i>Responsible Officer(s)</i>	<i>Timescale (to be completed by)</i>
Work with the community associations to extend advertised opening hours at Ashmore Park and Long Knowle libraries, to formalise longer self-serve opening hours in libraries when the community hub is open.	Chief Librarian	September 2017
Work in partnership with Low Hill Community Association to consider how self-serve opening hours can be extended through working in partnership.	Chief Librarian	December 2017
Review contract for Collingwood library following transfer of Broadway Gardens residential care home to Midland Heart.	Chief Librarian	April 2018
Commission a feasibility study on the location of Bilston Library and Craft Gallery.	Head of Service, City Economy	September 2017
Develop a central events and activities calendar for all libraries throughout the year, increasing the number of events and attendance at these each year.	Chief Librarian / Principal Libraries Managers	July 2017 - onwards
Develop a communications and marketing plan for libraries including improved use of social media platforms.	Chief Librarian with Communications Officer	September 2017
Review and improve monitoring systems to improve customer feedback in relation to events and activities.	Chief Librarian / Principal Libraries Managers	July 2017
Improve the library web page and catalogue, including a calendar of events and activities.	Chief Librarian Senior Librarian - ICT	October 2017 - onwards
Develop a programme for regularly obtaining customer feedback and engagement	Chief Librarian / Principal Libraries Managers	September 2017 - onwards

Respond to customer feedback to ensure libraries meet the needs of local communities.	Chief Librarian	July 2017 - onwards
Develop and implement a workforce development plan for library staff.	Head of Service, City Economy Chief Librarian	December 2017
Review income generation options for the library service including maximising external funding: <ul style="list-style-type: none"> • Room hire options working in partnership with community associations • Fundraising opportunities/Grant Funding • Business case for improved refreshment offer in libraries 	Head of Service, City Economy	December 2017 ongoing
Consider an application to the Arts Council Catalyst programme to support fundraising activity.	Head of Service, City Economy	Closing date August 2017 Notification January 2018
Ensure we meet the national 'Children's Promise' in libraries.	Principal Libraries Manager	October / November 2017 - onwards





Strategic aim

Promoting learning and improving skills

<i>Action</i>	<i>Responsible Officer(s)</i>	<i>Timescale (to be completed by)</i>
Improve the quality of physical library spaces through a programme of improvement works to libraries, starting with those that have had no recent investment to ensure there are safe, welcoming spaces for all people to learn and share knowledge in libraries.	Libraries Transformation Project Manager	July 2017 – December 2018
Improve the quality of physical library spaces by providing study areas for students	Libraries Transformation Project Manager	July 2017 – December 2018
Ensure on-going maintenance works in all libraries are completed in a timely manner to maximise access to space for all people to learn and share knowledge in libraries.	Chief Librarian with Corporate Landlord	July 2017 - onwards
Ensure effective signposting to learning, skills and employment opportunities including Wolves@Work.	Chief Librarian	September 2017 - onwards
Develop informing learning sessions as part of the events/activities calendar.	Chief Librarian	September 2017 - onwards
Continue to feed in to the developing City Learning Quarter proposals.	Head of Service, City Economy	July 2017 - onwards

Strategic aim

Supporting reading and literacy

Action	Responsible Officer(s)	Timescale (to be completed by)
Commission a new stock services contract with other Black Country libraries to maximise value for money and meet the needs of customers.	Chief Librarian	August 2017
Explore options for 'dynamic stock' systems to ensure stock is well rotated across the network of libraries in Wolverhampton	Chief Librarian	April 2018
Implement a new Library Management System including catalogue.	Chief Librarian	October 2017 - onwards
Support reading and poetry groups in libraries.	Principal Libraries Managers	July 2017 - onwards
Hold a series of events and activities that promote and support reading, including: <ul style="list-style-type: none">• Book Start Week• Summer Reading Challenge• Develop city reading book lists /challenges• Author led events	Principal Libraries Managers	July 2017 - onwards
Ensure we meet the national 'Children's Promise' in libraries.	Principal Libraries Managers	October /November 2017 - onwards
Review the Education Library Service delivery model to ensure that library resources are focussed on improving literacy.	Head of Service, City Economy with Education	April 2018
Develop project with Registration Services to offer library membership as part of registering of a birth.	Libraries Transformation Project Manager	April 2018 - onwards

Strategic aim

Widening access to quality information

<i>Action</i>	<i>Responsible Officer(s)</i>	<i>Timescale (to be completed by)</i>
Review resources to aid businesses, self-development and self-help as part of the new stock contract.	Principal Libraries Managers	December 2017 - onwards
Develop partnerships to widen the information offer provided through libraries.	Chief Librarian	September 2017 - onwards
Ensure work with partners to widen access to information in libraries is included in the events calendar and promote these sessions.	Chief Librarian	September 2017 - onwards
Ensure we meet the national 'six steps to library services for blind and partially sighted people'	Principal Libraries Managers	December 2018

Strategic aim

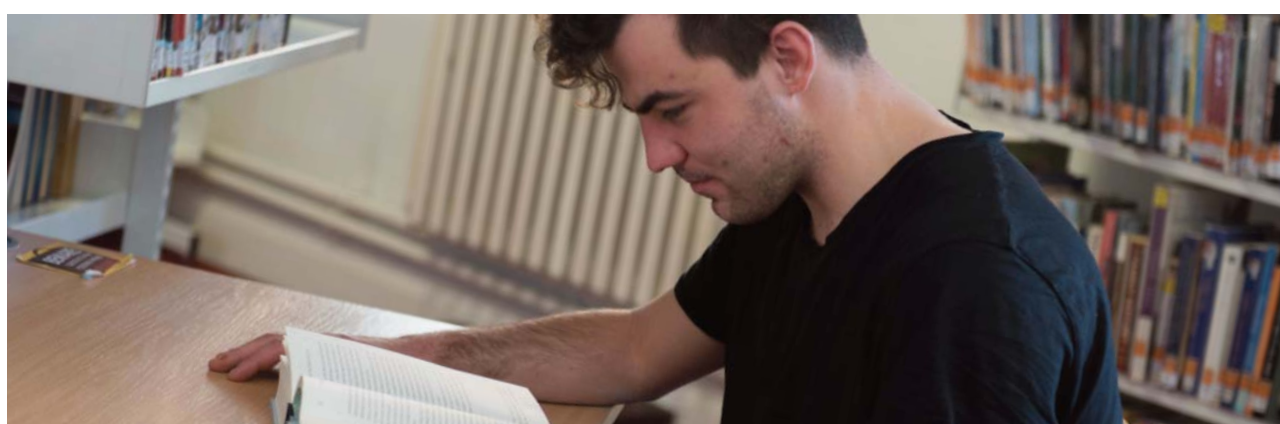
Broadening access to culture

<i>Action</i>	<i>Responsible Officer(s)</i>	<i>Timescale (to be completed by)</i>
Increasing intergration between libraries and cultural services following the successful National Portfolio Organisation funding bid from the Arts Council England	Head of Service, City Economy with Head of Visitor Economy	March 2018
Working in partnership, develop a programme of art and cultural themed events and activities in libraries, such as the Literature Festival, and include these on the events calendar.	Principal Libraries Managers	April 2018
Work with community and local organisations to deliver local cultural activities and events, such as the local history display and event with Wednesfield History Society.	Chief Librarian, Principal Libraries Managers	July 2017 - onwards
Lead a Grants for the arts funding bid to Arts Council for the city to secure support for the developing Literature Festival proposition.	Head of Service, City Economy	July 2017
Review actions and activity in light of the forthcoming national Society for Chief Librarian's recommendations in this area.	Head of Service, City Economy and Chief Librarian	September 2017 - onwards

Strategic aim

Increasing the use of digital services

Action	Responsible Officer(s)	Timescale (to be completed by)
Continue to deliver code clubs for children and young people.	Principal Libraries Managers	July 2017 - onwards
Develop opportunities for all ages to learn code skills.	Principal Libraries Managers	September 2017 - onwards
Install new forms of technology and support people to use these in libraries – including digital touch screen tables	Chief Librarian	March 2018
Explore funding opportunities to develop a ‘digital fab lab’ in Wolverhampton Libraries as part of the ‘smart city agenda’.	Head of Service, City Economy	March 2018
Procure a new e-books contract to improve the offer and support people to access	Chief Librarian Principal Libraries Managers	December 2017
Review the e-audio provision to reflect emerging technologies	Chief Librarian Principal Libraries Manager	December 2017
Consider a scheme to borrow e-readers and other technology.	Chief Librarian Senior Librarian - ICT	March 2018
Improve social media and email marketing by the library service	Chief Librarian	July 2017 - onwards
Improve the library web page and catalogue	Chief Librarian Senior Librarian - ICT	October 2017 - onwards
Implement email and text message services instead of post alerts for overdue library books and fines.	Chief Librarian Senior Librarian - ICT	October 2017 - onwards
Improve self-serve facilities to include PC booking and other council services	Chief Librarian Senior Librarian - ICT	October 2017 - onwards



Strategic aim

Promoting and enabling health & wellbeing

<i>Action</i>	<i>Responsible Officer(s)</i>	<i>Timescale (to be completed by)</i>
Work with Public Health to develop and submit funding bids to the 'Engaging Library' project, led by the Carnegie UK Trust to develop engagement ideas with health and wellbeing at their heart.	Head of Service, City Economy with Public Health	October 2017 Implementation by October 2018
Review the provision of self help health resources in libraries in conjunction with Public Health.	Chief Librarian with Public Health	March 2018 - onwards
Ensure health and wellbeing themed events are included in the improved events offer across all libraries, alongside a wide range of events and activities that help to reduce social isolation.	Chief Librarian Principal Libraries Managers	July 2017 - onwards
Continue to deliver and development Memory Matters - expert advice and information signposting service	Chief Librarian	July 2017 - onwards
Improve co-ordination of volunteers across the library network to increase the number of opportunities available, working with key partners such as the VSC. Also promote library volunteering opportunities as part of the City of Wolverhampton employee volunteering scheme.	Chief Librarian	December 2017
Review the Home Library Service provision to ensure the service is appropriate to need	Head of Service - City Economy	July 2017 - onwards

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Wolverhampton WV1 1SH

Transforming Libraries Consultation Analysis



City of Wolverhampton - Transforming Libraries Consultation Survey Analysis

A 12-week consultation about the future of the libraries of Wolverhampton took place from 27 February to 21 May 2017. This report summarises the responses across three surveys which took place, a general survey on all aspects of the proposed libraries strategy, a survey for Home Library Service users which specific questions on the service they receive, and a survey for users of the Education Library Service.

1. General Survey

The key lines of enquiry cover five separate topics which were part of the consultation:

- Satisfaction with the service, Vision, and Strategic Aims
- Opening Hours
- Location of Bilston Library
- Desire for and uptake of Digital materials
- Fees & Charges.

1.1 General - Analysis of respondent profile

1.1.1 Location of respondents

635 responses were received to the General Survey. Of those 635, 514 (80.9%) were from residents in Wolverhampton. The wards from which the greatest numbers of responses were received were Park, Tettenhall Wightwick, and St Peter's. The full table is shown below.

Ward	Total	%
Bilston East	34	6.6
Bilston North	30	5.8
Blakenhall	19	3.7
Bushbury North	14	2.7
Bushbury South and Low Hill	26	5.1
East Park	22	4.3
Ettingshall	22	4.3
Fallings Park	17	3.3
Graiseley	24	4.7
Heath Town	19	3.7
Merry Hill	33	6.4
Oxley	21	4.1
Park	53	10.3
Penn	22	4.3
Spring Vale	14	2.7
St Peter's	39	7.6
Tettenhall Regis	35	6.8
Tettenhall Wightwick	42	8.2
Wednesfield North	15	2.9
Wednesfield South	13	2.5
Grand Total	514	

1.1.2 Library usage

Most visited library is Central (18%, 114 respondents) followed by Bilston (12.8%, 81 respondents) and Tettenhall (7.7%, 49 respondents).

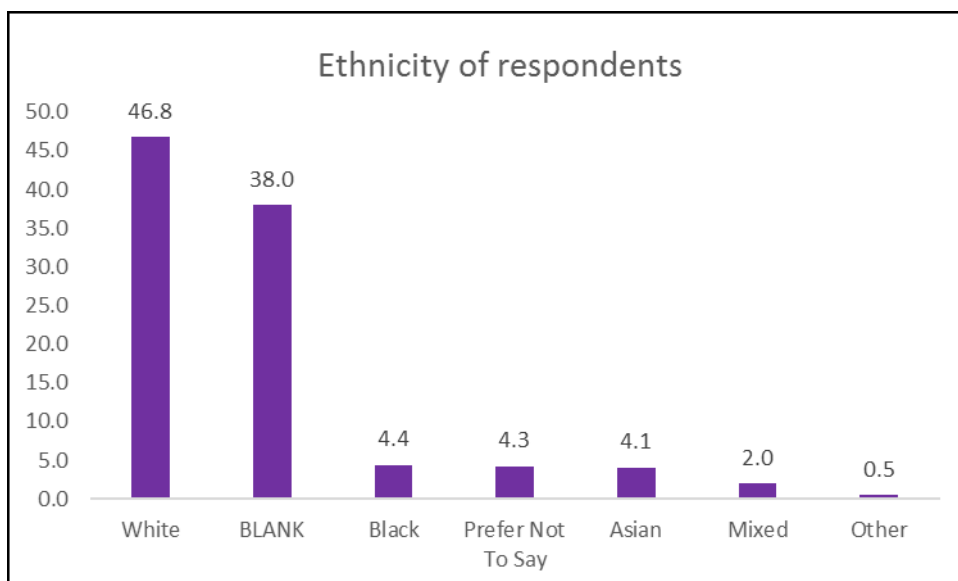
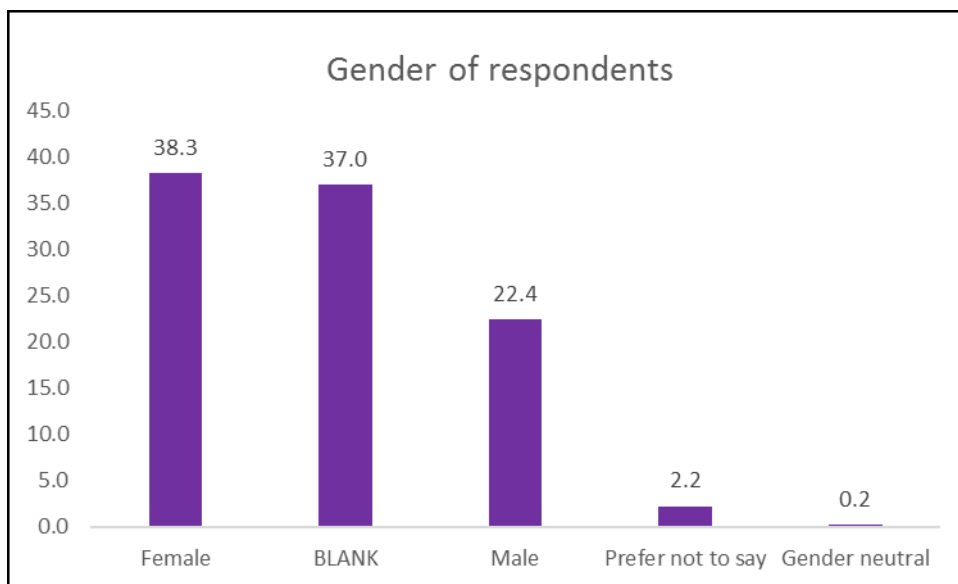
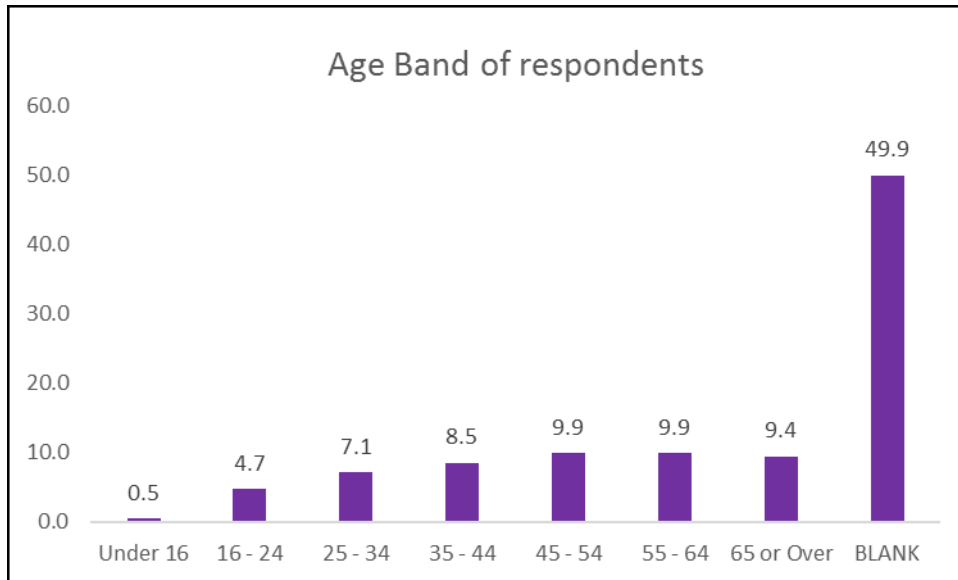
Which library do you use most often?	Total	%
BLANK	141	22.2
Central	114	18.0
Bilston	81	12.8
Tettenhall	49	7.7
Finchfield	35	5.5
None of the above	34	5.4
Wednesfield	32	5.0
Penn	22	3.5
A library outside of Wolverhampton	21	3.3
Warstones	17	2.7
Pendeford	14	2.2
Spring Vale	14	2.2
Ashmore Park	13	2.0
East Park	12	1.9
Low Hill	12	1.9
Whitmore Reans	11	1.7
Long Knowle	5	0.8
Bob Jones Community Hub	5	0.8
Collingwood at Broadway Gardens	3	0.5
Grand Total	635	

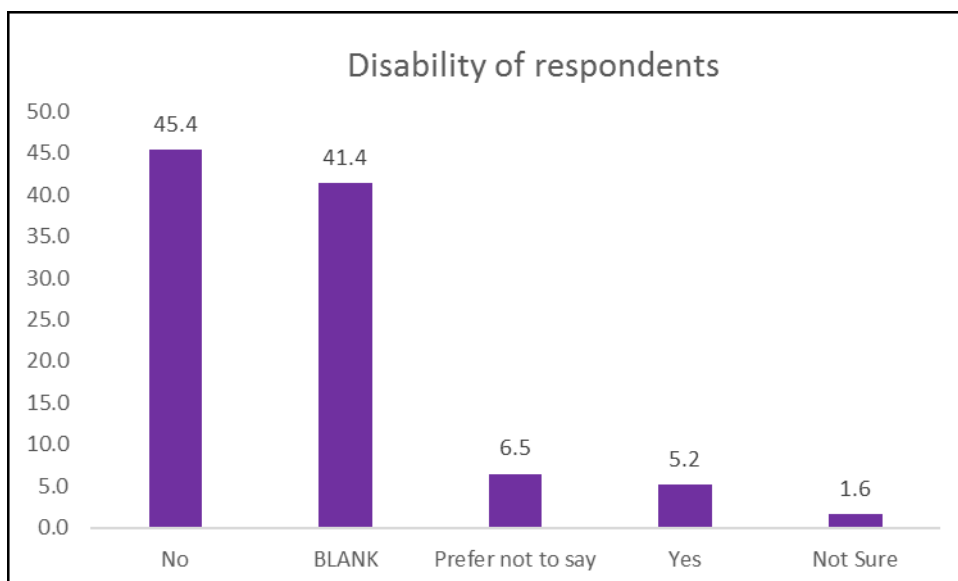
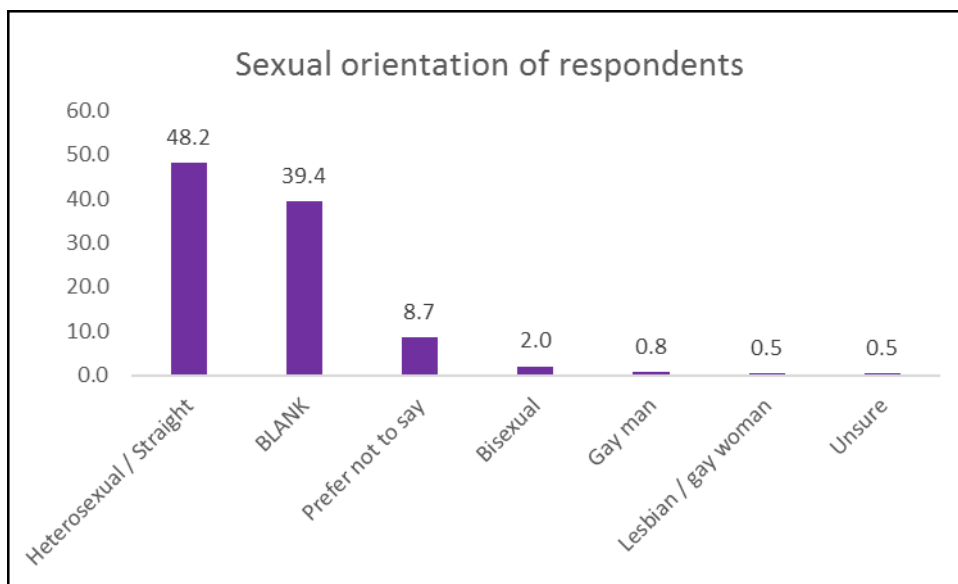
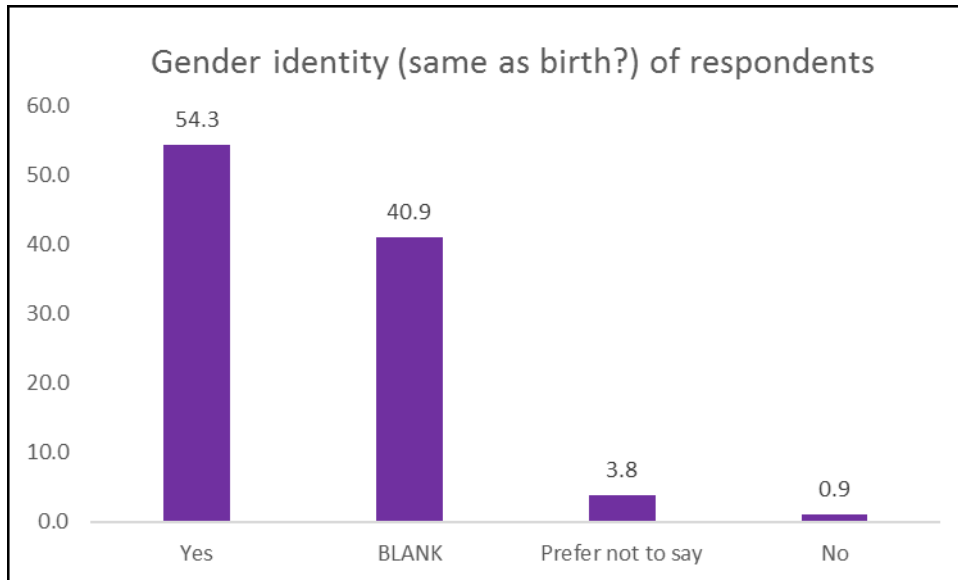
48 (7.6%) respondents visit the library daily, 162 (25.5%) respondents visit the library at least once a week, and 158 (24.9%) respondents visit the library at least once a month. This means 58.0% of respondents visit the library at least monthly or more frequently.

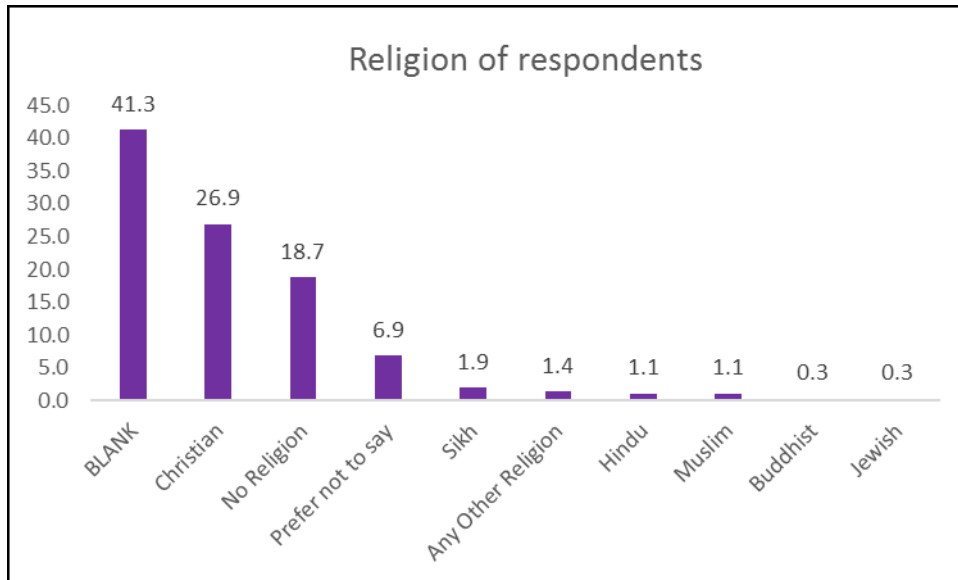
380 (59.8%) respondents use the service and have a current membership cards, and a further 72 (11.3%) use the service but do not have a current membership card; a further 29 (4.6%) have used the service, but not within the past 12 months. Therefore, 75.8% of respondents say they have used the library service in Wolverhampton (this is probably an undercount, considering that another 14% of respondents left this question blank).

1.1.3 Equalities

The equalities profile of the respondents is affected by the large number who either left the questions blank or stated they would “prefer not to say”. As a result, drawing conclusions about respondents based on protected characteristics may be potentially misleading, given that demographic information about many respondents (around 40% for some of the protected characteristics) does not exist. Nonetheless, the breakdown of respondent by protected characteristic is provided below.



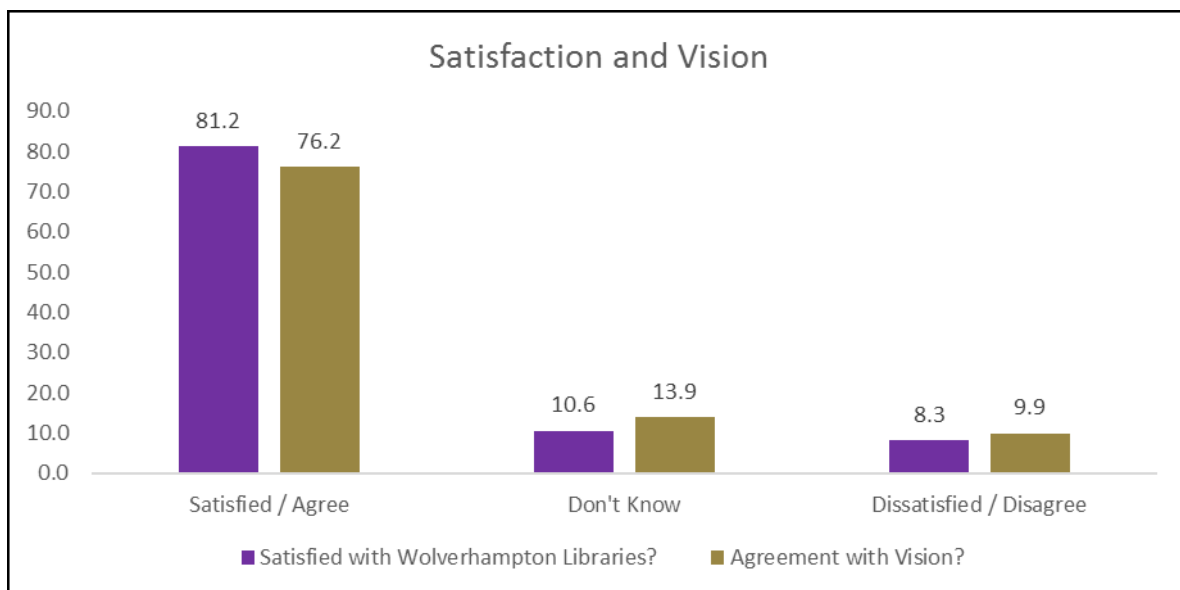




1.2 General Survey - Analysis of findings by theme

1.2.1 Satisfaction, Vision, and Strategic Aims

81.2% of respondents are satisfied with the current service provide, and 76.2% of respondents agree or strongly agree with the proposed vision statement.



Responses to this pair of questions are highly correlated: 489 respondents replied to both questions, and 331 (67.7%) of them chose agree/satisfied as a pair.

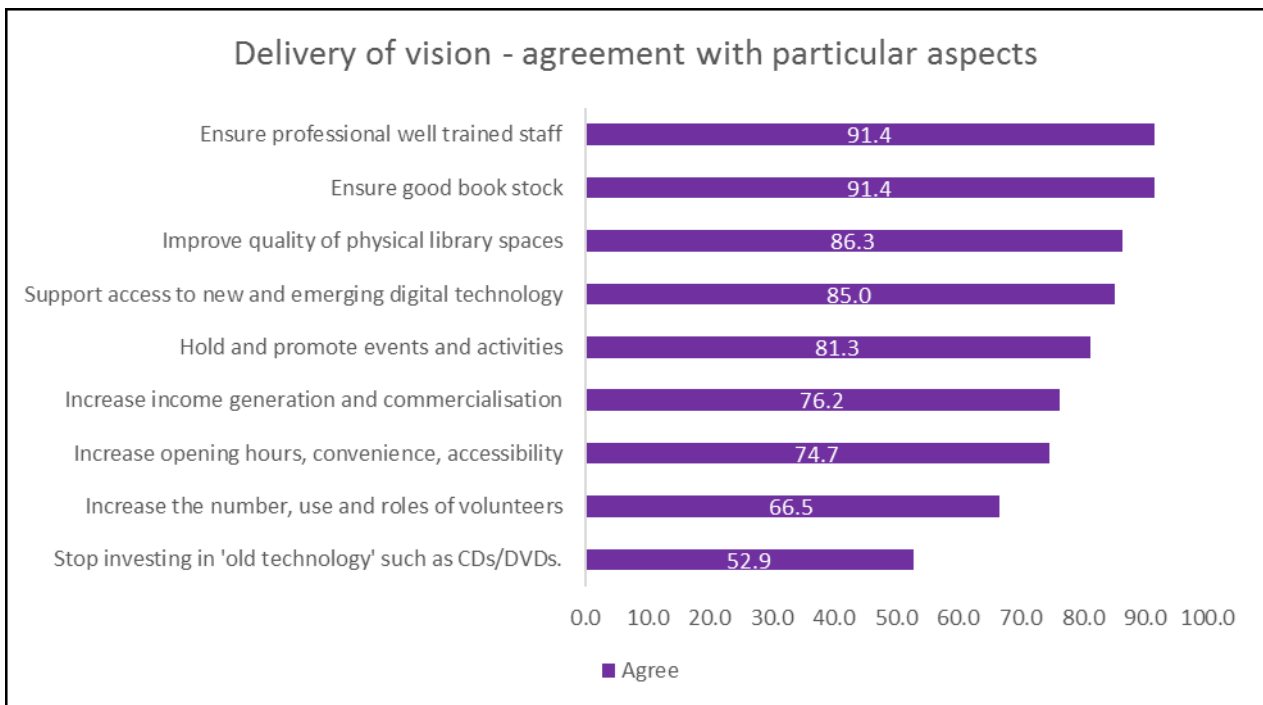
Conversely, 12 respondents (2.5%) chose disagree/dissatisfied as a pair.

In terms of particular aspects of the vision to be delivered, respondents were asked if they agreed or disagreed (or didn't know) if they supported each element mentioned. The two aspects with the greatest agreement concerned ensuring professional well trained staff, and ensuring a good book stock. The two with the lowest agreement – although each favoured by over half of all respondents – were to stop investing in CDs/DVDs, and to increase the role and use of volunteers.

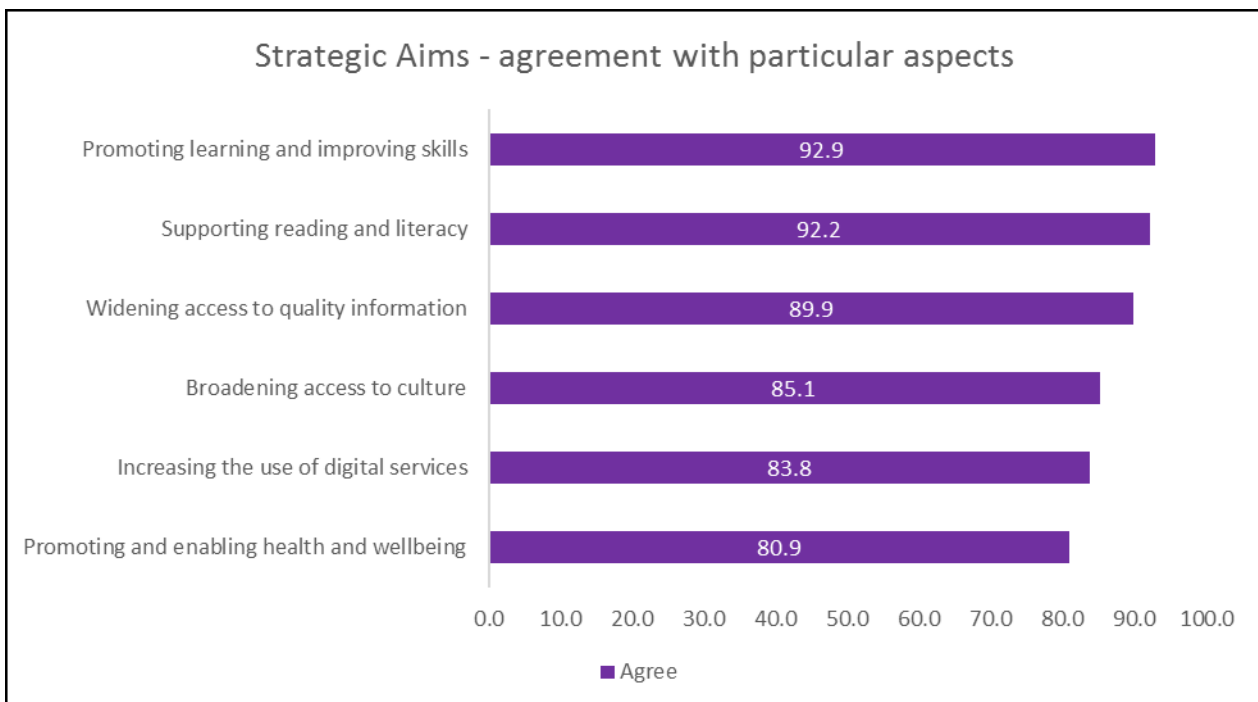
81.3% of respondents agreed with the idea to “hold and promote events and activities”.

Respondents were invited to suggest different “events and activities” suitable for libraries, the most

commonly-suggested being cultural & arts events, history, reading groups, learning another language, children and family events.



All of the particular aspects of the Strategic Aims were approved by more than four-fifths of respondents, with the most support for 'promoting learning and improving skills' and 'supporting reading and literacy'.



1.3 Opening Hours

Respondents were invited to specify which time of day was most suitable for opening hours for each library. Responses for each site have been separated into weekday and weekend groups, then split by time of day for opening hours. For instance, Ashmore Park's weekday figures tally to 100% from the 3 choices of morning-afternoon-night, and the most popular of those 3 choices is highlighted.

On a weekday, morning opening was only the favoured choice at Ashmore Park, with the respondents for all other libraries favouring afternoon opening or evening opening. On the weekend, morning opening was favoured at 11 of the 16 sites, with afternoon opening favoured at the other 5.

Library	Weekday Morning	Weekday Afternoon	Weekday Evening	Weekend Morning	Weekend Afternoon	Weekend Evening
Ashmore Park	36.5	31.1	32.4	43.3	40.0	16.7
Bilston	32.0	36.6	31.4	35.6	43.8	20.6
Blakenhall	25.6	32.6	41.9	37.2	44.2	18.6
Central	29.2	35.5	35.2	39.8	39.1	21.1
Collingwood	23.3	46.7	30.0	48.1	40.7	11.1
East Park	34.0	36.2	29.8	42.2	37.8	20.0
Finchfield	33.0	37.5	29.5	45.0	40.0	15.0
Long Knowle	23.7	44.7	31.6	50.0	38.9	11.1
Low Hill	25.8	37.1	37.1	43.9	40.4	15.8
Pendeford	24.7	35.6	39.7	38.9	37.5	23.6
Penn	30.8	37.4	31.9	39.8	38.8	21.4
Spring Vale	32.7	38.2	29.1	41.8	40.0	18.2
Tettenhall	33.1	37.2	29.7	45.5	39.0	15.4
Warstones	29.4	35.3	35.3	38.4	44.2	17.4
Wednesfield	28.1	32.3	39.6	35.7	41.8	22.4
Whitmore Reans	25.0	36.8	38.2	35.5	40.3	24.2

1.4 Bilston Library

Respondents were asked if they had an opinion on the site of Bilston Library and Gallery. Overall, 21.7% of respondents favoured moving the site, 26.3% favoured keeping it where it is, and 4.1% favoured moving it to another location (of those alternate sites, the most frequently-mentioned were Bert Williams Leisure Complex, South Wolverhampton & Bilston Academy, Bilston Urban Village, or to convert a shop frontage on Bilston High Street shop).

There were many respondents (196) who left the question blank, and a further 108 who had no opinion. In the table below, to deal with apparent lack of interest among many respondents in the overall sample, the fourth and fifth columns show the opinions of respondents for whom Bilston is their most-used library. For those respondents, 70.4% wanted the library to remain where it is.

Best option for Bilston Library?	Total	All Respondents %	Bilston	Bilston %
Option 1 - Move to Bilston Town Hall	138	21.7	5	6.2
Option 2 - Remain where it is	167	26.3	57	70.4
Option 3 - Move to another location	26	4.1	3	3.7
No opinion	108	17.0	2	2.5
BLANK	196	30.9	14	17.3
Grand Total	635	100.0	81	100.0

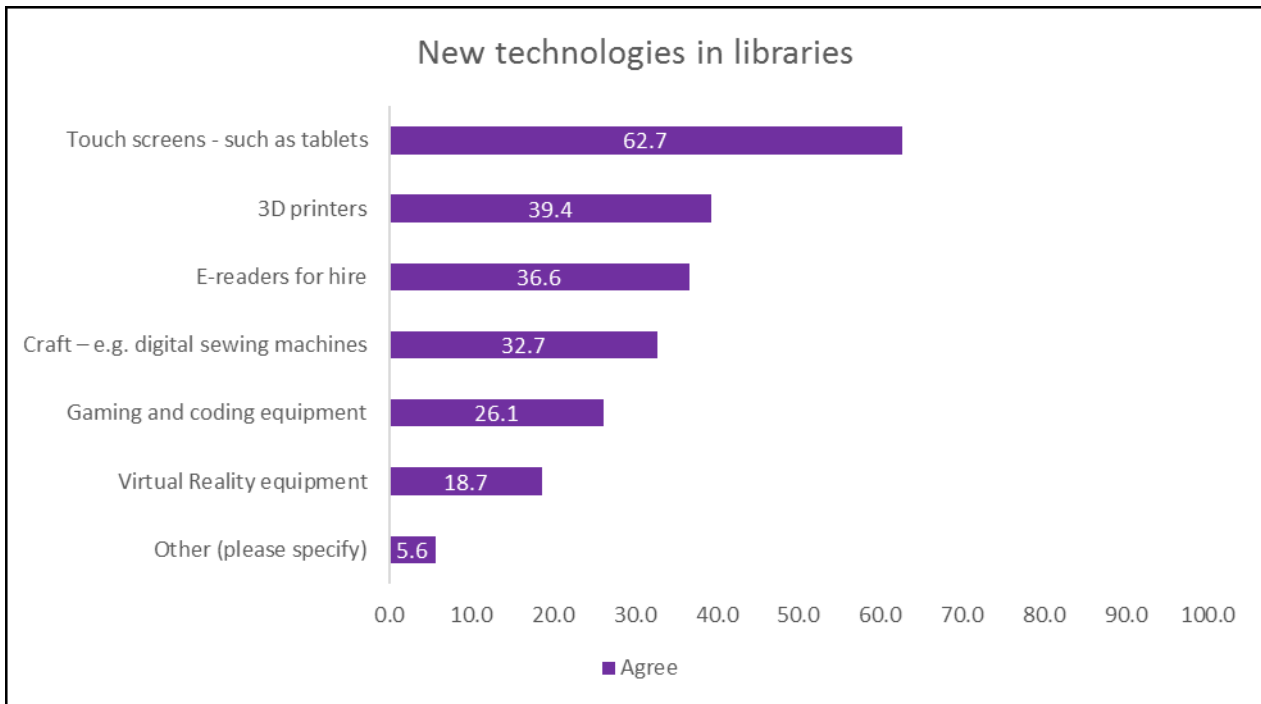
There were 81 respondents for whom Bilston was their most-used library, 29 of those submissions were submitted in the final fortnight of the consultation process: 16 of the 29 came from repeated IP addresses. There were also spikes throughout the consultation process on certain days - for instance, there were 15 survey completions by Bilston Library users on 19 May, of which 11 supported keeping the library where it is, and only 1 which supported moving the library. Another example is from 20 April, where 6 respondents (all from the same IP Address) supported the library remaining at its present location. In total, 40 of the 81 responses came from 9 individual IP Addresses. Additionally, four Bilston Library respondents filled in the survey twice (their name was the same on each occasion).

1.5 Desire for and uptake of Digital materials

When asked how best to communicate about library information, email was the clear preference. It is important to note this question was not set as being multiple-choice, and so this forced the respondent to pick their main contact method (as some respondents noted in comments that they were open to more than one method). 36.9% of respondents would prefer to receive library information via email. Social media, posters/leaflets, and website were close together, but email was the most frequently-chosen option.



Questions also enquired about respondents' feelings about the presence and type of new technology in the library environment. Of the selected options about new technologies in libraries, 62.7% of respondents would like to use touch screen devices, 39.4% of respondents would like to use a 3D printer, and 36.6% of respondents would like to hire an e-reader.



With regard to current rather than new technology, 44% of respondents have used wi-fi within libraries, and of the 319 respondents who said they owned a smartphone, 46.7% had used free wi-fi in the city’s libraries.

Have you used the free wi-fi in Wolverhampton Libraries?	Respondents who own a smartphone	%
No	165	51.7
Yes	149	46.7
BLANK	5	1.6
Grand Total	319	100.0

32% (130) of respondents own their own e-readers. 74.6% of those e-book owners use Amazon to download books, and 5.4% of respondents access the Libraries e-book collection.

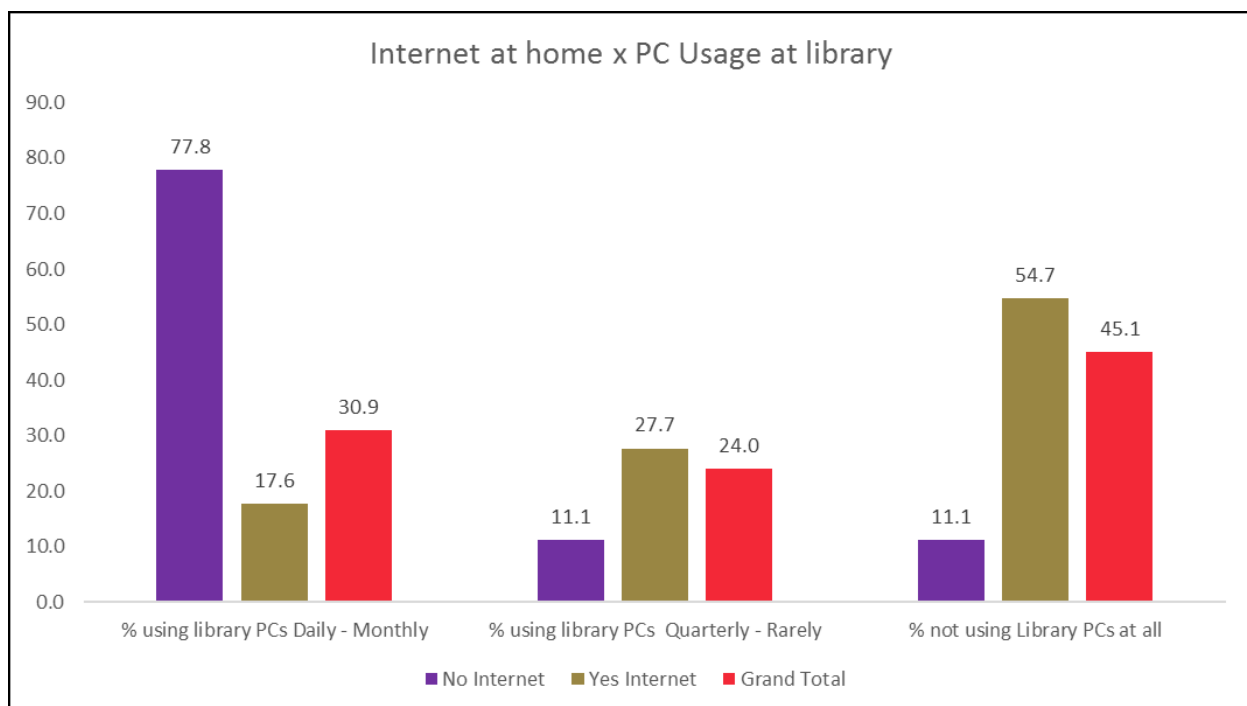
If you own an e-book reader where do you download your e-books?	Respondents who own an e-reader	%
Amazon Kindle Service	97	74.6
Other (please specify)	8	6.2
Kobo Store	8	6.2
Library e-book collection	7	5.4
Google Play Store	5	3.8
BLANK	5	3.8
Grand Total	130	100.0

Whether a respondent uses the internet at home is a key determinant of their likelihood of using library PCs. Although there are fewer respondents without internet access than those who have it, respondents who lack internet access at home are much more likely to use PCs at the library.

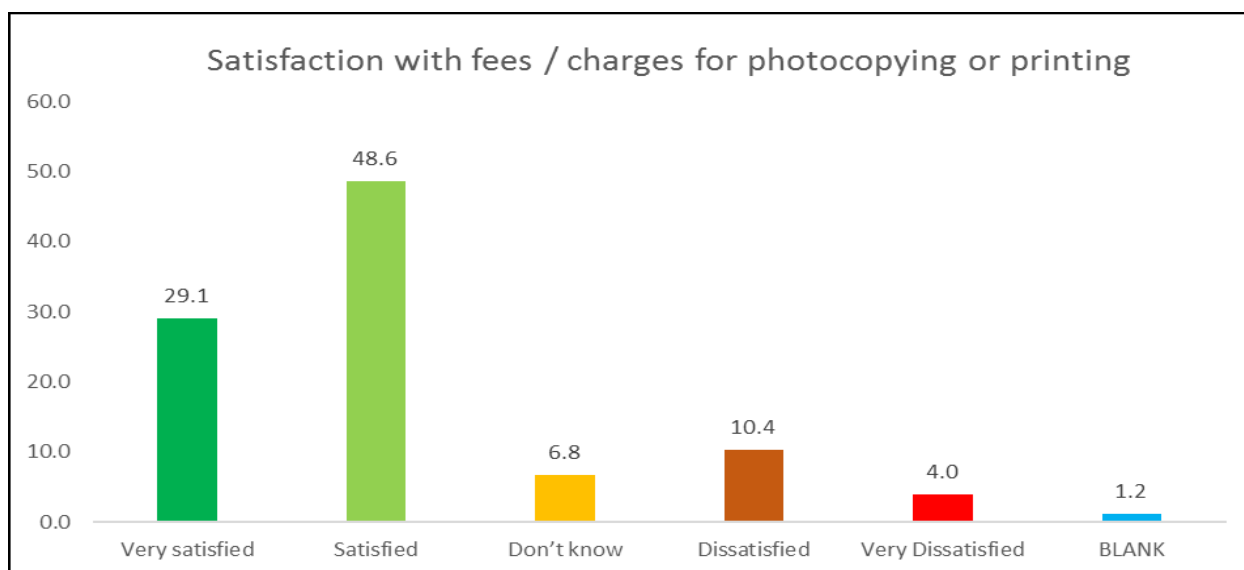
PC Usage at Library - Frequency	Internet Usage at Home?		Grand Total
	No	Yes	
Daily	31	7	38
Weekly	34	25	59
Monthly	5	24	29
Quarterly	3	16	19
Rarely	7	72	79
I don't use PCs in libraries	10	174	184
Grand Total	90	318	408

Frequency of PC usage is heavily correlated to having internet at home. 77.8% of respondents without internet at home used library PCs daily, weekly, or monthly; in contrast, the corresponding figure for respondents with internet at home was only 17.6%. The table and chart below, which shows the data grouped into “most frequent”, “less frequent”, and “not at all” categories, demonstrates this split.

PC Usage at Library - Frequency	Internet Usage at Home?		Grand Total
	No	Yes	
Most: % using library PCs Daily - Monthly	77.8	17.6	30.9
Less: % using library PCs Quarterly - Rarely	11.1	27.7	24.0
% not using Library PCs at all	11.1	54.7	45.1



1.6 Fees & Charges



Respondents were asked whether they were satisfied with fees/charges for photocopying or printing. 251 of the 635 total respondents (39.5%) said they used printers or photocopiers at the library. 77.7% were either Very Satisfied or Satisfied, and 14.4% were either Very Dissatisfied or Dissatisfied, with the remainder either Don't Know or having left the satisfaction question blank.

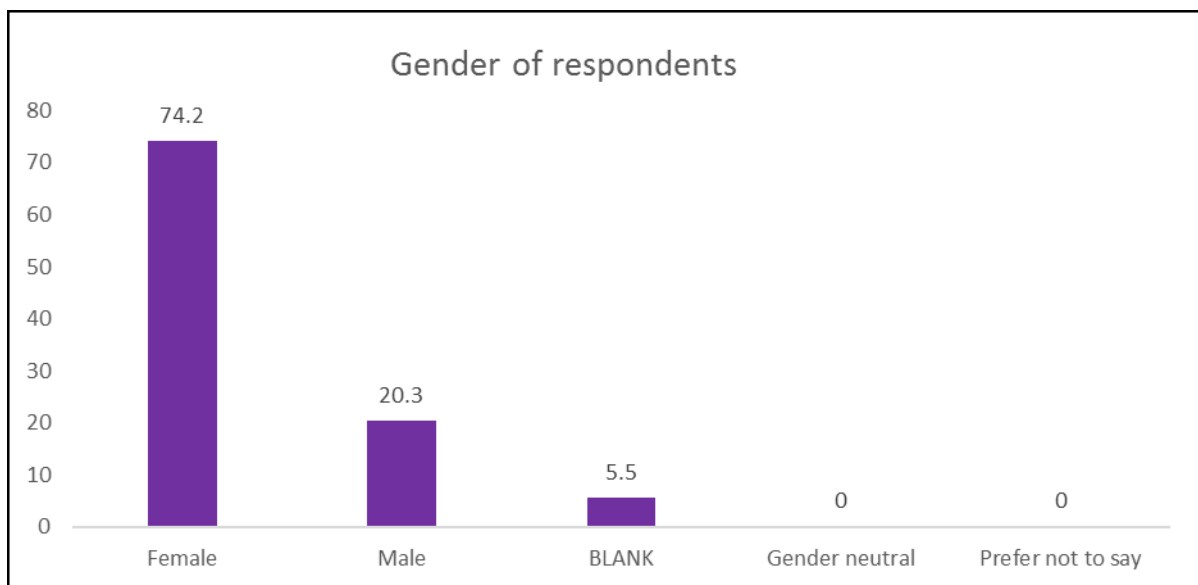
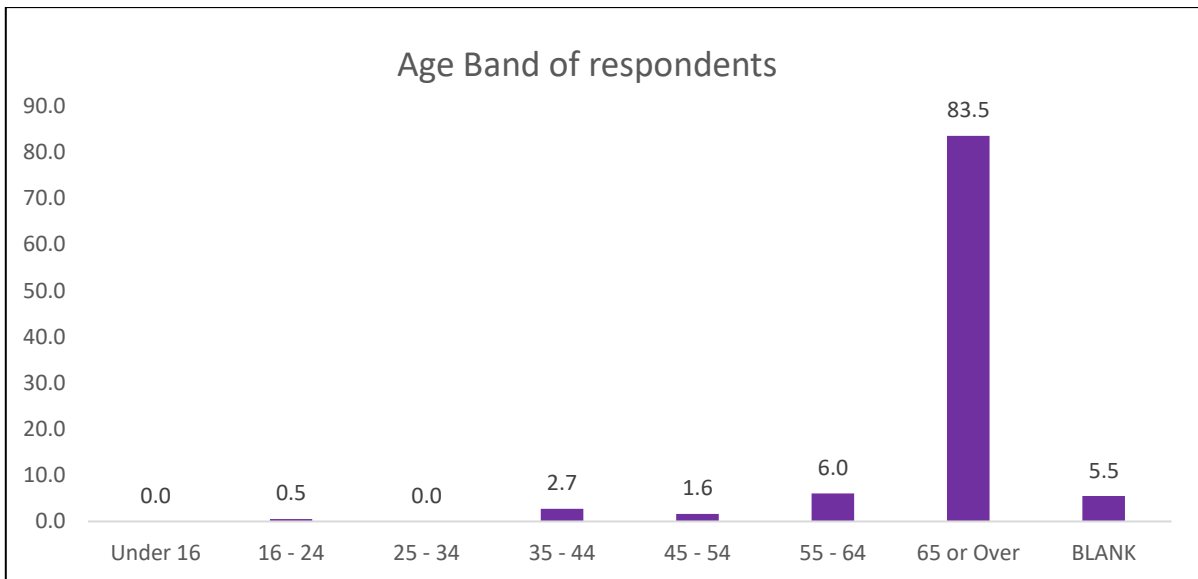
Unlike photocopying or printing at the library, using the PCs is currently free. Respondents were asked two questions: how long should someone be able to use a PC without cost, and how much should a charge for PC usage be if introduced.

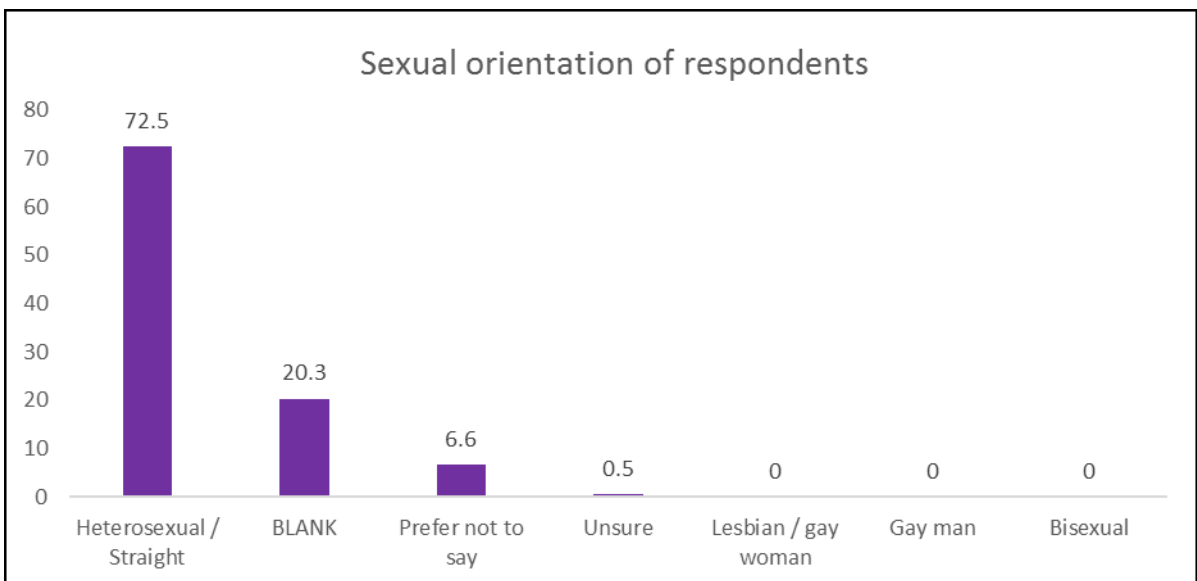
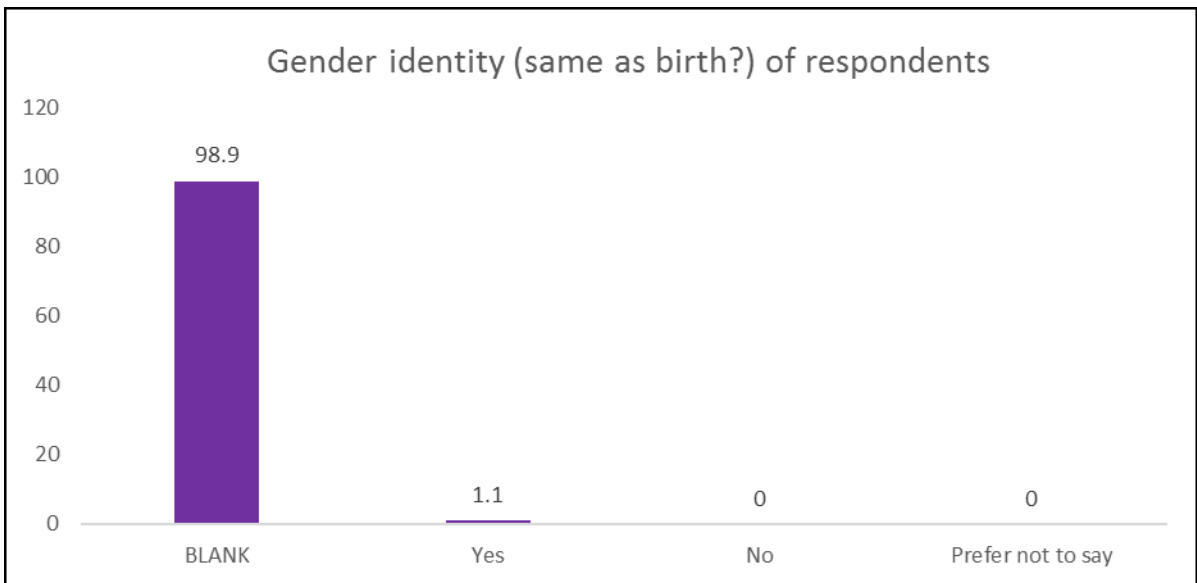
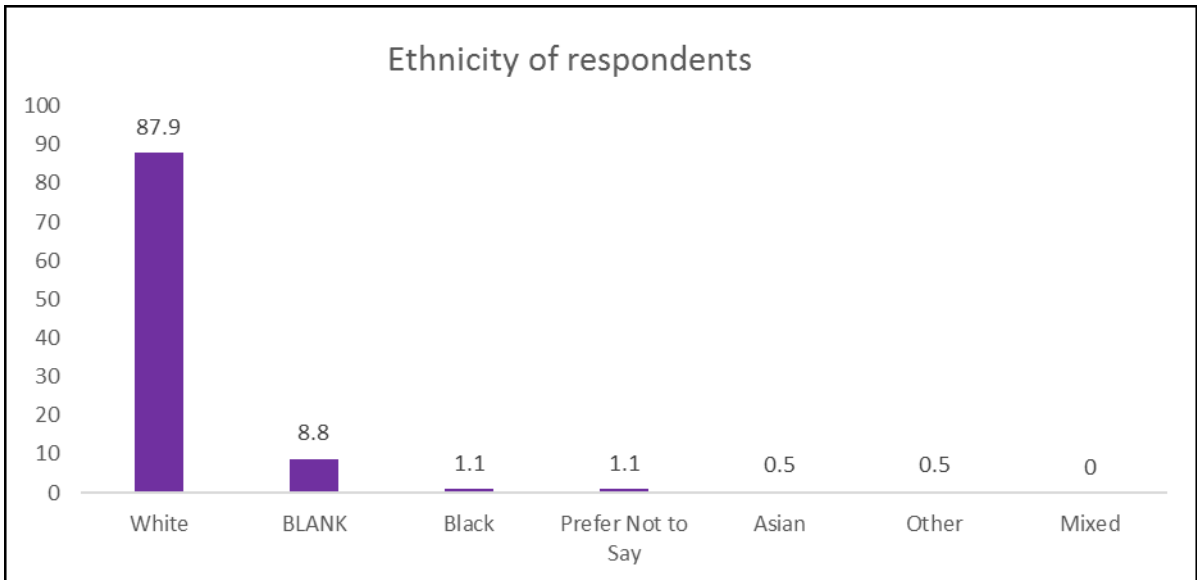
Considering only respondents who answered both questions, 7.4% felt that PC usage should be free for up to 1 hour. The most-chosen combination of time and cost was “up to 1 hour free and a £1 charge per hour thereafter” which was chosen by 73 respondents (16.0%). The second most-chosen combination was for “unlimited time on the PC at no cost”, chosen by 63 respondents (18.5%).

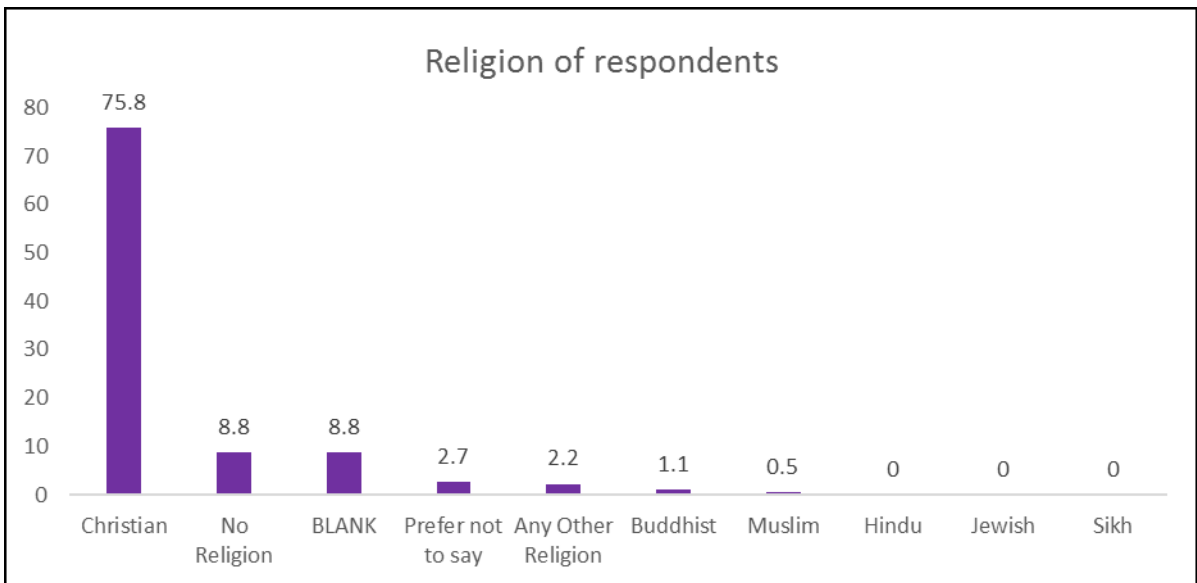
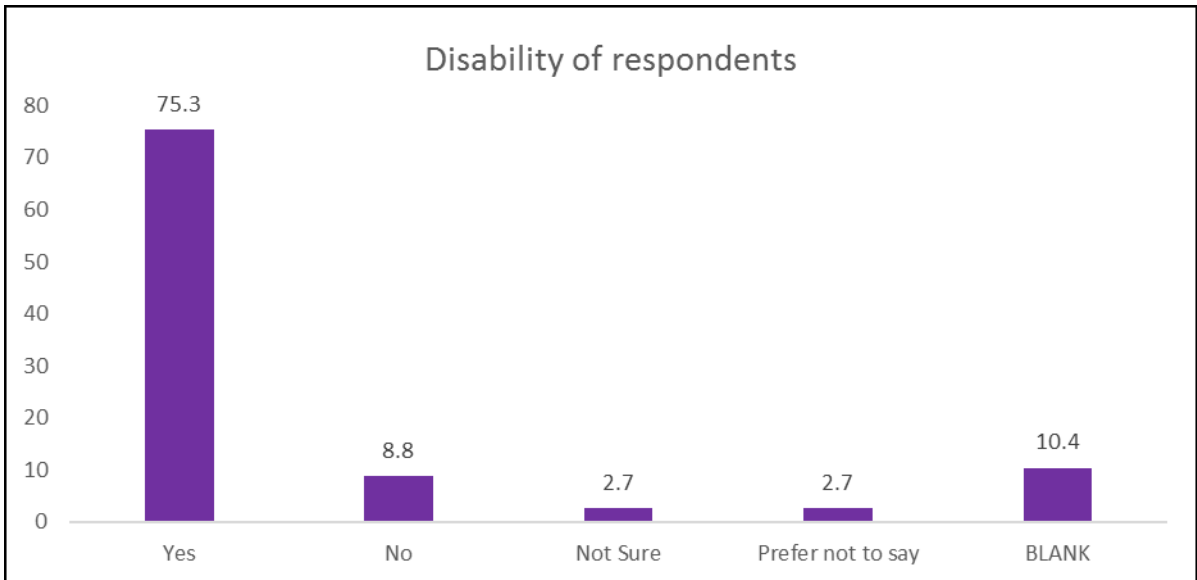
Time without cost x price	If charge for PC access, how much?					Grand Total	%
	No charge	£1 p/h	£2 p/h	£3 p/h	Other		
Unlimited	63	10	0	0	0	73	18.5
Up to 3 hours	35	5	0	1	3	44	11.2
Up to 2 hours	35	27	8	2	4	76	19.3
Up to 1 hour	22	73	10	0	7	112	28.4
30 minutes	7	31	13	2	8	61	15.5
Should not be free	8	14	3	1	2	28	7.1
Grand Total	170	160	34	6	24	394	100.0
%	43.1	40.6	8.6	1.5	6.1	100.0	

2. Home Library Service (HLS)

The home library service survey had 182 respondents. The equality profile of the respondents tends to be an older white Christian female. Respondents tended to have used the HLS for several years - 28.4% had used it for between 2-4 years, and 48.3% had used it for over 4 years.

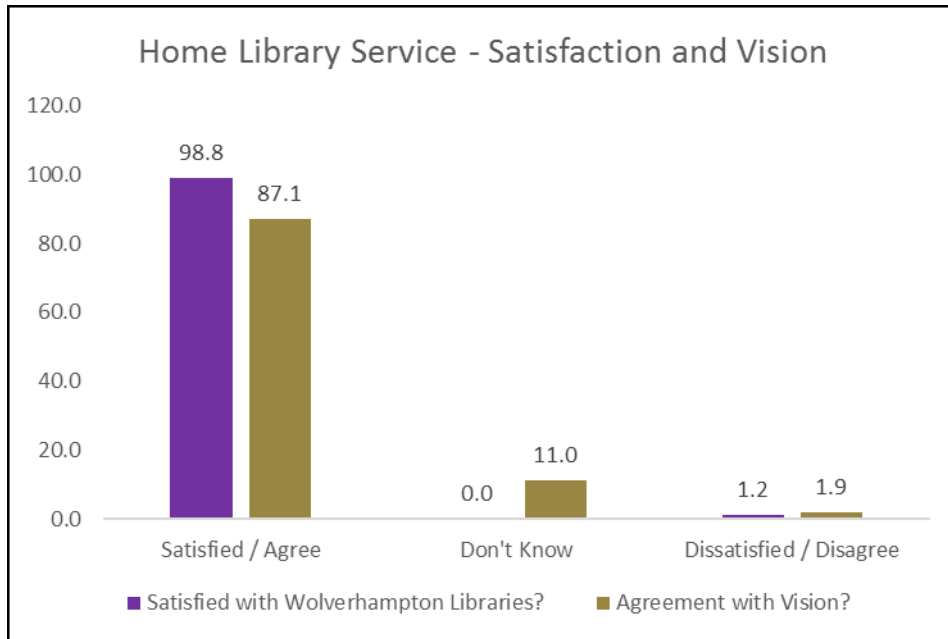




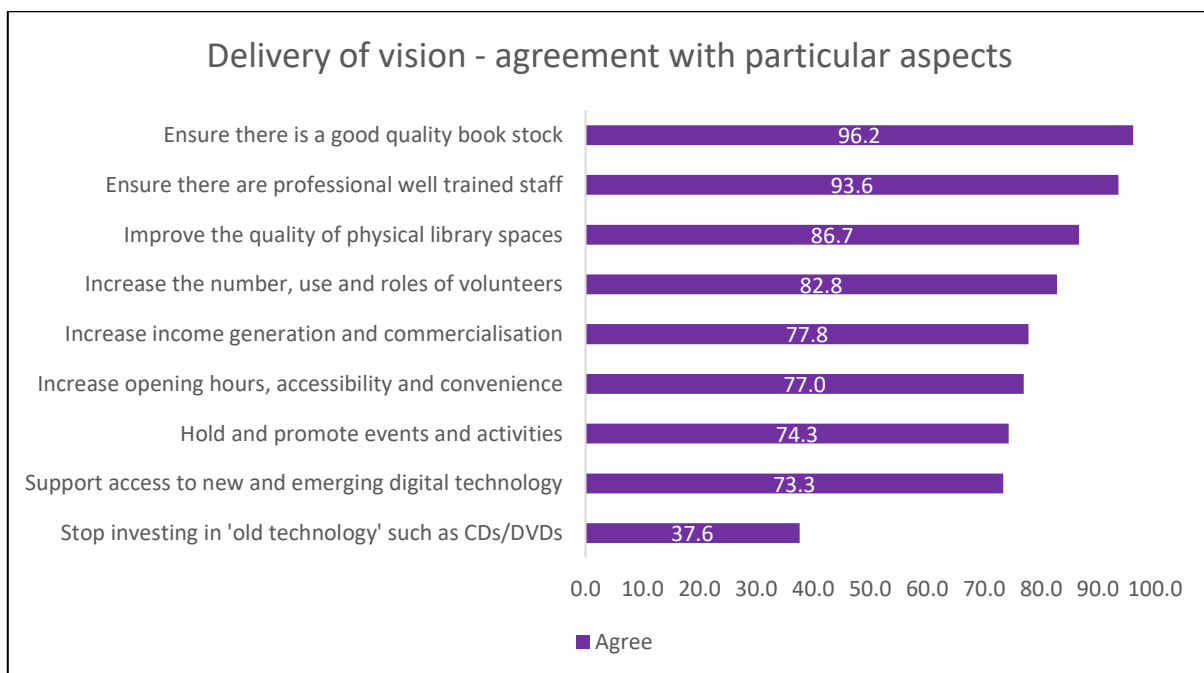


2.1 Satisfaction, Vision, and Strategic Aims

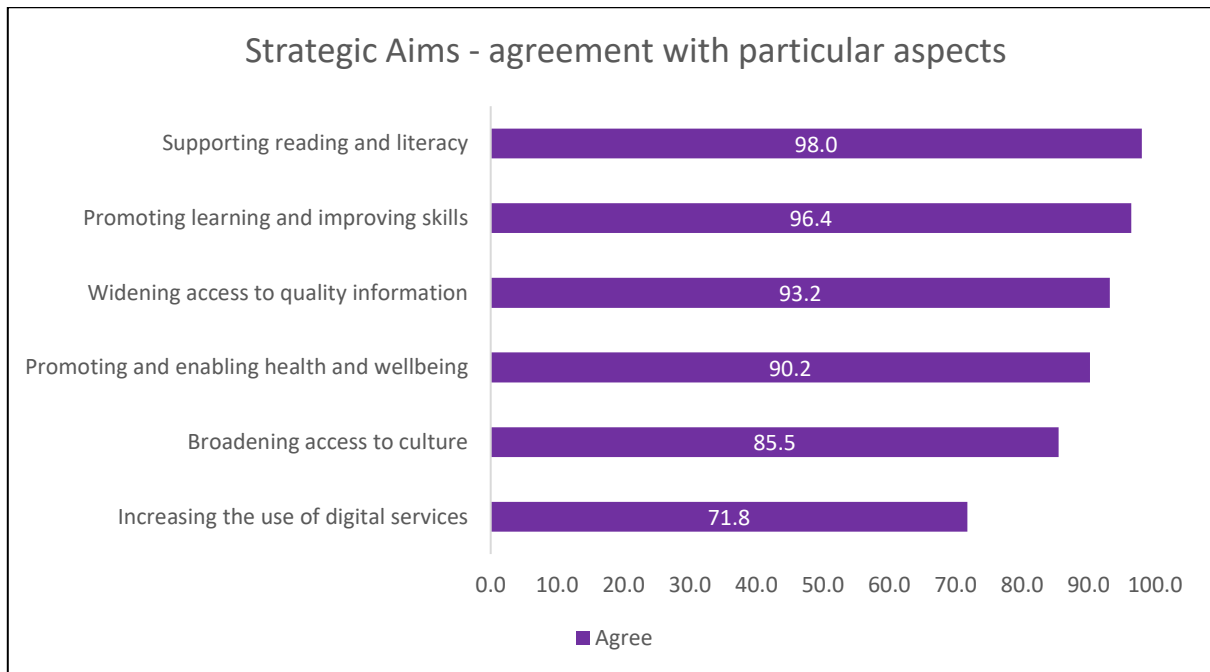
98.8% of respondents are satisfied with the current service provided, and 87.1% of respondents agree or strongly agree with the proposed vision statement. These figures are both higher than for the General Survey.



In terms of particular aspects of the vision to be delivered, respondents were asked if they agreed or disagreed (or didn't know) if they supported each element mentioned. The two aspects with the greatest agreement concerned ensuring professional well trained staff, and ensuring a good book stock. The aspect with the least support was to "stop investing in 'old technology' such as CDs/DVDs: only 37.6% supported this, with many respondents stating in the comments section that materials on CD/DVD such as audiobooks were valuable to them and should not be discontinued.



All but one of the particular aspects of the Strategic Aims were approved by more than four-fifths of respondents, with the most support for 'promoting learning and improving skills' and 'supporting reading and literacy'. The exception was the strategic aim concerning increasing the use of digital services (71.8%, compared to 83.8% in the General Survey for the same question).



User satisfaction with their service was very high in all of the aspects.

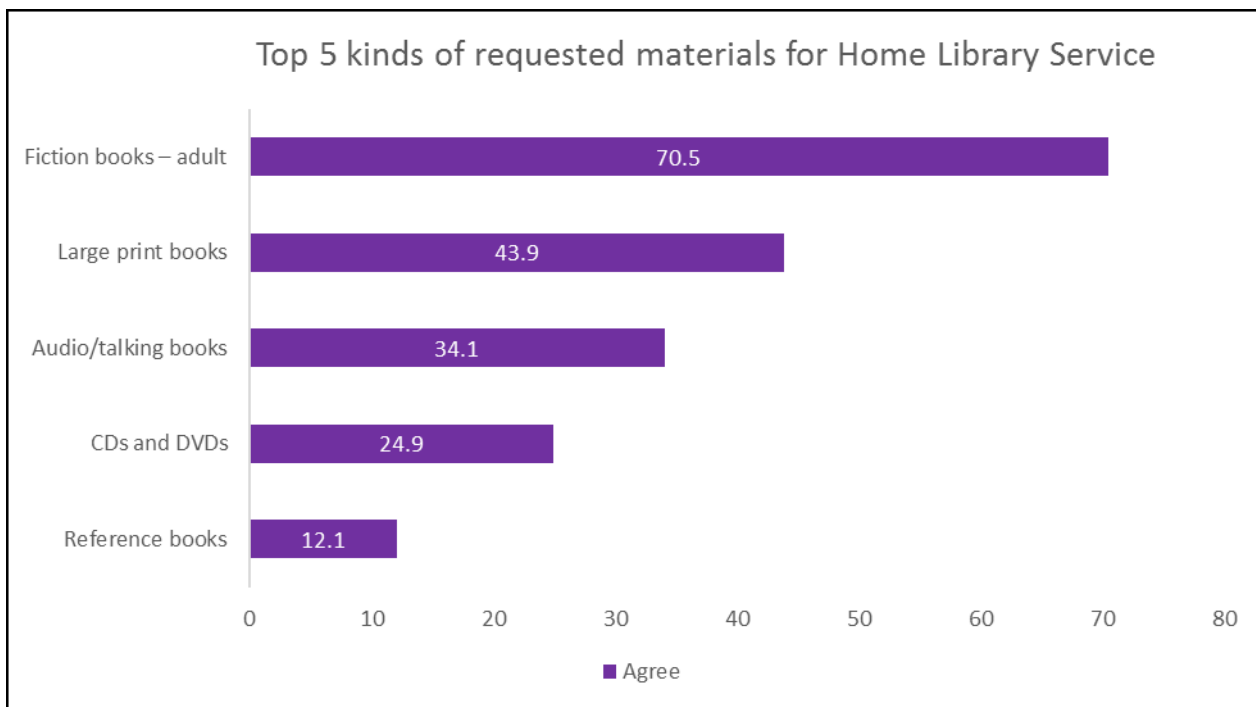


Respondents were asked a range of questions about their own habits, borrowing frequency, and desired material. 6.5% of respondents have an e-book reader, and 18.0% have a tablet or smartphone. 10.0% of respondents would like support to access digital resources via the HLS. 79.1% of respondents accessed the HLS in their own home, and a further 16.4% accessed it in a deposit collection in their shared/sheltered housing.

Respondents were evenly split (49.6% Yes versus 50.4% No) when asked if “residential care homes in Wolverhampton should contribute to the costs of transporting materials from the library to them”. Concerning visit frequency (currently every 4 weeks), 96.5% of respondents felt it was “about right”.

There was an invitation for respondents to specify what type of material interested them: adult fiction and large print books were the most popular. Respondents also favoured audio/talking

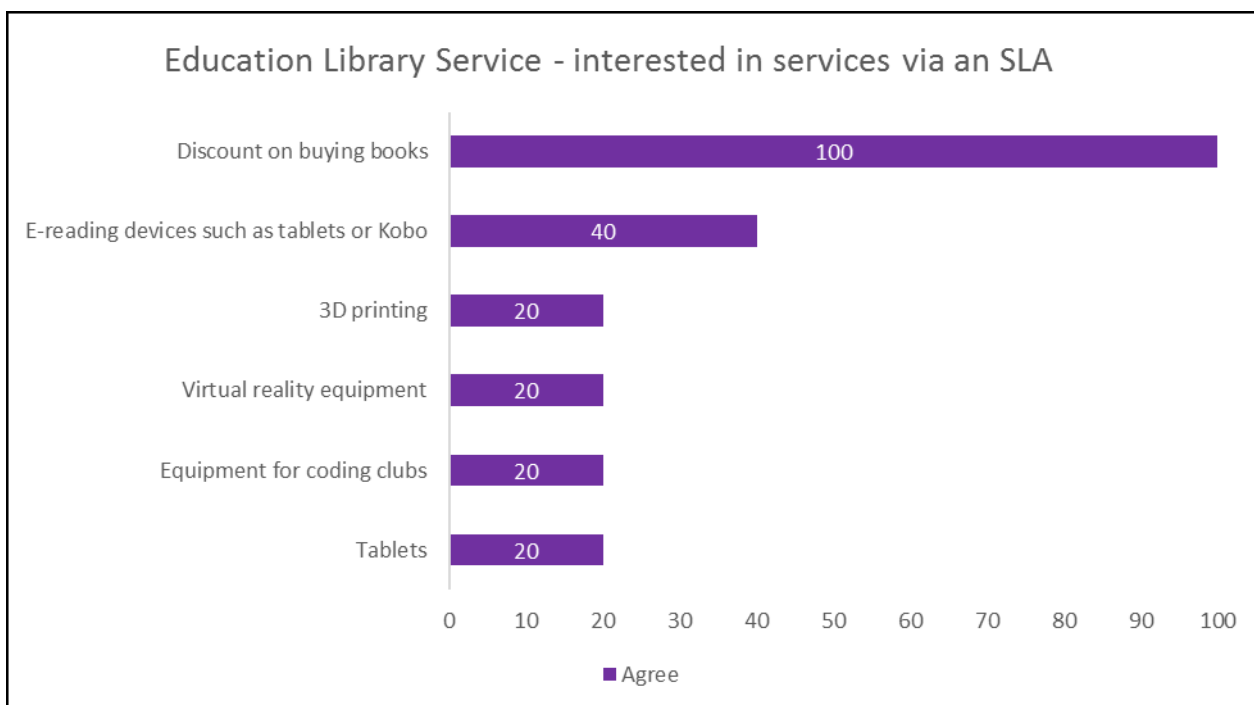
books and CDs and DVDs (3rd and 4th most popular choices), and a separate question in the survey found 32.7% of respondents used audio books, all of which explains low levels of agreement with the Delivery of Vision aim to “stop investing in ‘old technology’”.



3. Education Library Service (ELS)

15 respondents – seven from primary schools in Wolverhampton and eight from other interested parties such as parents or Governors – filled in the survey concerning the Education Library Service (ELS). Six of the primary schools entered details about their satisfaction with certain aspects of the service, with 100% saying they were either “satisfied” or “very satisfied” with the service. The three aspects of the service with 100% satisfaction (with no Don’t Know responses) were the “project box loans” of fiction and non-fiction, the fiction sets and play scripts for group reading at KS2, 3 and 4, and the transport/delivery of learning materials. Only one question had any dis-satisfaction – one respondent was dis-satisfied with the “Specialist advice from professionally qualified library staff” – but no other question had any dis-satisfaction recorded.

83.3% of the six respondents asked felt the ELS was influential in school attainment, and in a separate question 83.3% of the six respondents said the service provided value for money. The greatest level of interest was in securing service using a Service Level Agreement (SLA) – of the five respondents, all agreed with securing a discount on buying books, and 40% were interested in a SLA for discounted e-readers.



Schools were offered the choice of different subscription packages apart from the current annual membership, and could select multiple answers. 80% of the five respondents opted for a tiered membership tailored to the wishes of their particular school. 40% wanted an option to buy multi-year membership at a discounted price, and 20% wanted a pay-as-you-go service.

The physical location of the ELS at Parkfields was not felt to be a bar to accessing materials: of the 6 respondents, 83.3% were satisfied with accessing material at that location. Schools felt that evening opening in the week, and morning opening at weekend, were the most convenient times to access the service. Regardless of the opening times and location of the ELS, respondents want an online catalogue and ordering system: there was unanimity amongst the six respondents to the question.

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City of Wolverhampton Equality Analysis Template

Directorate: Place Service Area: Libraries	Lead Officer: Charlotte Johns, Head of Service City Economy Date completed: 29 June 2017
Service / Function / Policy / Procedure to be assessed: Libraries Transformation Strategy	
Is this: New / Proposed <input checked="" type="checkbox"/> <input type="checkbox"/> Existing/Review <input type="checkbox"/> Changing <input type="checkbox"/> (Please tick appropriate box)	Review date:

Part A – Initial Equality Analysis to determine if a full Equality Analysis is required.

What are the aims and objectives/purpose of this service, function, policy or procedure?

To implement our 10 year strategy (2017 – 2027) that transforms libraries in the City of Wolverhampton and delivers our vision of ‘modern, vibrant, sustainable libraries’ and our strategic aims which are:

1. Promoting learning and improving skills
2. Supporting reading and literacy
3. Widening access to quality information
4. Broadening access to culture
5. Increasing the use of digital services
6. Promoting and enabling health and wellbeing

Please indicate its relevance to any of the equality duties (below) by selecting Yes or No?

	Yes	No
Eliminating unlawful discrimination, victimisation and harassment	Yes	
Advancing equality of opportunity	Yes	
Fostering good community relations	Yes	

If not relevant to any of the three equality duties and this is agreed by your Head of Service, the Equality Analysis is now complete - please send a copy to the Equality & Diversity Team. **If any of the three equality duties are relevant**, a Full Equality Analysis will need to be undertaken (PART B below).

PART B: Full Equality Analysis.

Step 1 – Identifying outcomes and delivery mechanisms (in relation to what you are assessing)

<p>What outcomes are sought and for whom?</p>	<p>The strategy seeks to deliver against the following outcomes:</p> <ul style="list-style-type: none"> • Improved skills, learning and life chances for local people • Improved health and wellbeing for local people • Local people’s lives are enriched with improved access to culture, literature and quality information • Increased civic and community participation through: <ul style="list-style-type: none"> – Visiting and engaging in activities in libraries – Volunteering
<p>Are there any associated policies, functions, services or procedures?</p>	<p>Libraries contribute to the delivery of Vision 2030 and the council’s Corporate Plan. There are specific links to health and wellbeing, learning and skills, employability and enterprise and creative and cultural economy areas.</p> <p>Our strategy is proposed to be delivered through:</p> <ul style="list-style-type: none"> • Providing professional well trained staff • Increasing volunteering opportunities • Working with the local community to extend opening hours • Providing a high quality book offer • Providing access to the latest technology • Increasing events and activities in libraries • Improving physical library spaces • Making libraries more sustainable <p>The Libraries Strategy also proposes a commitment to delivering the Society for Chief Librarian’s six steps promise for blind and partially sighted library users, and the Children and Young People’s promise.</p>
<p>If partners (including external partners) are</p>	<p>The Home Library Service is currently delivered by Dudley Metropolitan Borough Council.</p> <p>Some libraries are co-located as part of Community Hubs. One library is co-located in a Care Home and staffed by volunteers.</p>

involved in delivering the service, who are they?	<p>Libraries in the Black Country work closely together as part of the ‘Black Country Libraries in Partnership’ (BCLiP) group, which includes the sharing of best practice and joint procurement initiatives to maximise value for money for local people. The new Library Management System has been procured jointly.</p> <p>The implementation of a new Library Management System will be delivered and supported by Capita.</p>
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Step 2 – What does the information you have collected, or that you have available, tell you?

What evidence/data already exists about the service and its users? (in terms of its impact on the ‘equality strands’, i.e. race, disability, gender, gender identity, age, religion or belief, sexual orientation, maternity/pregnancy, marriage/civil partnership and other socially excluded communities or groups) and **what does the data tell you?** e.g. are there any significant gaps?

The current Library Management System holds limited data on the protected characteristics – mainly age and gender. By the end of November 2017 a new Library Management System will be implemented will collect information on all protected characteristics, so this can be used to monitor any issues in relation to equalities and inform future planning in the service.

Over 500 people participated in the engagement phase (October 2016) through externally facilitated workshops, an online survey, email and social media. Equalities monitoring information was captured from participants, and during the engagement phase where we knew there was underrepresentation, we undertook further work to ensure views from these groups were captured. This included extra workshops with the LGBT network and Ethnic Minority Council. Equalities data, before the extra work was undertaken, can be seen in the Engagement Analysis Report produced by the University of Wolverhampton.

In February – May 2017 the council undertook a formal consultation exercise on a draft libraries strategy. Over 830 people participated in the consultation through an online survey or attendance at a consultation event. During consultation, emails were sent to Equalities and Diversity forum groups inviting individuals to take part in the consultation. Due to the small sample size, it is not possible to analyse responses to the consultation questions by equalities strand in a meaningful way. However, the lack of equalities data provided is something that will be addressed via the new Library Management System to increase equalities information held on libraries users. This will enable better analysis to be undertaken going forward. Where decisions are taken on a library by library basis, this information will be referred to as part of the work.

The evidence base for libraries includes a ‘needs assessment’ which includes data on young and old people within the demographics of each library based on 2011 census data.

Has there been any consultation with, or input from, customers / service users or other stakeholders? If so, with whom, how were they consulted and what did they say? If you haven't consulted yet and are intending to do so, please list which specific groups or communities you are going to consult with and when.

The engagement exercise in October 2016 and consultation in February – May 2017 have both been the main form of input into the development of the strategy to date.

Over 500 people participated in the engagement phase (October 2016) through externally facilitated workshops, an online survey, email and social media. Extra workshops were undertaken to ensure that any underrepresentation was managed and that engagement took place across all protected characteristics.

Over 830 people participated in the formal consultation exercise through an online survey, paper based survey, face to face meetings and targeted communications to a number of key stakeholders across all the protect characteristics to ensure a representative response. Equalities monitoring happened throughout the consultation window to ensure that any under representation was addressed.

The key findings from consultation were:

Page 205

- 76.2% of people agreed with the proposed vision statement of a 'modern, vibrant and sustainable library service for the city of Wolverhampton'
- The six proposed strategic aims were approved by more than 4/5 of respondents, with the most support for 'promoting learning and improving skills' and 'supporting reading and literacy'
 - More than half of people were in agreement with all aspects of the proposed way of delivering the strategy
 - There was support for promoting the use of new technologies in particular extending the use of tablets, touch screen, 3D printers and hiring e-readers
 - Many people wish to see libraries open for longer. The strategy proposes this is done through co-location with other services and working with the community
 - 81.3% of people agreed with the idea to 'hold and promote events and activities

These key themes were consistently brought up across all protected characteristics (including the extra workshops that were undertaken with underrepresented groups).

Are there any complaints, compliments, satisfaction surveys or customer feedback that could help inform this assessment? If yes, what do these tell you?

Customer feedback was established as part of consultation exercise.

Step 3 – Identifying the negative impact.

a. Is there any negative impact on individuals or groups in the community?

Barriers:

What are the potential or known barriers/impacts for the different 'equality strands' set out below? Consider:

- **Where** you provide your service, e.g. the facilities/premises;
- **Who** provides it, e.g. are staff trained and representative of the local population/users?
- **How** it is provided, e.g. do people come to you or do you go to them? Do any rules or requirements prevent certain people accessing the service?
- **When** it is provided, e.g. opening hours?
- **What** is provided, e.g. does the service meet everyone's needs? How do you know?

* Some barriers are justified, e.g. for health or safety reasons, or might actually be designed to promote equality, e.g. single sex swimming/exercise sessions, or cannot be removed without excessive cost. If you believe any of the barriers identified to be justified then please indicate which they are and why.

Solutions:

What can be done to minimise or remove these barriers to make sure everyone has equal access to the service or to reduce adverse impact? Consider:

- Other arrangements that can be made to ensure people's diverse needs are met;
- How your actions might help to promote good relations between communities;
- How you might prevent any unintentional future discrimination.

Equality Themes	Positive Impacts	Negative Impacts identified	Solutions (ways in which you could mitigate the negative impact)
<p>Age (including children, young people and older people)</p>	<p>The libraries strategy includes maintaining library provision in all of the 16 locations. This provides assurance to communities that there are a number of libraries they can access 'as is'.</p> <p>People wish to see libraries open for longer through co-location with other services and working with the community to extend opening hours.</p> <p>If it is possible to provide other public services alongside libraries this would mean that more services, staff and members of the community would be nearby to provide help to people if needed.</p> <p>Furthermore, increased partnership working improves the offer for all people, and community led models could help increase social value.</p> <p>The strategy proposes promoting the use of new digital technologies alongside old technologies such as CDs and DVDs. New technologies could have a positive impact on older age groups who tend to be less digitally literate.</p>	<p>Should working with the community or other services during the life of this strategy mean that a library moves location, there is a risk that some people may have to travel slightly further to their local library. There could be an impact on young people, or older people. Children for example would be less likely to travel further unsupervised. Cost to travel could also be prohibitive for certain groups. We know from a travel survey conducted in our libraries in October/November 2016 that the most popular mode of travel to libraries is walking, followed by car. If libraries move then there is a risk that people may have to walk further which would be prohibitive. However it is unlikely that any move of a library during the strategy period would be a significant distance, and the aim of moving a library would be to improve accessibility not reduce it. Whilst some people may be adversely affected by a relocation, others may have their access improved.</p> <p>Consultation and equalities monitoring for any potential relocations will be developed as and when required, taking into account specific communities geographies as needed.</p> <p>There is a risk that if events and activities are held during the day that some age</p>	<p>During the consultation on our strategy, there was some concern about ceasing older forms of technology such as CDs and DVDs, particularly for older groups. However there was strong support for promoting the use of new technologies, and so we will ensure the needs of communities who wish to use older technologies continue to be met alongside developing new forms of technology.</p> <p>During the consultation PC fees and charges were consulted upon. Despite the most popular response being to limit time to 1 hour free then charge, the strategy proposes that we have 2 hours free access, before there are charges. This will help support people who additional support on PCs which takes time.</p> <p>Events and activities should be scheduled across the whole week to enable access by as many age groups as possible.</p> <p>Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other</p>

	<p>The strategy proposes to invest in quality book stock including audio and large print that could have a positive impact on older people who have sight issues.</p> <p>Improving the quality of physical library spaces could have a positive impact on all ages, to ensure buildings are welcoming, fit for purpose and feel safe.</p> <p>Increasing the amount of events and activities could have a positive impact on the lives of all age groups.</p> <p>Increasing the amount of volunteering opportunities may have a positive impact on older age groups e.g. retired, who are more likely to be able to take up opportunities, in addition to those who are out of work or wishing to retrain.</p> <p>The Libraries Strategy also proposes a commitment to delivering the Society for Chief Librarian's Children and Young People's promise, which would demonstrate best practice library provision for this age group.</p>	<p>groups are more likely to be excluded from attending – such as working age, school age.</p> <p>Fees and charges – people were asked via consultation whether they would be prepared to pay a fee for the use of PC. PC usage is currently free of charge. A decision has been made for PCs to remain free of charge for 2 hours followed by £1 per hour after this. Books will remain free as specified by law.</p> <p>This could have a negative impact on certain age groups that tend to use PCs more (anecdotally, younger age groups particularly those that claim benefits).</p>	<p>services to see how we can extend opening hours.</p> <p>Ensure that libraries are located in places where there are good public transport links and car parking facilities nearby.</p> <p>Ensure Home Library Service referrals for those people who are unable to travel further and meet the criteria for the Home Library Service.</p> <p>Ensure support is clearly promoted in self service only periods.</p> <p>Equalities monitoring on usage will also ensure breadth of stock is not affected.</p>
<p>Disability (including carers)</p>	<p>The libraries strategy includes maintaining library provision in all of the 16 locations across the city. This</p>	<p>Should working with the community or other services during the life of this strategy mean that a library moves</p>	<p>During the consultation on our strategy, there was some concern about ceasing older forms of</p>

	<p>provides assurance to communities that there are a number of libraries they can access 'as is'.</p> <p>People wish to see libraries open for longer through co-location with other services and working with the community to extend opening hours. This has been achieved at Long Knowle library where additional hours have been provided. 2016 data shows that 18.5% of respondents to a travel survey said that they had a disability higher than the service average of 11.6%.</p> <p>If it is possible to provide other public services alongside libraries this would mean that more services, staff and members of the community would be nearby to provide help to people if needed.</p> <p>Furthermore, increased partnership working improves the offer for all people, and community led models could help increase social value.</p> <p>The strategy also proposes to increase digital literacy – this could have a positive impact on disabled groups who may be more likely to need to access support from public services which are increasingly using 'digital by design' approaches.</p>	<p>location, there is a risk that some people may have to travel slightly further to their local library. There could be an impact on disabled people who are unable to travel further. Cost to travel could also be prohibitive for certain groups. We know from a travel survey conducted in our libraries in October/November 2016 that the most popular mode of travel to libraries is walking, followed by car. If libraries move then there is a risk that people may have to travel further which would be prohibitive. However it is unlikely that any move of a library during the strategy period would be a significant distance, and the aim of moving a library would be to improve accessibility not reduce it. Whilst some people may be adversely affected by a relocation, others may have their access improved. Consultation and equalities monitoring for any potential relocations will be developed as and when required, taking into account specific communities geographies as needed.</p> <p>There is a risk that if events and activities are held in locations that are difficult to access or have limited facilities such as no hearing loop, that disabled people are disadvantaged.</p> <p>Fees and charges – people were asked via consultation whether they would be prepared to pay a fee for the use of PC.</p>	<p>technology such as CDs and DVDs, particularly for older groups or people with certain disabilities. However there was strong support for promoting the use of new technologies, and so we will ensure the needs of communities who wish to use older technologies continue to be met alongside developing new forms of technology.</p> <p>During the consultation PC fees and charges were consulted upon. Despite the most popular response being to limit time to 1 hour free then charge, the strategy proposes that we have 2 hours free access, before there are charges. This will help support people who additional support on PCs which takes time.</p> <p>Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other services to see how we can extend opening hours.</p> <p>Ensure that libraries are located in places where there are good public transport links and car parking facilities, including disabled car parking, nearby.</p> <p>Ensure Home Library Service</p>
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	<p>The strategy proposes promoting the use of new digital technologies alongside old technologies such as CDs and DVDs. New technologies could have a positive impact on groups with disabilities by making new technologies more accessible.</p> <p>Improving the quality of physical library spaces could have a positive impact on disabled people, to ensure buildings are welcoming, fit for purpose and feel safe and are fully accessible.</p> <p>Increasing the amount of events and activities could have a positive impact on the lives of disabled people.</p> <p>Increasing the amount of volunteering opportunities may have a positive impact on disabled groups.</p> <p>The Libraries Strategy also proposes a commitment to delivering the Society for Chief Librarian's six steps promise for blind and partially sighted library users, which demonstrates best library practice for this disability group.</p>	<p>PC usage is currently free of charge. A decision has been made for PCs to remain free of charge for 2 hours followed by £1 per hour after this. Books will remain free.</p> <p>This could have a negative impact on certain disability groups that may be unable to access the PCs.</p>	<p>referalls for those people who are unable to travel further and meet the criteria for the Home Library Service.</p> <p>Ensure how library users can access additional support is clearly promoted in self service only periods.</p> <p>Equalities monitoring on usage will also ensure breadth of stock is not affected.</p>
Gender (men and women)	The libraries strategy includes maintaining library provision in all of the 16 locations. This provides assurance to communities that there are a number of libraries they can	Should working with the community or other services during the life of this strategy mean that a library moves location, there is a risk that some people may have to travel slightly further to their	Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other services to see how we can extend

	<p>access 'as is'.</p> <p>People wish to see libraries open for longer through co-location with other services and working with the community to extend opening hours.</p> <p>If it is possible to provide other public services alongside libraries this would mean that more services, staff and members of the community would be nearby to provide help to people if needed.</p> <p>Furthermore, increased partnership working improves the offer for all people, and community led models could help increase social value.</p> <p>The strategy proposes promoting the use of new digital technologies alongside old technologies such as CDs and DVDs. New technologies could have a positive impact on groups with disabilities by making new technologies more accessible.</p> <p>The proposal to stop investing in old technology and invest in quality book stock including audio and large print could have a positive impact on all genders.</p> <p>Improving the quality of physical library spaces could have a particular positive</p>	<p>local library. There could be an impact on women who are more likely to bring children to the library, and are unable to travel further. Cost to travel could also be prohibitive for certain groups. We know from a travel survey conducted in our libraries in October/November 2016 that the most popular mode of travel to libraries is walking, followed by car. If libraries move then there is a risk that people may have to travel further which would be prohibitive. However it is unlikely that any move of a library during the strategy period would be a significant distance, and the aim of moving a library would be to improve accessibility not reduce it. Whilst some people may be adversely affected by a relocation, others may have their access improved. Consultation and equalities monitoring for any potential relocations will be developed as and when required, taking into account specific communities geographies as needed.</p>	<p>opening hours.</p> <p>Ensure that libraries are located in places where there are good public transport links and car parking facilities, including disabled car parking, nearby.</p> <p>Ensure how library users can access additional support is clearly promoted in self service only periods.</p> <p>Equalities monitoring on usage will also ensure breadth of stock is not affected.</p>
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	<p>impact on women, so that all library buildings are welcoming and feel safe.</p> <p>Increasing the amount of events and activities could have a positive impact on both genders. Events for younger children are particularly well attended by women, and so increasing these could have a positive effect on women.</p>		
<p>Race (including Gypsies & Travellers and Asylum Seekers)</p> <p>Page 212</p>	<p>The libraries strategy includes maintaining library provision in all of the 16 locations. This provides assurance to communities that there are a number of libraries they can access 'as is'.</p> <p>People wish to see libraries open for longer through co-location with other services and working with the community to extend opening hours.</p> <p>If it is possible to provide other public services alongside libraries this would mean that more services, staff and members of the community would be nearby to provide help to people if needed.</p> <p>Furthermore, increased partnership working improves the offer for all people, and community led models could help increase social value.</p> <p>The strategy proposes promoting the</p>	<p>Should working with the community or other services during the life of this strategy mean that a library moves location, there is a risk that some people may have to travel slightly further to their local library. There could be an impact on some communities, who feel unable to travel to a different locale. We know from a travel survey conducted in our libraries in October/November 2016 that the most popular mode of travel to libraries is walking, followed by car. If libraries move then there is a risk that people may have to walk further which would be prohibitive. However it is unlikely that any move of a library during the strategy period would be a significant distance, and the aim of moving a library would be to improve accessibility not reduce it. Whilst some people may be adversely affected by a relocation, others may have their access improved. Consultation and equalities monitoring for any potential relocations will be developed as and when required, taking into account specific communities</p>	<p>Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other services to see how we can extend opening hours.</p> <p>Ensure that libraries are located in places where there are good public transport links and car parking facilities nearby.</p> <p>Ensure Home Library Service referalls for those people who are unable to travel further and meet the criteria for the Home Library Service.</p> <p>Equalities monitoring on usage will also ensure breadth of stock is not affected.</p>

	<p>use of new digital technologies alongside old technologies such as CDs and DVDs. New technologies could have a positive impact on different communities in the city.</p> <p>Improving the quality of physical library spaces could have a positive impact on all races, to ensure buildings are welcoming, fit for purpose and feel safe.</p> <p>Increasing the amount of events and activities could have a positive impact on the lives of all people, and have the potential to promote community cohesion. Fostering good relations could be evidenced by support for Black History Month in libraries.</p>	geographies as needed.	
<p>Religion or belief (including people of no religion or belief)</p>	<p>The libraries strategy includes maintaining library provision in all of the 16 locations. This provides assurance to communities that there are a number of libraries they can access 'as is'.</p> <p>People wish to see libraries open for longer through co-location with other services and working with the community to extend opening hours.</p> <p>If it is possible to provide other public services alongside libraries this would mean that more services, staff and</p>	Depending on location, there may be an issue with some people feeling comfortable with accessing services, for example, should a library be co-located within a religious building. There are no such plans for Wolverhampton libraries.	<p>Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other services to see how we can extend opening hours.</p> <p>Equalities monitoring on usage will also ensure breadth of stock is not affected.</p>

	<p>members of the community would be nearby to provide help to people if needed.</p> <p>Furthermore, increased partnership working improves the offer for all people, and community led models could help increase social value.</p> <p>Improving the quality of physical library spaces could have a positive impact on all, to ensure buildings are welcoming, fit for purpose and feel safe.</p>		
<p>Gender Re-assignment (those that are going through transition: male to female or female to male)</p>	<p>The libraries strategy includes maintaining library provision in all of the 16 locations. This provides assurance to communities that there are a number of libraries they can access 'as is'.</p> <p>People wish to see libraries open for longer through co-location with other services and working with the community to extend opening hours.</p> <p>If it is possible to provide other public services alongside libraries this would mean that more services, staff and members of the community would be nearby to provide help to people if needed.</p> <p>Furthermore, increased partnership working improves the offer for all people, and community led models</p>	<p>Should working with the community or other services during the life of this strategy mean that a library moves location, there is a risk that some people may have to travel slightly further to their local library. There could be an impact on some communities, who feel unable to travel to a different locale. We know from a travel survey conducted in our libraries in October/November 2016 that the most popular mode of travel to libraries is walking, followed by car. If libraries move then there is a risk that people may have to walk further which would be prohibitive. However it is unlikely that any move of a library during the strategy period would be a significant distance, and the aim of moving a library would be to improve accessibility not reduce it. Whilst some people may be adversely affected by a relocation, others may have their access improved. Consultation and equalities</p>	<p>Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other services to see how we can extend opening hours.</p> <p>Ensure Home Library Service referalls for those people who are unable to travel further and meet the criteria for the Home Library Service.</p> <p>Equalities monitoring on usage will also ensure breadth of stock is not affected.</p>

	<p>could help increase social value.</p> <p>Improving the quality of physical library spaces could have a positive impact on all, to ensure buildings are welcoming and feel safe.</p>	<p>monitoring for any potential relocations will be developed as and when required, taking into account specific communities geographies as needed.</p>	
<p>Pregnancy and Maternity</p> <p>Page 215</p>	<p>The libraries strategy includes maintaining library provision in all of the 16 locations. This provides assurance to communities that there are a number of libraries they can access 'as is'.</p> <p>People wish to see libraries open for longer through co-location with other services and working with the community to extend opening hours.</p> <p>If it is possible to provide other public services alongside libraries this would mean that more services, staff and members of the community would be nearby to provide help to people if needed.</p> <p>Furthermore, increased partnership working improves the offer for all people, and community led models could help increase social value.</p> <p>Improving the quality of physical library spaces could have a positive impact on all, to ensure buildings are welcoming, fit for purpose and feel safe.</p>	<p>Should working with the community or other services during the life of this strategy mean that a library moves location, there is a risk that some people may have to travel slightly further to their local library. There could be an impact on some communities, who feel unable to travel to a different locale. We know from a travel survey conducted in our libraries in October/November 2016 that the most popular mode of travel to libraries is walking, followed by car. If libraries move then there is a risk that people may have to walk further which would be prohibitive. However it is unlikely that any move of a library during the strategy period would be a significant distance, and the aim of moving a library would be to improve accessibility not reduce it. Whilst some people may be adversely affected by a relocation, others may have their access improved. Consultation and equalities monitoring for any potential relocations will be developed as and when required, taking into account specific communities geographies as needed.</p>	<p>Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other services to see how we can extend opening hours.</p> <p>Ensure Home Library Service referalls for those people who are unable to travel further and meet the criteria for the Home Library Service.</p> <p>Equalities monitoring on usage will also ensure breadth of stock is not affected.</p>

<p>Sexual orientation (including gay, lesbian, bisexual and heterosexual)</p> <p>Page 216</p>	<p>The proposed libraries strategy includes maintaining library provision in all of the 16 locations. This provides assurance to communities that there are a number of libraries they can access 'as is'.</p> <p>The consultation includes asking how communities or other services could work with the library service to extend opening hours and improve access and convenience across all age groups. This directly links to feedback received in engagement.</p> <p>If it is possible to provide other public services alongside libraries this would mean that more services, staff and members of the community would be nearby to provide help to people if needed.</p> <p>Furthermore, increased partnership working improves the offer for all people, and community led models could help increase social value.</p> <p>Improving the quality of physical library spaces could have a positive impact on all, to ensure buildings are welcoming and feel safe.</p> <p>Increasing the amount of events and</p>	<p>Should working with the community or other services during the life of this strategy mean that a library moves location, there is a risk that some people may have to travel slightly further to their local library. There could be an impact on some communities, who feel unable to travel to a different locale. We know from a travel survey conducted in our libraries in October/November 2016 that the most popular mode of travel to libraries is walking, followed by car. If libraries move then there is a risk that people may have to walk further which would be prohibitive. However it is unlikely that any move of a library during the strategy period would be a significant distance, and the aim of moving a library would be to improve accessibility not reduce it. Whilst some people may be adversely affected by a relocation, others may have their access improved. Consultation and equalities monitoring for any potential relocations will be developed as and when required, taking into account specific communities geographies as needed.</p>	<p>Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other services to see how we can extend opening hours.</p> <p>Ensure Home Library Service referalls for those people who are unable to travel further and meet the criteria for the Home Library Service.</p> <p>Equalities monitoring on usage will also ensure breadth of stock is not affected.</p>

	<p>activities could have a positive impact on LGBT communities where there are activities supporting things such as LGBT History month (February) and Pride.</p>		
<p>Marriage and Civil Partnership</p>	<p>The libraries strategy includes maintaining library provision in all of the 16 locations. This provides assurance to communities that there are a number of libraries they can access 'as is'.</p> <p>The consultation includes asking how communities or other services could work with the library service to extend opening hours and improve access and convenience across all age groups. This directly links to feedback received in engagement.</p> <p>If it is possible to provide other public services alongside libraries this would mean that more services, staff and members of the community would be nearby to provide help to people if needed.</p> <p>Furthermore, increased partnership working improves the offer for all people, and community led models could help increase social value.</p> <p>Improving the quality of physical library spaces could have a positive impact on all, to ensure buildings are welcoming</p>	<p>Should working with the community or other services during the life of this strategy mean that a library moves location, there is a risk that some people may have to travel slightly further to their local library. There could be an impact on some communities, who feel unable to travel to a different locale. We know from a travel survey conducted in our libraries in October/November 2016 that the most popular mode of travel to libraries is walking, followed by car. If libraries move then there is a risk that people may have to walk further which would be prohibitive. However it is unlikely that any move of a library during the strategy period would be a significant distance, and the aim of moving a library would be to improve accessibility not reduce it. Whilst some people may be adversely affected by a relocation, others may have their access improved. Consultation and equalities monitoring for any potential relocations will be developed as and when required, taking into account specific communities geographies as needed.</p>	<p>Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other services to see how we can extend opening hours.</p> <p>Ensure Home Library Service referalls for those people who are unable to travel further and meet the criteria for the Home Library Service.</p> <p>Equalities monitoring on usage will also ensure breadth of stock is not affected.</p>

	and feel safe.		
Human Rights	Increased partnership working improves the offer for all people, and community led models could help increase social value.	Should working with the community or other services during the life of this strategy mean that a library moves location, there is a risk that some people may have to travel slightly further to their local library. There could be an impact on some communities, who feel unable to travel to a different locale. We know from a travel survey conducted in our libraries in October/November 2016 that the most popular mode of travel to libraries is walking, followed by car. If libraries move then there is a risk that people may have to walk further which would be prohibitive. However it is unlikely that any move of a library during the strategy period would be a significant distance, and the aim of moving a library would be to improve accessibility not reduce it. Whilst some people may be adversely affected by a relocation, others may have their access improved. Consultation and equalities monitoring for any potential relocations will be developed as and when required, taking into account specific communities geographies as needed.	Opening hours will be extended following comments made at consultation. Libraries services will be working with community and other services to see how we can extend opening hours. Ensure Home Library Service referalls for those people who are unable to travel further and meet the criteria for the Home Library Service. Equalities monitoring on usage will also ensure breadth of stock is not affected.

Step 4 – Changes or mitigating actions proposed or adopted

Having undertaken the assessment are there any changes necessary to the existing service, policy, function or procedure? What changes or mitigating actions are proposed?

Equalities data needs to be improved in the library service, and this has been addressed in the attached action plan. Equalities data will continue to be used to improve the service. For the 10 year strategy the focus is on improving library services and extending provision which will have a positive impact across all protected characteristics.

- The strategy maintains 16 libraries in the city. Whilst some are stand alone and only open for a limited amount of time, the strategy proposes that the provision will be extended wherever possible. This is in addition to current staffed library provision where it is in place.
- Improving the offer in all remaining libraries – the libraries transformation strategy has been developed so that the service that all people receive is a better one, with a wider and better offer for all protected characteristics.

Where there are particular decisions in relation to the library service in the future, such as any potential move of a library further equality analyses will be undertaken.

Step 5 – Monitoring

How are you going to monitor the existing service, function, policy or procedure ?

Formal consultation on the draft libraries strategy took place February – May 2017, and then ongoing monitoring will take place through data on the Library Management System which is due to be implemented Autumn 2017.

Part C - Action Plan

Barrier/s or improvement/s identified	Action Required	Lead Officer	Timescale
Consultation analysis	Ensure that analysis of consultation findings includes a breakdown by protected characteristic.	Charlotte Johns	May - June 2017 Complete
Update equalities analysis	Update equalities analysis with information gained as part of consultation	Charlotte Johns	June 2017 Complete
Update Library Offer	Amend library offer as a result of additional equality data and analysis	Charlotte Johns	June - July 2017 Complete
Following any decisions	Monitor take up of service via relevant protected characteristics to check actual equality outcomes are similar to those expected.	Charlotte Johns	Autumn 2017
Update equalities analysis	Update equalities analysis with equality monitoring information gained after any re-configuration of service.	Charlotte Johns	Autumn/Winter 2017
Update Library Offer	Amend Library offer as a result of additional equality data and analysis	Charlotte Johns	Winter 2017/Spring 2018

Equality Analysis approved by:

Head of Service:	Date:
C Johns	29 June 2017

Please send an electronic copy of the Equality Analysis to the Equality & Diversity Team:

Notes and methodology

- Travel survey - A paper based travel survey was handed out by library staff at all 16 library locations, including self-serve/volunteer run libraries from Monday 31 October until Sunday 6 November 2016. Caution should be taken due to a small sample size, but the survey provides some intelligence in relation to equalities and transport data.
- Travel times were calculated using Google Maps on 14 December 2016.

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Cabinet Meeting

19 July 2017

Report title	Review of current Gating Orders prior to transition to Public Spaces Protection Orders	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor Steve Evans City Environment	
Key decision	Yes	
In forward plan	Yes	
Wards affected	Bilston East, Bilston North, Blakenhall, Bushbury North, Bushbury South / Low Hill, East Park, Ettingshall, Heath Town, Oxley, Spring Vale, St Peters, Wednesfield North and Wednesfield South	
Accountable director	Ross Cook, City Environment	
Originating service	Highways Network	
Accountable employee(s)	Keith Rogers Tel Email	Service Lead - Highways Assets 01902 552855 keith.rogers@wolverhampton.gov.uk
Report to be/has been considered by	Place Leadership Team – 12 June Keeping the City Moving Board – 15 June Strategic Executive Board – 4 July	

Recommendation(s) for action or decision:

The Cabinet is recommended to:

1. Consider the review findings in relation to the existing Gating Orders.
2. Approve recommendations to convert existing Gating Orders to Public Spaces Protection Orders, subject to the mandatory six week legal challenge period allowed.

1.0 Purpose

- 1.1 To present the findings of a review of the existing 15 Gating Orders on the public highway.
- 1.2 To seek approval for Public Spaces Protection Orders (PSPOs) to replace the current Gating Orders following a change in tools and powers introduced in the Anti-social Behaviour, Police and Crime Act 2014.

2.0 Background

- 2.1 The Highways Act (Gating Orders) (England) Regulations 2006 came into operation on 1 April 2006 and allowed for the installation of gates on the highway to address anti-social behaviour (ASB). Since that time 16 Gating Orders have been made and periodic reviews undertaken to ensure the gates are considered effective in addressing the problems. Fifteen of the Gating Orders have been successful whilst one order was revoked in 2011.
- 2.2 The Anti-Social Behaviour, Police and Crime Act 2014 came into force in October 2014 and introduced streamlined tools and powers to address ASB. By virtue of section 75(2) within three years of the commencement of the Act (that is by 1 October 2017) all Gating Orders will automatically lapse and will instead convert to PSPOs (sections 59 to 75 of the Act).
- 2.3 Cabinet was briefed on local implementation of the legislation on 12 November 2014 and a multi-agency ASB Steering Group was established to oversee the changes. Wolverhampton has been instrumental in trialling these revised approaches and has shared practice across the West Midlands.
- 2.4 On 22 July 2015 Cabinet approved a trial of the first two PSPOs for the City; one in Low Hill to address long standing traveller encampment incursions and a second in Park Village to address entrenched ASB. The PSPOs came into force in September 2015. A review of their use has shown that whilst both locations have required focussed deployment of staff resource, and significant coordination of enforcement activity between partner agencies, there has been a marked reduction in the associated ASB in these locations. It was agreed that no further PSPOs would be issued across the City until the review of these two PSPOs was concluded and any associated difficulties regarding implementation addressed. Given the success of the PSPOs in Low Hill and Park Village, further PSPOs are being considered (on a City-wide basis where appropriate) to tackle other longstanding sources of nuisance and anti-social behaviour.
- 2.5 The legislation made provision for existing Gating Orders to automatically become PSPOs within three years of the legislation coming into force. However, given the length of time that the Gating Orders have been in place, it was considered appropriate to undertake a review of each Order to inform decisions about the need for continuation of

these powers. The existing Gating Orders therefore remain in place until October 2017 or until such time as it is revoked by a replacement PSPO.

3.0 Review of existing Gating Orders

- 3.1 The 15 current Gating Orders are spread throughout the City and plans attached identify the locations and the restrictions of access. Most are alleyways which have residential properties either side but some are located within business areas. (Please see attached list and plans - Appendix A).
- 3.2 A consultation was undertaken in February 2017 and in total 148 letters were sent to all those properties / businesses which had been directly affected by the anti-social behaviour and crime. Notices were erected on site to capture views of users of the highway from further afield.
- 3.3 A six week consultation period was allowed for responses. 64 responses were received equating to a 43.2% response rate. All respondees confirmed that the gates were being effective in addressing anti-social behaviour and crime. The overwhelming wish was that the gates remain in place. One comment was received that gating of FP090 between The Grove and Prestwood Road made it a long way to walk to local shops.
- 3.4 A request was made to West Midlands Police for its support for the continuation of gating of the highway in all affected locations. Full support has been received.

4.0 The Proposed PSPO

- 4.1 The prohibition is to restrict access to all with the exception of those individuals who have legitimate access, including for maintenance purposes. The times of the restriction will reflect the original restrictions set out in the Gating Order for each of the locations. Access will be permitted to highway maintenance contractors employed by the City of Wolverhampton Council, the emergency services and public utility companies.
- 4.2 Access will be allowed by:
 - a) Fire brigade, police or NHS staff when in the exercise of their duties
 - b) Employees, contractors or agents of statutory undertakers in relation to gas, electricity or water or telecommunications apparatus as defined in the Telecommunications Act 1994 situated in the relevant highway in connection with the laying, erecting, inspection, maintenance, alteration, repair, renewal or removal of any relevant apparatus.
 - c) Council staff and its authorised contractors when in the exercise of their duties.
 - d) Persons using the highway with the express permission or on the direction of a duly authorised council officer in this regard.
- 4.3 PSPOs are required to be reviewed every three years. It is therefore expected that another consultation process will take place in early 2020 with a view to confirming the Council's position on the existing PSPOs.

4.4 Any new PSPOs implemented after October 2017 will also be reviewed after a maximum of three years and follow the same consultation process recently undertaken. There is flexibility to review the PSPO within three years of implementation if it is thought an amendment to the legal order would improve its performance or effectiveness.

5.0 Financial implications

5.1 The statutory notices and consultation in relation to the review of gating orders are anticipated to cost approximately £1,000 and will be met from existing revenue budgets for Public Rights of Way.

5.2 Breach of PSPO prohibitions can result in fixed penalty notices being issued by authorised Council Officers or other persons designated by the Council. A fixed penalty charge of £80 will be applicable in these circumstances. This income is not budgeted for and therefore will reduce the council's net expenditure, contributing to either a budget under spend or reducing a budget over spend as appropriate. [TT/23052017/X]

6.0 Legal implications

6.1 The Anti-Social Behaviour, Crime and Policing Act 2014 ("the Act") came into effect on 20 October 2014.

6.2 Section 59 of The Act gives local authorities the power to make PSPOs which are intended to deal with ASB and nuisance in a particular area that is detrimental to the local community's quality of life by imposing conditions on the use of that area.

6.3 PSPOs impose conditions or restrictions on people using that area such as alcohol bans or putting up gates.

6.4 Before making a PSPO councils must consult with the local police (section 72(3) and 72(4) of the Act) formally through the Chief Officer of Police and the Police and Crime Commissioner. The Act also stipulates that councils must consult with the local community on any proposed PSPO.

6.5 Anyone who lives in or regularly works or visits the area can appeal a PSPO in the High Court within six weeks of issue. The PSPO will be publicised locally.

6.6 Section 61 of the Act makes provision to review a PSPO which is in force and to vary the terms of the order which can be based upon the review findings. Furthermore the maximum duration of a PSPO is three years so proposals to undertake a full review prior to its expiry in October 2020 would be appropriate. [RB/24052017/G]

7.0 Equalities implications

7.1 At the time of making each Gating Order equality implications were considered and none were deemed detrimental.

8.0 Environmental implications

8.1 Gating of these highways helps to reduce the opportunity for anti-social behaviour and crime and thus have a positive impact on the local environment.

9.0 Human resources implications

9.1 There are no human resource implications associated with this proposal.

10.0 Corporate landlord implications

10.1 There are no corporate landlord implications associated with this proposal.

11.0 Schedule of background papers

11.1 None

Appendix A

<u>Public Footpath Ref.</u>	<u>Location From / To</u>	<u>Current Restrictions</u>
FP090	The Grove - Prestwood Road	At all times
FP275	Woodcross Lane – Beach Avenue	At all times
FP284	Rooker Crescent – Cheviot Road	At all times
FP179	Prouds Lane – Angela Place	At all times
FP382 / FP383	Wymering Avenue – Chilworth Avenue	At all times
FP398 / FP399	Stirling Road – Bellevue Road	At all times
FP173 / FP174 / FP336	Rockland Gardens / Breydon Grove / Wayford Glade – Moseley Road	At all times
FP013	Ripon Road – Stafford Road – Bushbury Road	Restricted 6pm to 7am and permanently during school holidays
<u>Highway</u>		
Cockshutts Lane	Off Thompson Avenue	6pm to 6am
Murdoch Road	Murdoch Road – Vulcan Road	At all times
Planetary Road	Planetary Industrial Estate	At all times
Pendeford Lane	Off Wobaston Road	Between 4pm to 9pm on weekday evenings and 8am to 6pm at weekends.
Brickheath Road	Off Old Heath Road	6pm to 6.30am
Princess Alley	Princess Street – Berry Street	7pm to 8am
Moseley Old Hall Lane	Moseley Old Hall Lane	6pm to 8.30am



HEATH TOWN
THE GROVE GATING ORDER



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Wolverhampton
WV1 1RL

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SPRING VALE
BEACH AVENUE GATING ORDER



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ETTINGSHALL
CHEVIOT ROAD GATING ORDER



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WEDNESFIELD NORTH
WYMERING AVENUE GATING ORDER



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*BILSTON EAST
MASEFIELD CLOSE GATING ORDER*



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BILSTON NORTH
ROCKLAND GARDENS GATING ORDER

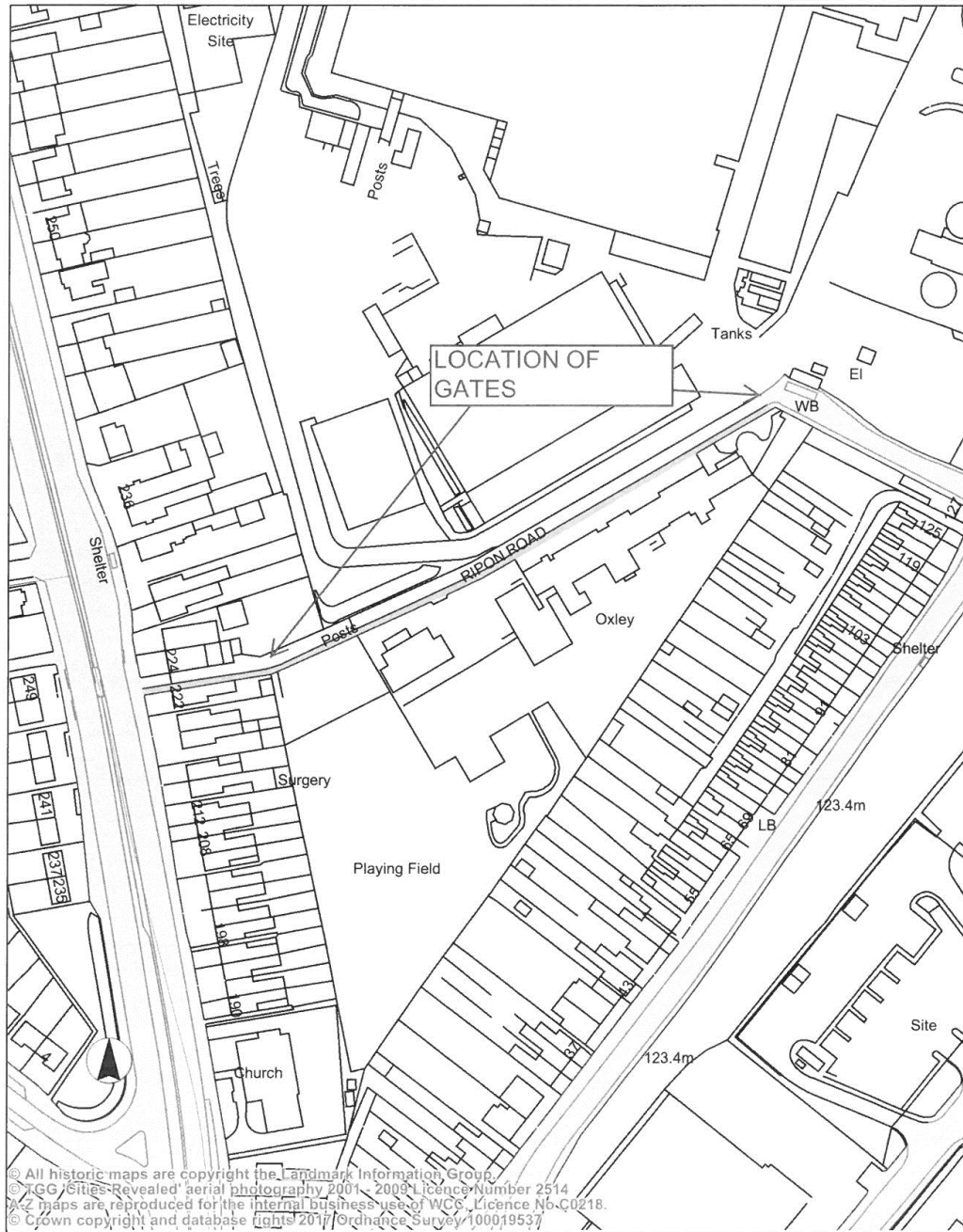


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BUSHBURY SOUTH/LOW HILL
RIPON ROAD GATING ORDER



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BLAKENHALL
COCKSHUTTS LANE GATING ORDER

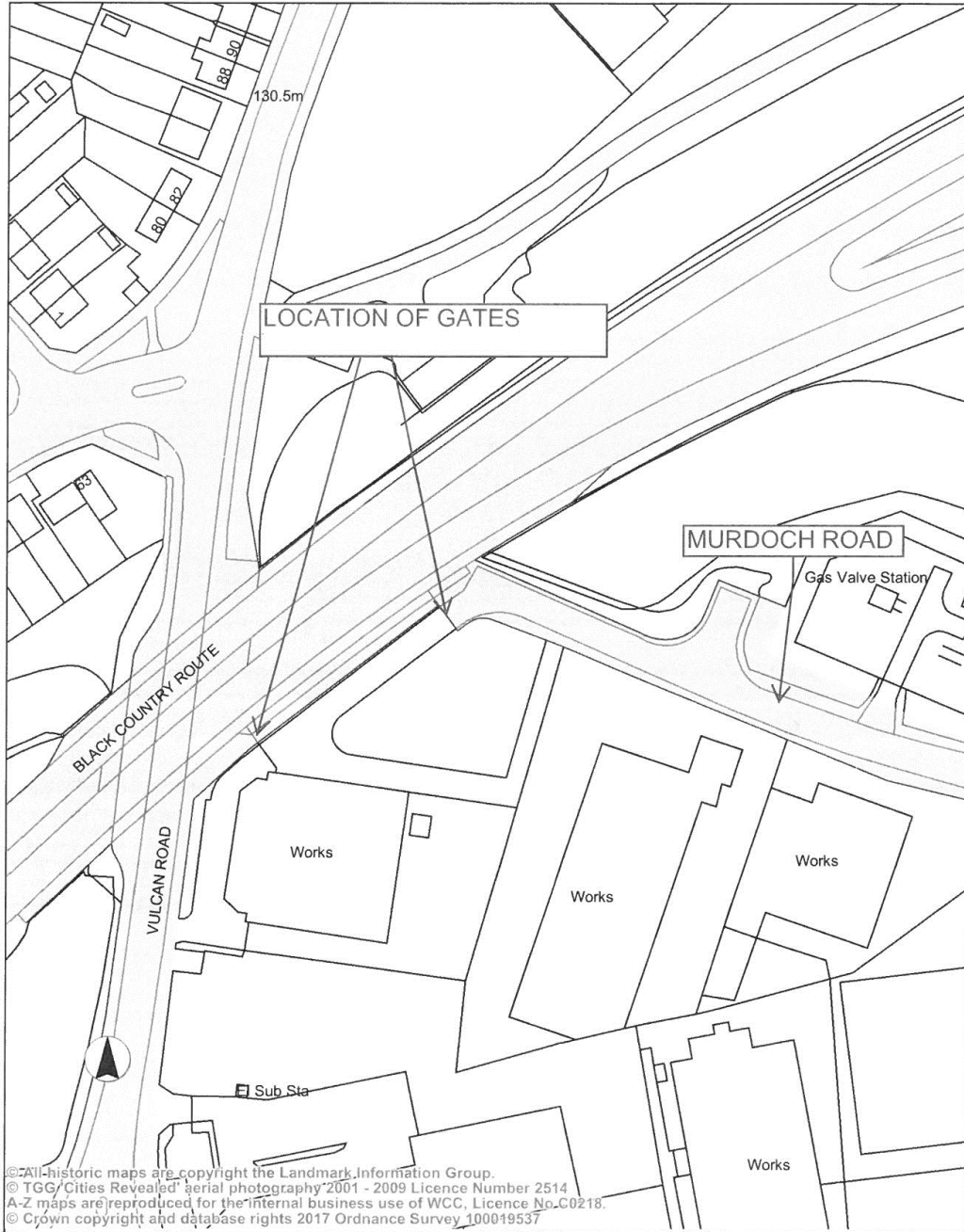


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BILSTON EAST
MURDOCH ROAD GATING ORDER

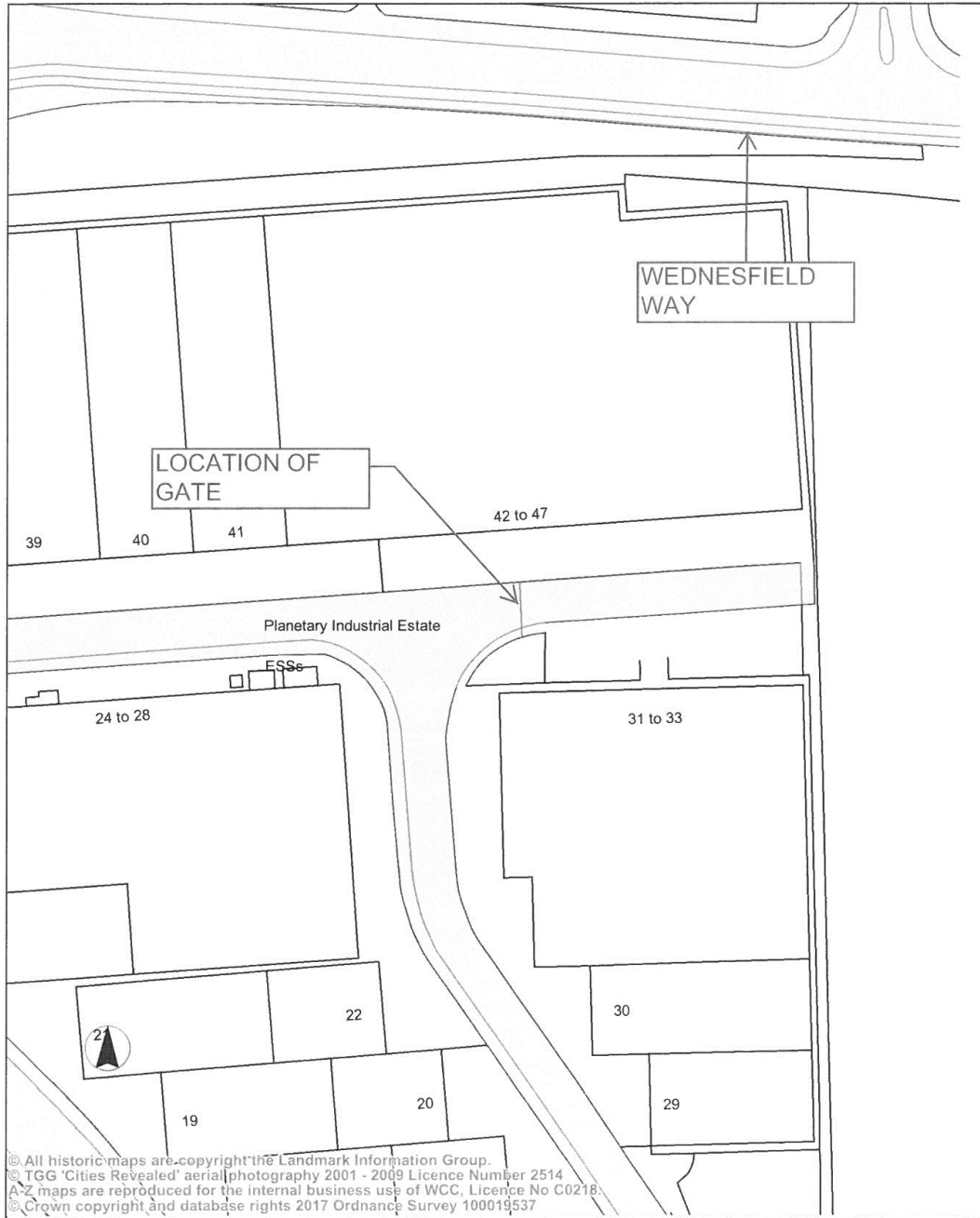


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WEDNESFIELD SOUTH
PLANETARY IND. ESTATE GATING ORDER



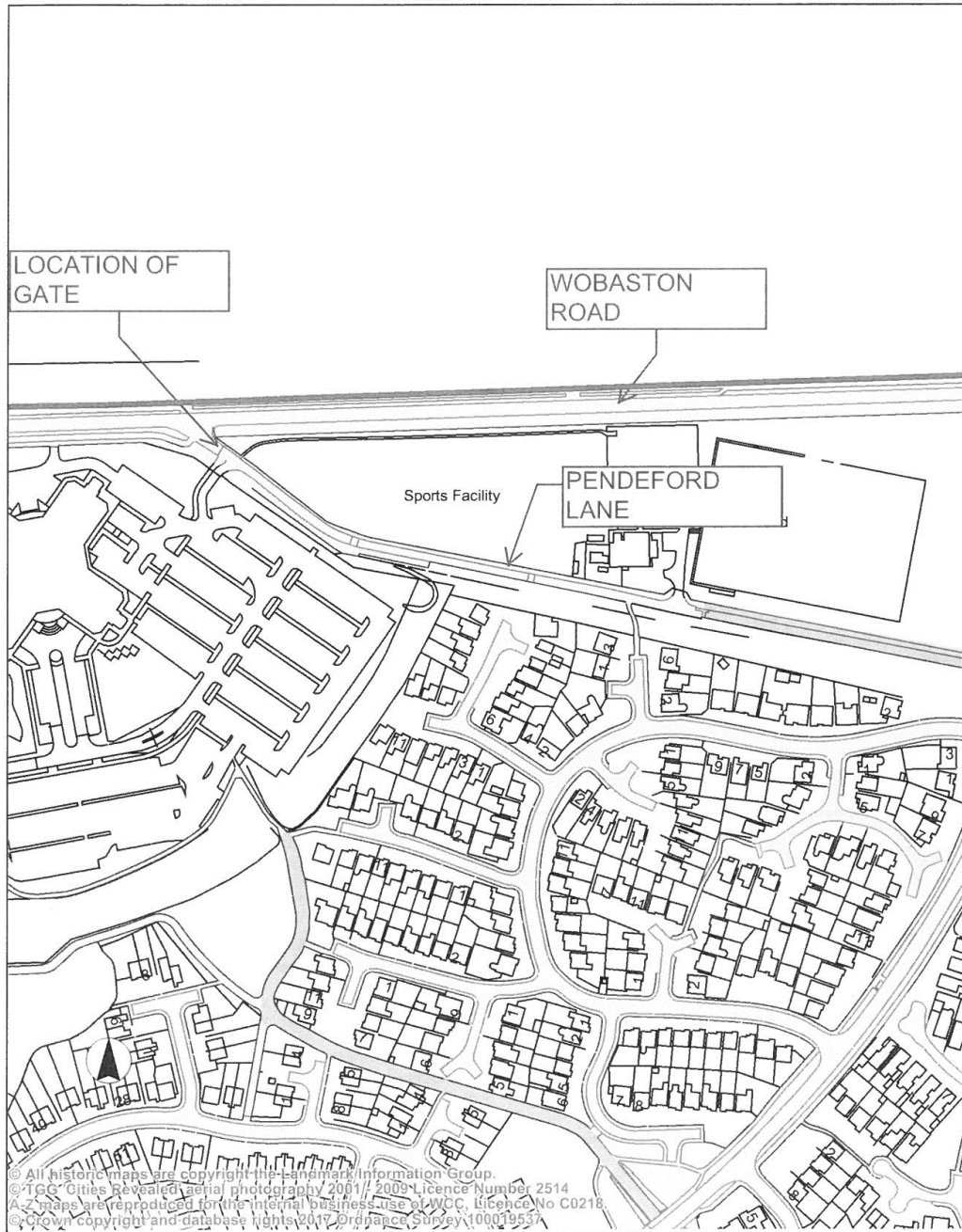
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OXLEY
PENDEFORD LANE GATING ORDER

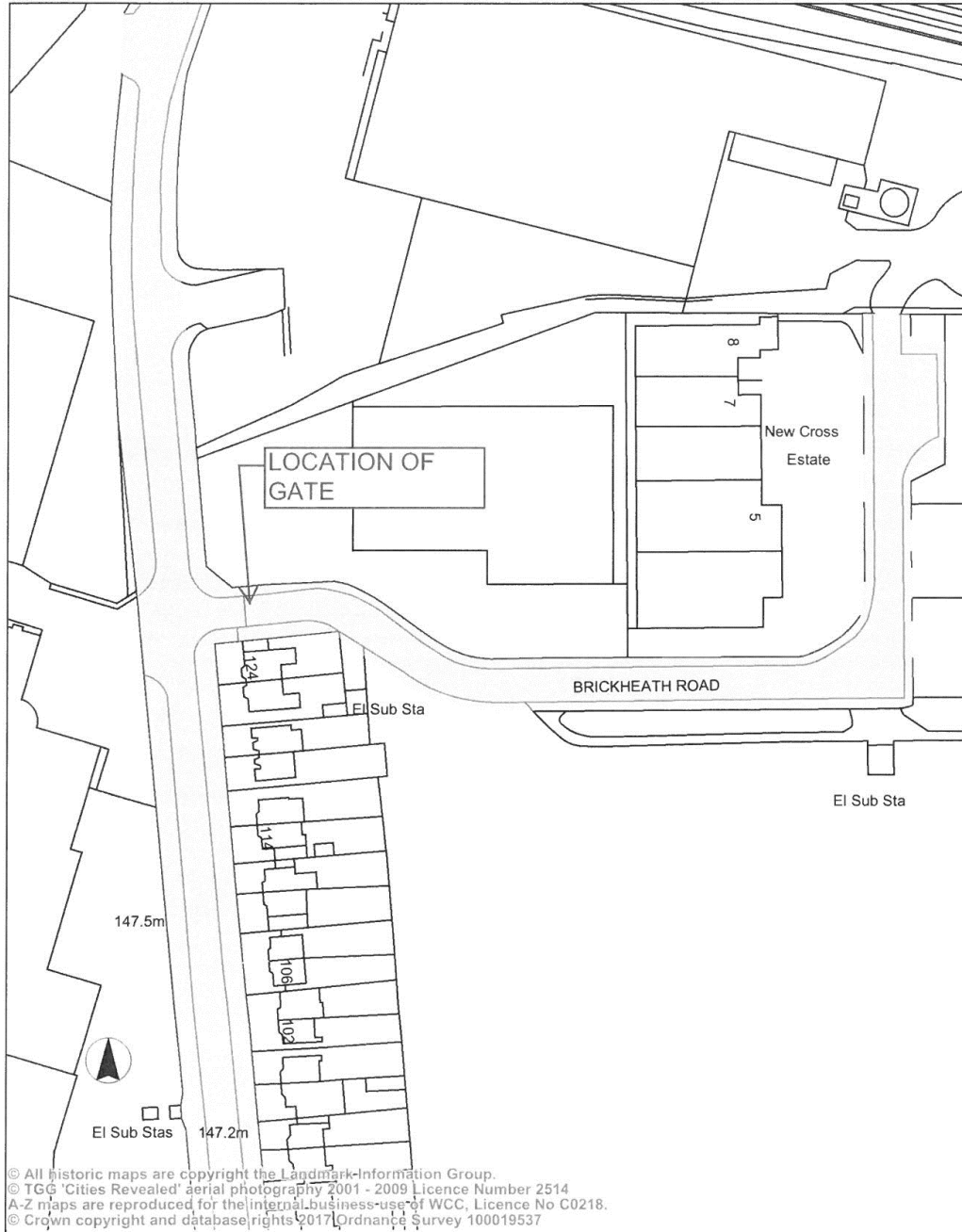


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EAST PARK
BRICKHEATH ROAD GATING ORDER



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ST. PETERS
PRINCESS ALLEY GATING ORDER



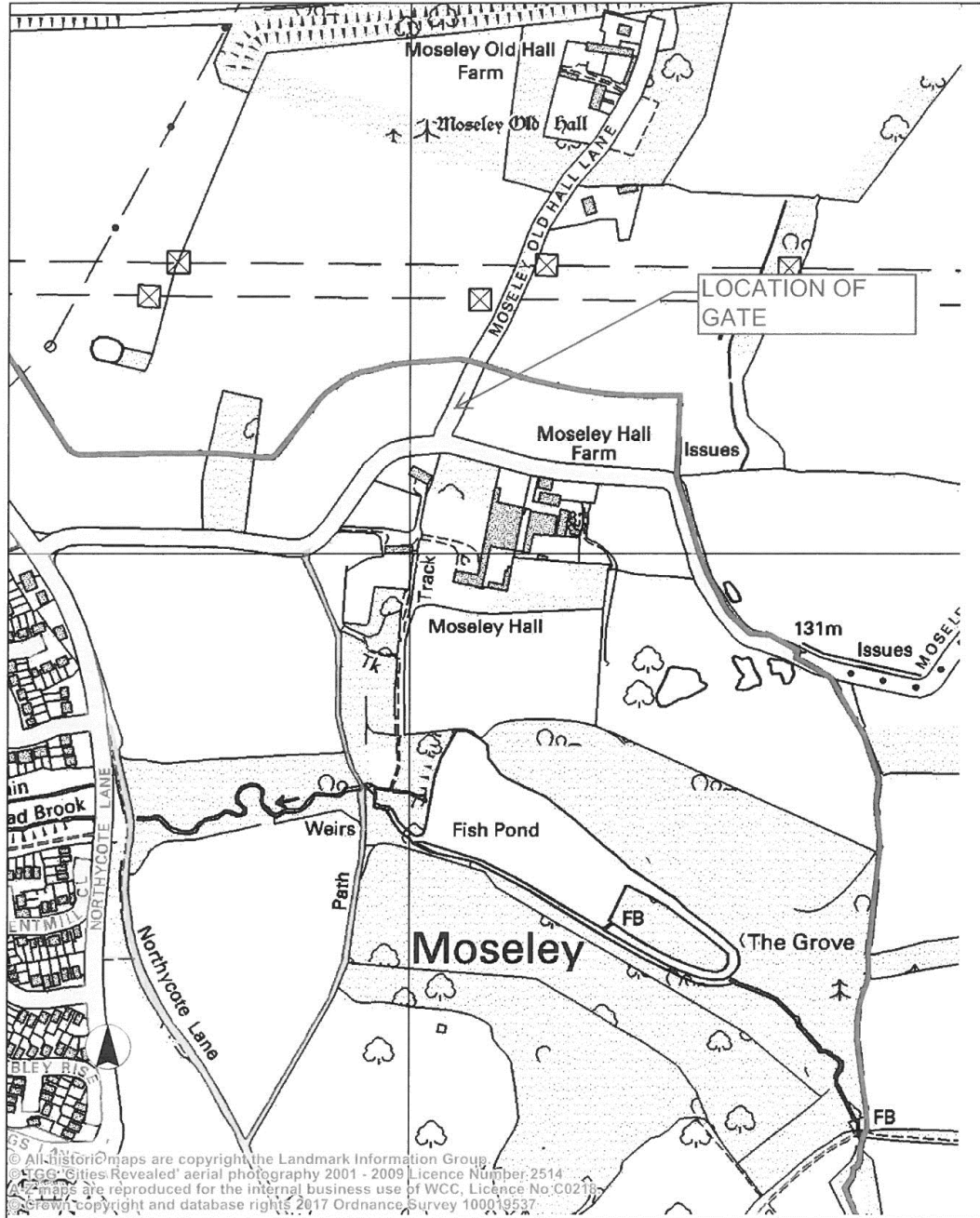
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BUSHBURY NORTH
MOSELEY OLD HALL LANE GATING
ORDER



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Cabinet Meeting

19 July 2017

Report title	Proposed Public Spaces Protection Order – Dog Control	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor Steve Evans City Environment	
Key decision	YES	
In forward plan	YES	
Wards affected	All	
Accountable director	Ross Cook, City Environment	
Originating service	Public Protection	
Accountable employee(s)	Shaun Walker	Public Protection: Service Lead
	Tel	01902 554548
	Email	Shaun.Walker@wolverhampton.gov.uk
	Adam Sheen	Legal Services
	Tel	01902 554926
	Email	Adam.Sheen@wolverhampton.gov.uk
Report to be/has been considered by	Place Leadership Team: 8 May 2017 Strategic Executive Board: 16 May 2017 Scrutiny Board 4 July 2017	

Recommendation(s) for action or decision:

The Cabinet is recommended to:

Approve the appended proposed citywide public spaces protection order (“PSPO”) – dog control – replacing the three existing dog control orders.

1.0 Purpose

- 1.1 To present findings from a review of existing dog control orders.
- 1.2 To seek approval for the proposed Public Spaces Protection Order (“PSPO”) pursuant to section 59 to 75 of the Anti-Social Behaviour, Crime and Policing Act 2014 (“the Act”) to replace the existing dog control orders following a change in tools and powers introduced in the Act. (A copy of the Proposed PSPO is attached for ease of reference.)
- 1.3 It is noted that per the City of Wolverhampton Council’s Constitution at Paragraph 16.3 Chapter 2 Delegations to Cabinet, the discharge of environmental functions of the Council relating to environmental health, including management of dogs, is Cabinet’s responsibility. (Page 88 of Constitution.)

2.0 Background

- 2.1 The Council currently has three distinct dog control orders currently in operation, made 27 February 2007 pursuant to Chapter 1, Part 6 of the Clean Neighbourhoods and Environment Act 2005. These orders prohibit dog fouling (and those in control of dogs failing to clean up after their dog), contain a requirement to keep dogs on a lead when walking dogs alongside certain major arterial routes in the City, and include a requirement to put any dog perceived to be a nuisance on a lead at the insistence of an officer from the Council’s Public Protection team.
- 2.2 By virtue of section 75(2) Anti-Social Behaviour, Crime and Policing Act 2014 (“the Act”), within three years of the commencement of the Act (that is by 01 October 2017) all dog control orders will automatically lapse and will instead convert to PSPOs (sections 59 to 75 of the Act).
- 2.3 However, rather than simply letting this happen, a review of the existing dog control orders has concluded that it is considered that the City of Wolverhampton Council would be better served by amalgamating the existing three dog control orders and expanding their provisions as explained below and, as can be seen in the appended proposed PSPO, such course of action will require a new PSPO. The Anti-Social Behaviour, Crime and Policing Act 2014 came into force in October 2014 and introduced streamlined tools and powers to address Anti-Social Behaviour (ASB). Cabinet were briefed on local implementation of the legislation on 12 November 2014 and a multi-agency ASB Steering Group was established to oversee the changes. Wolverhampton has been instrumental in trialling these revised approaches and has shared practice across the West Midlands.
- 2.4 On 22 July 2015, Cabinet approved a trial of the first two PSPOs for the City; one in Low Hill to address long standing traveller encampment incursions and a second in Park Village to address entrenched ASB. The PSPOs came into force in September 2015, and a review of their use has shown that whilst both locations have required focussed deployment of staff resource and significant coordination of enforcement activity between partner agencies, there has been a marked reduction in the associated ASB linked to these locations. It was agreed that no further PSPOs would be issued across the City

until the review of these two PSPOs was concluded and any associated difficulties regarding implementation addressed. Given the success of the PSPOs in Low Hill and Park Village, further PSPOs are being considered (on a City-wide basis where appropriate) to tackle other longstanding sources of nuisance and anti-social behaviour.

- 2.5 The Act made provision for existing dog control orders to automatically become PSPOs within 3 years of the legislation coming into force. However, given the length of time that the dog control orders have been in place, it is appropriate that a review of their use is undertaken to inform the decision about the need for continuation of these powers. The existing dog control orders therefore remain in force until October 2017 or until such time as they are revoked by a replacement PSPO.
- 2.6 The proposals directly support the following Corporate Plan objectives:
- Keeping the City Clean – by reducing the prevalence of dog faeces throughout the City.
 - Promoting and Enabling Healthy Lifestyles – by reducing the risk associated with exposure to the pathogen *Toxocara Canis* found in dog faeces.
 - Supporting Businesses, Encouraging Enterprise and Investment – improving city image by targeting hotspot locations where dogs have previously posed a problem.
 - Keeping the City Safe – creative use of new legal powers to tackle ASB and tackle nuisance and danger posed by out of control dogs.
- 2.7 This report was considered as a pre-decision scrutiny item by the Scrutiny Board on the 4 July 2017 and will therefore not be available to call-in once a decision is made by the Executive.

3.0 Review of Existing Dog Control Orders

- 3.1 Although the existing framework of three dog control orders has allowed the successful and effective regulation of irresponsible dog ownership for a number of years, as set out in 2.3 above, a review of the existing dog control orders has established that the Council should amalgamate the existing three dog control orders and expand their provisions. It is believed this will simplify and strengthen the enforcement landscape around the control of dogs.
- 3.2 It is felt that by amalgamating the three existing dog control orders, it will provide clarity and simplicity for those searching for dog control orders in that all relevant orders relating to dog control in Wolverhampton will then appear in one place – the proposed PSPO.
- 3.3 In terms of the requirement to keep dogs on leads near to arterial routes, it is also considered that there is no good reason why certain arterial routes in the City are covered but other roads which are equally as busy fall outside the order.

3.4 With reference to dogs near schools, in play areas and on tennis courts, dogs in these locations, especially when there is a large number of people about can get excited and become out of control. This is perceived to be a potential nuisance which is only partially catered for in the existing orders. It was felt the review of the existing dog control orders provided an opportunity to consolidate the existing orders into one all-encompassing order and fill in the gaps that exist presenting the opportunity for dogs to cause nuisance.

4.0 The Proposed Dog Control PSPO

4.1 The proposed PSPO comprises 6 sections – 4 requirements and 2 prohibitions.

4.2. The first requirement is for those in control of dogs to keep their dogs on a lead when near to a major road in Wolverhampton. The order then lists the ring road and 10 other “A” roads (being all the A roads) which pass through Wolverhampton. This requirement is based on public safety and the welfare of dogs being an attempt to prevent stray or uncontrolled dogs getting loose on the main road.

4.3 The second requirement relates specifically to Northcote Farm and is an identical replacement for the the original 2007 Order. Those in control of dogs are to keep their dogs on a lead at all times when walking on the areas coloured red on Plan 2 . Also, dogs are prohibited from areas marked green on the same Plan 2 but they are allowed to run off lead on land marked yellow. This is carried over from the previous order and is designed to prevent uncontrolled dogs attacking or killing livestock on the Northcote Farm site.

4.4 The third requirement is for those in control of dogs to keep their dogs on a lead within 100 metre radius of any school or academy building where such educational institute caters for pupils up to 16. The educational institutes are listed by reference to a list of 0-16 years educational institutions in Wolverhampton which the authority maintains and updates from time to time. This prohibition is required to prevent out of control dogs biting or frightening children as sight of lots of children going to or leaving school at the same time can cause some dogs to get over excited.

4.5 The fourth requirement is for those in control of dogs to put their dogs on a lead if instructed to do so by a police officer (including police community support officer) or Council Officer. This is carried over from the existing dog control order which is designed to allow Environmental Health Officers to instruct owners/those who should be in control of dogs, to put their dogs on a lead where dogs are causing obvious nuisance. The only difference is this order intends to empower police officers and police community support officers in this respect just as certain council officers are currently empowered.

4.6 Regarding the prohibitions, there is a prohibition against dog fouling in public areas in the City (and the requirement for those in control of a dog to pick up after their dog noting that it will not always be possible or practicable to prevent a dog fouling.) This is carried over from the existing order.

4.7 Dogs can be a nuisance on tennis courts and in children’s play areas. Therefore, there is a specific list of tennis courts and play areas from where dogs will be banned altogether. There is still a vast amount of public space throughout the City where dogs can be exercised, and if challenged, on that basis, it would be argued such prohibition is proportionate. Appropriate signage will be erected clearly marking play areas and tennis courts from where dogs are prohibited.

4.8 The above prohibitions and requirements do not apply to those in control of assistance dogs.

5.0 Consultation

5.1 The process for seeking authorisation of a PSPO requires consultation to be undertaken with Police and with communities impacted by the order. Consultation with West Midlands Police has taken place at a multi-agency ASB meeting held on 1 March 2017; Police are in support of the introduction of an expanded dog control PSPO to retain the existing provisions, amalgamated into one all-encompassing order in line with the proposals detailed in section 4 of this report.

5.2 A six week public consultation on the proposals supported by the City Council’s Communications Team was undertaken commencing mid May 2017 and opportunities to feed into the consultation were broadly publicised.

5.3 As a key part of the public consultation process, Scrutiny Board considered and supported the proposals at its meeting on 4 July.

5.4 A total of 363 responses were received from local residents, plus groups including the local schools, Dogs Trust, Kennel Club, local vets, dog walking groups and Guide dog representatives. A summary of feedback received to date is detailed below which represents strong support for the new PSPO.

Question asked:	Agreed or Strongly Agreed
Dogs be kept on a lead at all times when on footpaths near the major arterial roads in the City of Wolverhampton Council area	97%
Dogs to be kept on a lead at all times when on land at Northycote Farm	71%
Dogs to be kept on a lead at all times within 100 metre radius of the curtilage of any school in the City of Wolverhampton Council area that teachers upto the age of 16.	87%
Those in control of dogs in the City of Wolverhampton Council area immediately put dogs for which they are responsible on a lead at the instruction of any police officer, PCSO or Council officer (showing identification)	92%
It will be an offence to allow any dog in your control to foul on any public footpath or in any public place within the City of	98%

Wolverhampton Council area and failing to remove the faecal matter immediately	
It will be an offence to allow any dog to enter a fenced children's play area or tennis court	92%

6.0 Implementation

- 6.1 Subject to Cabinet authorisation of the PSPO, the proposals must be publicised and will be subject to a six week period during which an appeal against the proposals can be made to the High Court before coming into force. This will include communications through partner and community networks, social media, the Council and SWP websites and an advertisement in the local press.
- 6.2 Subject to Cabinet approval and assuming no appeal against the proposals is lodged with the High Court within the six week timeframe, the PSPO would come into force on 3 September 2017.
- 6.3 The conditions of the PSPO would be in place for a period of three years; revisions to the prohibitions contained within the PSPO are not proposed within this period, however, the impact of the order will be closely monitored to allow for any operational variations across partners to be built in as required. The PSPO will be subject to review before its expiry in April 2020.

7.0 Recommendations

- 7.1 In light of above and responses to the consultation exercise, Cabinet is requested to authorise:
- i) A three year city-wide dog control order requiring a person in control of a dog (or dogs) to keep their dog(s) on a lead when alongside the major arterial roads in the City and on certain areas of land at Northycote Farm.
 - ii) A requirement to keep dogs on a lead within a 100 metre radius of any school or academy (catering for pupils 0 to 16 years.)
 - iii) A prohibition from allowing dogs to enter specified fenced children's play areas and public park tennis courts in the City of Wolverhampton Council area.
 - iv) A prohibition from those in control of dogs allowing their dogs to foul in public places and a requirement on those in control of dogs to remove any faecal matter immediately from public spaces.
 - v) A requirement for those in control of dogs, on the instruction of any police officer, police community support officer or officer of the Council, to put any dog in their control on a lead.
 - vi) A review of the PSPO prior to its expiry in April 2020.

8.0 Financial implications

- 8.1 The cost of the statutory notice, consultation and signage will be met from existing budgets within the Public Protection Team's budgets. [HM/01062017/G]

9.0 Legal implications

- 9.1 The Anti-social Behaviour, Crime and Policing Act 2014 ("the Act") came into effect on 20 October 2014.
- 9.2 Section 59 of the Act gives local authorities the power to make PSPOs which are intended to deal with anti-social behaviour and nuisance in a particular area that is detrimental to the local community's quality of life by imposing conditions on the use of that area.
- 9.3 Before making a PSPO, councils must consult with the local police (section 72(3) and 72(4) of the Act). Formal consultation was held with West Midlands Police on this matter on 01 March 2017 where support for these proposals was recorded.
- 9.4 The Act also stipulates that councils must consult with the local community on any proposed PSPO. Consultation opportunities have been widely publicised across the city within communities, councillors, business sector and partner agencies.
- 9.5 Anyone who lives in or regularly works or visits the area can appeal a PSPO in the High Court within six weeks of issue. The PSPO will be publicised locally. Signage will not be erected until after the six week period or, if an appeal is lodged, after any High Court ruling.
- 9.6 With regard to breaches of a PSPO, it is an offence for anyone, without reasonable excuse, to do anything s/he is prohibited from doing by virtue of the order. Furthermore, it is an offence for anyone, without reasonable excuse, to fail to comply with a requirement in the PSPO. Section 67 of the Act specifies that anyone found guilty of an offence can be fined up to £1,000 by the Magistrates' Court. Section 68 of the Act provides that, in the alternative, a constable or authorised officer of the Local Authority (that is a person authorised by the Managing Director or Head of Regulatory Services in accordance with a previous delegated authority of Tim Johnson, Strategic Director, Place dated 04 May 2016) may serve a fixed penalty notice on those in alleged breach offering them the opportunity to discharge liability by payment of Fixed Penalty Notice in an amount set by each local authority up to £100. Fixed penalty notices in Wolverhampton are currently set at £80.
- 9.7 The prohibitions and requirements of a PSPO need to be proportionate to the nuisance/mischief they seek to prevent. Limiting the requirements to A roads (not "B" roads), and educational institutions for pupils 0 to 16 not beyond 16, is proportionate it will be argued in the event of any challenge. [AS/14062017/Q]

10.0 Equalities implications

- 10.1 An equalities screening assessment has been carried out. There is no evidence to suggest that the proposal may be directly or indirectly discriminatory. It is to be noted, that the proposed PSPO cannot apply and makes it clear on the face of the order that it does not apply to those in control of assistance dogs.

11.0 Environmental implications

- 11.1 The proposals would have a positive environmental impact by reducing the hazards associated with dog fouling. Requiring dogs causing a nuisance to be kept under control around the major arterial traffic routes in the City and in and around play areas, tennis courts and schools, would abate the actual and likely nuisance caused by out of control dogs and make the environment throughout the City feel safer and more welcoming.

12.0 Human resources implications

- 12.1 There are no known human resources implications.

13.0 Corporate landlord implications

- 13.1 There are no known corporate landlord implications.

14.0 Schedule of background papers

- 14.1 There are no relevant background papers.

PUBLIC SPACES PROTECTION ORDER

(section 59 Anti-Social Behaviour, Crime and
Policing Act 2014)

- DOG CONTROL -

Made: xx.xx.2017

Entering into force: xx.xx.2017

AREAS AFFECTED: ALL OF THE CITY OF WOLVERHAMPTON COUNCIL AREA

WARNING: Failure to comply with the conditions of a Public Spaces Protection Order is punishable by a level 3 fine on summary conviction (i.e. £1,000) (section 66 Anti-Social Behaviour, Crime and Policing Act 2014), or alternatively by a fixed penalty notice (in an amount up to £100) (section 67 Anti-Social Behaviour, Crime and Policing Act 2014.)

This order has been made following consultation with West Midlands Police and other interested parties.

IT IS REQUIRED THAT:

1. Dogs be kept on a lead at all times when on footpaths near the major arterial roads in the City of Wolverhampton Council area as shown on the map attached hereto marked "**Annexe A.**" For the avoidance of doubt the roads in question consist of the roads comprising the ring road (the A4150) and the following:
 - A41;
 - A449;
 - A454;
 - A459;
 - A460;
 - A463;
 - A4039;
 - A4123;
 - A4124;
 - A4126; and
 - A4139

2. Dogs be kept on a lead at all times when on land at Northycote Farm, Underhill Lane, Wolverhampton, WV10 7JF.
3. Dogs be kept on a lead at all times within a 100 metre radius of the curtilage of any school in the City of Wolverhampton Council area as listed in the Schools Establishment List (as updated from time to time.) The Schools Establishment List Spring Term 2017 is attached hereto marked "**Annexe B.**"
4. Those in control of dogs in the City of Wolverhampton Council area immediately put dogs for which they are responsible on a lead at the instruction of any police officer, police community support officer or Council officer (showing identification.)

IT IS PROHIBITED FROM:

5. Allowing any dog in your control to foul on any public footpath or in any public place within the City of Wolverhampton Council area and failing to remove the faecal matter immediately.
6. Allowing any dog to enter a play area or tennis court listed in the attached document appended hereto marked "**Annexe C.**"

PUBLIC SPACES PROTECTION ORDER

**(section 59 Anti-Social Behaviour, Crime and
Policing Act 2014)**

- DOG CONTROL -

Made: xx.xx.2017

Entering into force: xx.xx.2017

AREAS AFFECTED: ALL OF THE CITY OF WOLVERHAMPTON COUNCIL AREA

ANNEXE A

ANNEXE A



PUBLIC SPACES PROTECTION ORDER

**(section 59 Anti-Social Behaviour, Crime and
Policing Act 2014)**

- DOG CONTROL -

Made: xx.xx.2017

Entering into force: xx.xx.2017

AREAS AFFECTED: ALL OF THE CITY OF WOLVERHAMPTON COUNCIL AREA

ANNEXE B

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

To view the latest Ofsted inspection please visit: <http://reports.ofsted.gov.uk/>

Nursery Schools	Contact	Further Information
Ashmore Park Nursery School Griffiths Drive Ashmore Park Wednesfield Wolverhampton WV11 2LH	Headteacher: Mrs S T Lacey Email: ashmoreparknurseryschool@wolverhampton.gov.uk Telephone: 01902 558116 Fax: 01902 558116	URN: 104279
Bilston Nursery School Wolverhampton Street Bilston West Midlands WV14 0LT 0259	Headteacher: Miss E Smith Email: bilstonnurseryschool@wolverhampton.gov.uk Telephone: 01902 556491	URN: 132018
Bushbury Nursery School Bushbury Lane Bushbury Wolverhampton WV10 8JP	Acting Headteacher: Mrs H Bullock Email: bushburynurseryschool@wolverhampton.gov.uk Telephone: 01902 558118 Fax: 01902 558119	URN: 104285
Eastfield Nursery School Griffin Street Off Willenhall Road Wolverhampton WV1 2HH	Headteacher: Miss E Smith Email: eastfieldnurseryschool@wolverhampton.gov.uk Telephone: 01902 558141	URN: 104280

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Nursery Schools	Contact		Further Information
Low Hill Nursery School Jenks Avenue Low Hill Wolverhampton WV10 9JN	Headteacher:	Mrs G Owen	URN: 104278
	Email:	lowhillnurseryschool@wolverhampton.gov.uk	
	Telephone:	01902 558124	
	Fax:	01902 551800	
Phoenix Nursery School Phoenix Street Blakenhall Wolverhampton WV2 3JS	Headteacher:	Mrs S T Lacey	URN: 104281
	Email:	phoenixnurseryschool@wolverhampton.gov.uk	
	Telephone:	01902 558126	
	Fax:	01902 556935	
Windsor Nursery School Parkfield Road Wolverhampton WV4 6EL	Headteacher:	Mrs C Foster	URN: 104283
	Email:	windsornurseryschool@wolverhampton.gov.uk	
	Telephone:	01902 558128	
	Fax:	01902 552639	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Infant Schools	Contact	Further Information
Christ Church, Church of England Infant and Nursery School Shaw Lane Tettenhall Wood Wolverhampton WV6 8EL	Headteacher: Miss W Large	URN: 104362
	Email: christchurchinfantschooltw@wolverhampton.gov.uk	Voluntary Controlled School
	Telephone: 01902 558945	Incl. Nursery class
	Fax: 01902 558947	
	Headteacher: Mrs C Foley	URN: 104307
Springdale (and Resource Base for Language and Communication) Infant School Warstones Drive Penn Wolverhampton WV4 4NJ	Email: springdaleinfantschool@wolverhampton.gov.uk	Community School
	Telephone: 01902 558805	Incl. Nursery Class
	Fax: 01902 558806	
	Headteacher: Mrs J P Mapp	URN: 104312
	Email: westacreinfantschool@wolverhampton.gov.uk	Community School
Westacre Infant School Finchfield Hill Finchfield Wolverhampton WV3 9EP	Telephone: 01902 558532	Incl. Nursery Class
	Fax: 01902 558534	
	Headteacher: Mrs C Gillen	URN: 104298
	Email: whitgreaveinfantschool@wolverhampton.gov.uk	Community School
	Telephone: 01902 558876	Incl. Nursery Class
Whitgreave Infant School Low Hill Crescent Low Hill Wolverhampton WV10 9HS	Headteacher: Mrs C Gillen	URN: 104298
	Email: whitgreaveinfantschool@wolverhampton.gov.uk	Community School
	Telephone: 01902 558876	Incl. Nursery Class

The City of Wolverhampton Council
 List of Educational Establishments – Spring Term 2017

Infant Schools	Contact		Further Information
Woodfield Infant School Woodfield Avenue Penn Wolverhampton WV4 4AG	Head of School:	Mrs K Charles	URN: 104300
	Email:	woodfieldinfantschool@wolverhampton.gov.uk	Community School
	Telephone:	01902 558635 or 558835	Incl. Nursery Class
	Fax:	01902 558636	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Junior Schools	Contact		Further Information
Christ Church, Church of England Junior School Woodcote Road Tettenhall Wood Wolverhampton WV6 8LG	Headteacher:	Mrs S Blower	URN: 104366
	Email:	christchurchjuniorschool@wolverhampton.gov.uk	Voluntary Controlled School
	Telephone:	01902 558700	
	Fax:	01902 558702	
Springdale (and Resource Area for Language and Communication) Junior School Warstones Drive Penn Wolverhampton WV4 4NJ	Headteacher:	Mrs J Hopkins	URN: 104303
	Email:	springdalejuniorschool@wolverhampton.gov.uk	Community School
	Telephone:	01902 558810	
	Fax:	01902 558812	
Uplands Junior School Finchfield Road West Finchfield Wolverhampton WV3 8BA	Headteacher:	Mrs S Webster-Smith	URN: 104332
	Email:	uplandsjuniorschool@wolverhampton.gov.uk	Community School
	Telephone:	01902 558870	
Whitgreave Junior School Goodyear Avenue Low Hill Wolverhampton WV10 9JP	Headteacher:	Mrs S Redfern	URN: 104299
	Email:	whitgreavejuniorschool@wolverhampton.gov.uk	Community School
	Telephone:	01902 558930	
	Fax:	01902 558932	

The City of Wolverhampton Council
 List of Educational Establishments – Spring Term 2017

Junior Schools	Contact		Further Information
Woodfield Junior School Woodfield Avenue Penn Wolverhampton WV4 4AG	Head of School:	Mrs M Manton	URN: 104299
	Email:	woodfieldjuniorschool@wolverhampton.gov.uk	Community School
	Telephone:	01902 558835	
	Fax:	01902 558374	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
Bushbury Lane Academy Ripon Road Bushbury Lane Wolverhampton WV10 9TR (previously known as Oxley Primary School)	Interim Headteacher: Mrs K Benton Email: oxleyprimaryschool@wolverhampton.gov.uk Telephone: 01902 556486 Fax: 01902 556487	URN: 142823 Academy (01.03.2017) REAch2 Incl. Nursery Class
Castlecroft (and Resources Area for VI) Primary School Windmill Crescent Castlecroft Wolverhampton WV3 8HS	Headteacher: Mr A Dyll Email: castlecroftprimaryschool@wolverhampton.gov.uk Telephone: 01902 556606 Fax: 01902 556608	URN: 104311 Community School Incl. Nursery Class
Claregate Primary School Chester Avenue Tettenhall Wolverhampton WV6 9JU	Headteacher: Mr M Murphy Email: claregateprimaryschool@wolverhampton.gov.uk Telephone: 01902 558575 Fax: 01902 558581	URN: 104311 Community School
Corpus Christi Catholic Primary Academy Ashmore Avenue Ashmore Park Wednesfield Wolverhampton WV11 2LT	Headteacher: Mrs L Holden-Gough Email: corpuschristiprimaryschool@wolverhampton.gov.uk Telephone: 01902 866840	URN: 141769 Academy (01.03.2015) Pope John XXIII MAC Incl. Nursery Class

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
D'Eyncourt Primary School Mullett Road Wednesfield Wolverhampton WV11 1DD	Acting Headteacher: Mrs D Darby	URN: 104319
	Email: deyncourtprimaryschool@wolverhampton.gov.uk	Community School
	Telephone: 01902 558778	
	Fax: 01902 558779	
Primary Schools	Contact	Further Information
Dovecotes Primary School Ryefield Dovecotes Estate Pendeford Wolverhampton WV8 1TX	Headteacher: Miss G Beddow	URN: 104350
	Email: dovecotesprimaryschool@wolverhampton.gov.uk	Community School
	Telephone: 01902 558284	Incl. Nursery Class
	Fax: 01902 558288	
Dunstall Hill Primary School Dunstall Avenue Whitmore Reans Wolverhampton WV6 0NH	Head of School:: Executive Headteacher: Mr D Asbury	URN: 142679
	Email: dunstallhillprimaryschool@wolverhampton.gov.uk	Academy (01.05.2016) (Perry Hall Multi-Academy Trust)
	Telephone: 01902 556417	Incl. Nursery Class
	Fax: 01902 556419	
East Park Academy Hollington Road Wolverhampton WV1 2DS	Headteacher: Ms H Guest	URN: 104335
	Email: eastparkprimaryschool@wolverhampton.gov.uk	Academy (01.12.2016) Manor Multi Academy Trust
	Telephone: 01902 558899	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
<p>Eastfield Primary School Colliery Road Off Willenhall Road Wolverhampton WV1 2QY</p>	<p>Headteacher: Mrs S Hay Email: eastfieldprimaryschool@wolverhampton.gov.uk Telephone: 01902 558604 Fax: 01902 558607</p>	<p>Incl. Nursery Class URN: 104342 Community School</p>
<p>Primary Schools</p>	<p>Contact</p>	<p>Further Information</p>
<p>Edward the Elder Primary School 10 Spat House Lane East Wednesfield Wolverhampton WV11 3DB</p>	<p>Associate Headteacher: Executive Headteacher: Mrs L Dollery Mr K Grayson Email: edwardtheelderprimaryschool@wolverhampton.gov.uk Telephone: 01902 558765</p>	<p>URN: 135318 Academy (01.12.2016) Elston Hall Multi Academy Trust Incl. Nursery Class</p>
<p>Elston Hall Primary School Stafford Road Fordhouses Wolverhampton WV10 6NN</p>	<p>Associate Headteacher: Executive Headteacher: Mrs L Dollery Mr K Grayson Email: elstonhallprimaryschool@wolverhampton.gov.uk Telephone: 01902 558866 Fax: 01902 558868 Headteacher: Mr J Hopkins</p>	<p>URN: 142349 Academy (01.10.15) Elston Hall Multi Academy Trust URN: 104294</p>

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact		Further Information
Wolverhampton WV10 8BN	Email:	fallingsparkprimaryschool@wolverhampton.gov.uk	Community School
	Telephone:	01902 558375	Incl. Nursery Class
	Fax:	01902 558376	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
Field View Primary School Lonsdale Road Bilston West Midlands WV14 7AE	Headteacher: Executive Headteacher Email: Telephone: Fax: Mr S Davis Mrs L Law fieldviewprimaryschool@wolverhampton.gov.uk 01902 558275 01902 558277	URN: 141775 Academy (01.03.2015) St Martin's Multi Academy Trust Incl. Nursery Class
Goldthorn Park Primary Ward Road Wolverhampton WV4 5ET	Headteacher: Email: Telephone: Fax: Mrs J Roseblade office@goldthornpark.co.uk 01902 558730 01902 558731	URN: 104331 Community School Incl. Nursery Class
Graiseley Primary School Graiseley Hill Wolverhampton WV2 4NE	Headteacher: Email: Telephone: Fax: Mrs S Nasa graiseleyprimaryschool@wolverhampton.gov.uk 01902 558745 01902 558746	URN: 104302 Community School Incl. Nursery Class
Grove Primary School Caledonia Road Wolverhampton WV2 1HZ	Headteacher: Executive Headteacher: Email: Telephone: Fax: Mr B Davis Mrs L Law groveprimaryschool@wolverhampton.gov.uk 01902 558851 01902 558852	URN: 104352 Academy (01.04.2016) (St Martin's Multi- Academy Trust) Incl. Nursery Class

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
Hill Avenue Academy Hill Avenue Lanesfield Wolverhampton WV4 6PY	Headteacher: Executive	URN: 104326 Academy (01.12.2016) Manor Multi Academy Trust Incl. Nursery School URN: 141789 Academy (01.03.2015) Pope John XXIII Catholic Multi Academy Company URN: 104378 Voluntary Aided School Incl. Nursery Class URN: 104327 Community School Incl. Nursery Class
	Headteacher:	
	Email:	
	Telephone:	
	Fax:	
Holy Rosary Catholic Primary Academy Hickman Avenue Wolverhampton WV1 2BS	Head of School: Executive	URN: 104378 Voluntary Aided School Incl. Nursery Class URN: 104327 Community School Incl. Nursery Class
	Headteacher:	
	Email:	
	Telephone:	
	Fax:	
Holy Trinity Catholic Primary School Fraser Street Bilston West Midlands WV14 7PD	Headteacher:	URN: 104378 Voluntary Aided School Incl. Nursery Class URN: 104327 Community School Incl. Nursery Class
	Email:	
	Telephone:	
	Fax:	
	Headteacher:	
Lanesfield Primary School Newman Avenue Lanesfield Wolverhampton WV4 6BZ	Headteacher:	URN: 104327 Community School Incl. Nursery Class
	Email:	
	Telephone:	
	Fax:	
	Headteacher:	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
Long Knowle Primary School Blackwood Avenue Wednesfield Wolverhampton WV11 1EB	Headteacher: Ms K Elliot	URN: 104320
	Email: office@longknowleprimary.co.uk	Community School
	Telephone: 01902 558985	Incl. Nursery Class
	Fax: 01902 558986	
	Headteacher: Mrs P Scott	URN: 104315
Loxdale Primary School Chapel Street Bilston West Midlands WV14 0PH	Email: loxdaleprimaryschool@wolverhampton.gov.uk	Community School
	Telephone: 01902 558570	Incl. Nursery Class
	Fax: 01902 558573	
	Executive Headteacher: Mrs A Cliff	URN: 141858
	Email: manorprimaryschool@wolverhampton.gov.uk	Academy (01.02.2016) Manor Multi Academy Trust
Manor Primary School Ettingshall Road Coseley Bilston West Midlands WV14 9UQ	Telephone: 01902 556460	Incl. Nursery Class
	Fax: 01902 556459	
	Headteacher: Mr S Lane	URN: 104334
	Email: merridaleprimaryschool@wolverhampton.gov.uk	Community School
	Telephone: 01902 558760	Incl. Nursery Class
Merridale Primary School Aspen Way Wolverhampton WV3 0UP	Fax: 01902 558761	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact		Further Information
Nishkam Primary School Wolverhampton Great Brickkiln Street Wolverhampton WV3 0PR	Headteacher:	Mr H Dhanjal	URN: 139724
	Email:	enquiries.npsw@nishkamschools.org	Free School
	Telephone:	01902 554900	
Northwood Park Primary School Collingwood Road Bushbury Wolverhampton WV10 8DS	Head of School: Executive	Mrs M Price	URN: 141648
	Headteacher:	Mrs G Morris	Academy (01.01.2015) (Northwood Park Educational Trust)
	Email:	northwoodpark.primary@wolverhampton.gov.uk	
	Telephone:	01902 558715	
	Fax:	01902 558723	
Oak Meadow Primary School Ryan Avenue Ashmore Park Wednesfield Wolverhampton WV11 2QQ	Headteacher:	Mr S Arnold	URN: 104341
	Email:	oakmeadowprimaryschool@wolverhampton.gov.uk	Community School
	Telephone:	01902 558517	
	Fax:	01902 558520	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
Palmers Cross (and Resources Area for Language & Communication) Primary School Windermere Road Tettenhall Wolverhampton WV6 9DF	Associate Headteacher: Executive Headteacher: Email: Telephone: Fax:	URN: 104309 Academy (01.04.2016) Elston Hall Multi Academy Trust
Parkfield Primary School Dymmock Street Parkfield Wolverhampton WV4 6HB	Head of School: Executive Headteacher: Email: Telephone:	URN: 104329 Community School
Perry Hall Primary School Colman Avenue Wednesfield Wolverhampton WV11 3RT	Headteacher: Executive Headteacher: Email: Telephone: Fax:	URN: 139870 Academy (01.01.2013) Perry Hall Multi Academy Trust Incl. Nursery Class

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
Rakegate Primary School Rakegate Close Oxley Wolverhampton WV10 6US	Headteacher: Mr S J Harris Email: rakegate.primary@wolverhampton.gov.uk Telephone: 01902 558608 Fax: 01902 558609	URN: 104304 Community School Incl. Nursery Class
Spring Vale Primary School Kenilworth Crescent Parkfield Wolverhampton WV4 6SD	Headteacher: Mr C Blunt Email: springvaleprimaryschool@wolverhampton.gov.uk Telephone: 01902 556589 Fax: 01902 556590	URN: 104330 Community School Incl. Nursery Class
St Mary and John Catholic Primary Academy Caledonia Road Wolverhampton WV2 1HZ	Executive Head: Mrs J Hanslip Email: ssmaryandjohnprimaryschool@wolverhampton.gov.uk Telephone: 01902 558780 Fax: 01902 556107	URN: 139800 Academy (01.07.2013) Bishop Cleary Catholic Multi Academy Company

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
SS Peter and Paul Catholic Primary Academy and Nursery Hordern Close Hordern Road Newbridge Wolverhampton WV6 0HR	Principal: Mrs J Byrne Email: sspeterandpaulacademy@wolverhampton.gov.uk Telephone: 01902 556447 Fax: 01902 556441	URN: 139894 Academy (01.07.2013) Bishop Cleary Catholic Multi Academy Company (BCCMAC) Incl. Nursery Class
St Alban's Church of England Primary School St Alban's Close Ashmore Park Wednesfield Wolverhampton WV11 2PF	Head of School: Executive Headteacher: Mrs J Jones Mrs H Morris Email: stalbanprimaryschool@wolverhampton.gov.uk Telephone: 01902 558825 Fax: 01902 558827	URN: 104361 Voluntary Controlled School Incl. Nursery Class
St Andrew's Church of England Primary School Coleman Street Whitmore Reans Wolverhampton WV6 0RH	Headteacher: Mrs L Thompson Email: standrewsprimaryschool@wolverhampton.gov.uk Telephone: 01902 558522 Fax: 01902 558524	URN: 132806 Voluntary Controlled School Incl. Nursery Class

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
St Anthony's Catholic Primary School Stafford Road Fordhouses Wolverhampton WV10 6NW	Headteacher:	Mrs T Davis
	Email:	stanthonysoffice@cloudw.co.uk
	Telephone:	01902 558935
	Fax:	01902 558938
St Bartholomew's Church of England Primary School Sedgley Road Penn Wolverhampton WV4 5LG	Headteacher:	Mrs K Kent
	Email:	Sbartholomewsprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 558855
	Fax:	01902 558856
St Jude's Church of England Primary Academy Paget Road Wolverhampton WV6 0DT	Headteacher:	Mrs D Dalton
	Email:	Sjjudes.primary@wolverhampton.gov.uk
	Telephone:	01902 558848
		URN: 104359
		Academy (01.09.2016) St Bartholomew's CE Multi Academy Trust
		Incl. Nursery Class
		URN: 140355
		Academy (01.03.2014) Church of England Central England Trust

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
St Luke's Church of England (Aided) Primary School Park Street South Blakenhall Wolverhampton WV2 3AE	Headteacher:	Mrs A Grennan
	Email:	stlukesprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 556434
	Fax:	01902 556435
	Head of School: Executive Headteacher:	Mrs L Martin Mrs L Law
St Martin's Church of England Primary School Wallace Road Bradley Boson West Midlands WV14 8BS	Email:	stmartinsprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 558966
	Fax:	01902 550794
	Executive Headteacher:	Mr K Russell
	Email:	stmarysprimaryschool@wolverhampton.gov.uk
St Mary's Catholic Primary Academy Cannock Road Wolverhampton WV10 8PG	Telephone:	01902 308870
	Fax:	01902 308879
	Further Information	URN: 104372 Voluntary Aided School Incl. Nursery Class
	Further Information	URN: 141825 Academy (01.03.2015) St Martin's Multi Academy Trust Incl. Nursery Class
	Further Information	URN: 141827 Academy (01.03.2015) Pope John XXIII Catholic Multi Academy Company Incl. Nursery Class

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
St Michael's Catholic Primary Academy and Nursery Telford Gardens Merry Hill Wolverhampton WV3 7LE	Principal:	Mrs S McHale
	Email:	stmichaelsprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 556368
	Fax:	01902 556370
	Headteacher:	Mrs K Jackson
	Email:	stmichaelsprimaryschool@wolverhampton.gov.uk
St Michael's Church of England Aided Primary School Lower Street Tettenhall Wolverhampton WV6 9AF	Telephone:	01902 558845
	Fax:	01902 558847
	Headteacher:	Mrs H McKenzie
	Email:	stpatricksprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 556451
	Fax:	01902 556453
St Paul's Catholic Primary School Graiseley Lane Wednesfield Wolverhampton WV11 1PG	Headteacher:	Miss J Morris
	Email:	stpaulsprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 558621
	Fax:	01902 558625
	Headteacher:	Miss J Morris
	Email:	stpaulsprimaryschool@wolverhampton.gov.uk
St Paul's Church of England Aided Primary School Emsworth Crescent Pendeford Wolverhampton WV9 5NR	Telephone:	01902 558621
	Fax:	01902 558625
	Headteacher:	Miss J Morris
	Email:	stpaulsprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 558621
	Fax:	01902 558625

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
St Stephen's Church of England Primary School Woden Road Heath Town Wolverhampton WV10 0BB	Headteacher:	URN: 104361
	Email:	Voluntary Controlled School
	Telephone:	Incl. Nursery Class
	Fax:	
St Teresa's Catholic Primary Academy Mellins Road Parkfield Wolverhampton WV4 6AW 0800	Executive Headteacher:	URN: 139893
	Email:	Academy (01.07.2013)
	Telephone:	Bishop Cleary Catholic Multi Academy Company
	Fax:	URN: 104363
St Thomas' Church of England Primary School Mattox Road Wednesfield Wolverhampton WV11 3TG	Executive Headteacher:	Voluntary Controlled School
	Email:	Incl. Nursery Class
	Telephone:	
	Fax:	
Stow Heath Primary School Hill Road Portobello Wolverhampton WV13 3TT	Headteacher:	URN: 104323
	Email:	Community School
	Telephone:	Incl. Nursery Class
	Fax:	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
Stowlawn Primary School Green Park Avenue Bilston West Midlands WV14 6EH	Headteacher:	Mrs S Vaughan
	Email:	stowlawnprimary.grouppemail@wolverhampton.gov.uk
	Telephone:	01902 556463
	Fax:	01902 558145
Trinity Church of England Primary School Longford Road New Park Village Wolverhampton WV10 0UB	Headteacher:	Mr M Welton
	Email:	trinityprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 558410
Villiers Primary School Pleuds Lane Bilston West Midlands WV14 6PR	Headteacher:	Mr D Cocker
	Email:	villiersprimary@wolverhampton.gov.uk
	Telephone:	01902 558993
	Fax:	01902 558894
Warstones Primary School Warstones Road Penn Wolverhampton WV4 4LU	Headteacher:	Mrs F Feeney
	Email:	warstonesprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 558787

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
West Park Primary School Devon Road Wolverhampton WV1 4BE	Headteacher:	Ms B Jones
	Email:	westparkprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 558238
	Fax:	01902 558240
Wilkinson Primary School Walter Road Bradley Bilston West Midlands WV14 8UR	Headteacher:	Mrs C J Gibbon
	Email:	wilkinsonprimaryschool@wolverhampton.gov.uk cgibbon@wilkinsonprimaryschool.co.uk
	Telephone:	01902 558971
	Telephone Nursery:	01902 554377
Woden Primary School Springfield Road Wolverhampton WV10 0LH	Headteacher:	Mrs H Vernon
	Email:	WodenPrimary.GroupEmail@wolverhampton.gov.uk enquiries@wodenprimary.org
	Telephone:	01902 558880
	Fax:	01902 556351
		URN: 131153
		Community School
		Incl. Nursery Class
		URN: 104325
		Community School
		Incl. Nursery Class
		URN: 139199
		Academy (01.04.2013) (Central Learning Partnership Trust)
		Incl. Nursery Class

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Primary Schools	Contact	Further Information
Wodensfield Primary School Woden Avenue Wednesfield Wolverhampton WV11 1PW	Headteacher:	Mrs S Walker
	Email:	office@wodensfield.org
	Telephone:	01902 556350
	Fax:	01902 556351
Wood End Primary School Wood End Road Wednesfield Wolverhampton WV11 1YQ	Headteacher:	Mrs D Blower
	Email:	woodendprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 558940
Woodthorne Primary School Woodthorne Road South Coastenhall Wolverhampton WV6 8XL	Headteacher:	Mr J Crilly
	Email:	woodthorneprimaryschool@wolverhampton.gov.uk
	Telephone:	01902 558544
	Fax:	01902 558548
		URN: 104345
		Community School
		Incl. Nursery Class
		URN: 104322
		Community School
		Incl. Nursery Class
		URN: 104354
		Community School
		Incl. Nursery Class

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Secondary Schools	Contact	Further Information
Aldersley High School (and Resource Area for Speech & Language) Barnhurst Lane Codsall Wolverhampton WV8 1RT	Principal: Mrs N Davis Email: aldersleyhigh.groupemail@wolverhampton.gov.uk Telephone: 01902 556868 Fax: 01902 556869	URN: 139138 Academy (01.01.2013) Amethyst Academy Trust
Colton Hills Community School (and Resource Area for PD) Jeremy Road Goldthorn Park Wolverhampton WV4 5DG	Headteacher: Mr A Otero Email: coltonhillsschool@wolverhampton.gov.uk Telephone: 01902 558420 Fax: 01902 558421	URN: 104395 Community School
Coppice Performing Arts School Ecclestone Road Wednesfield Wolverhampton WV11 2QE	Headteacher: Mrs J Fletcher Email: headteacher@coppice.wolverhampton.sch.uk CoppiceCommunityHigh.GroupEmail@wolverhampton.gov.uk Telephone: 01902 558500 Fax: 01902 558501	URN: 104390 Community School
Heath Park Prestwood Road Wolverhampton WV11 1RD	Executive Headteacher: Mrs G Holloway Email: info@heathpark.net Telephone: 01902 556360 Fax: 01902 556361	URN: 137730 Academy (01.12.2011) Central Learning Partnership Trust

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Secondary Schools	Contact	Further Information
Highfields School Boundary Way Penn Wolverhampton WV4 4NT	Headteacher:	Mr G Tate
	Email:	enquiries@hswv.co.uk
	Telephone:	01902 556530
	Fax:	01902 556531
Moreton School Old Fallings Lane Wolverhampton WV10 8BY (previously known at Moreton Community School)	Head of School: Executive Principal:	Mrs N Bayliss Mrs N Davis
	Email:	enquiries@moretonschool.org
	Telephone:	01902 558310
	Fax:	01902 558306
Moseley Park 100 Holland Road Bilston West Midlands WV14 6LU	Executive Headteacher:	Mrs G Holloway
	Email:	info@moseleypark.org
	Telephone:	01902 553901
	Fax:	01902 496103
North East Wolverhampton Academy Marsh Lane Fordhouses Wolverhampton WV10 6SE	Principal:	Mr P Farr
	Email:	info@newacademy.org.uk
	Telephone:	01902 623111
		URN: 142317
		Academy (01.12.2015) Highfields School MAT
		URN: 144278
		Academy (01.03.2017) Amethyst Academy Trust
		URN: 138098
		Academy (01.06.2012) Central Learning Partnership Trust
		URN: 136182
		Academy (01.09.2010) (City of Wolverhampton Academy Trust)

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Secondary Schools	Contact	Further Information
Our Lady and St Chad Catholic Academy Old Fallings Lane Wolverhampton WV10 8BL	Principal:	Miss T H L Ellis
	Email:	info@olsmail.org.uk
	Telephone:	01902 558250
	Fax:	01902 558251
S. Peter's Collegiate School A Church of England Academy Compton Park Compton Road West Wolverhampton WV3 9DU	Principal:	Mr D Lewis
	Email:	speters@speters.org.uk
	Telephone:	01902 558600
	Fax:	01902 558596
Smestow School (and Resource Area for VI) Windmill Crescent Castlecroft Wolverhampton WV3 8HU	Principal:	Mr M J Morgan
	Email:	office@smestow.org
	Telephone:	01902 539500
	Fax:	0871 895 6036
South Wolverhampton and Bilston Academy Dudley Street Bilston West Midlands WV14 0LN	Principal:	Mrs K Inscker
	Email:	enquiries@swbacademy.org.uk
	Telephone:	01902 493797
	Fax:	01902 558677
		URN: 141802
		Academy (01.03.2015) Pope John XXIII Catholic Multi Academy Company
		URN: 138852
		Academy (01.10.2012) S. Peter's Collegiate School Church of England Academy
		URN: 140586
		Academy (01.02.2014) Education Central Multi Academy Trust
		URN: 135983
		Academy (01.09.2009) City of Wolverhampton Academy Trust

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Secondary Schools	Contact	Further Information
St Edmund's Catholic Academy Compton Park Compton Road West Wolverhampton WV3 9DU	Principal: Mrs M Hughes	URN: 139891 Academy (01.07.2013) Bishop Cleary Catholic Multi Academy Company URN: 104387
	Email: enquiries@stedmunds.org	
	Telephone: 01902 558888	
	Fax: 01902 558889	
St Matthias School Deans Road Wolverhampton WV1 2BH	Headteacher: Mr D Coombes	Community School
	Email: enquiries@st-matthias.com	
	Telephone: 01902 556400	
The British Sikh School Wolverhampton Road East Wolverhampton WV4 6AP 0201	Principal: Mrs J Sangha	URN: 142080 Free School
	Email: info@thebritishsikhschool.com	
	Telephone: 01902 558655	
The King's Church of England School Regis Road Tetterhall Wolverhampton WV6 8XG	Headteacher: Mr J Ludlow	URN: 131547 Voluntary Aided
	Email: admin@kingswolverhampton.co.uk	
	Telephone: 01902 558333	
	Fax: 01902 558334	
The Royal School Wolverhampton Penn Road Penn Wolverhampton WV3 0EG	Principal: Mr M Heywood	URN: 143101 Free School 4-19, Co-ed Day and boarding
	Email: info@royal.wolverhampton.sch.uk	
	Telephone: 01902 341230	
	Fax:	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Secondary Schools	Contact	Further Information
Wednesfield High Specialist Engineering Academy Lichfield Road Wednesfield Wolverhampton WV11 3ES	Headteacher: Mrs C Gilbert Email: wednesfieldhigh@wolverhampton.gov.uk Telephone: 01902 558222 Fax: 01902 558200	URN: 141245 Academy (01.01.2015) Education Central Multi Academy Trust
West Midlands Construction UTC Springfield Brewery Campus Cambridge Street Wolverhampton WV10 0JR	Principal: Mr T Macdonald Email: info@wmcutc.co.uk Telephone: 01902 872180	URN: 140160
Wolverhampton Girls' High School Fettenhall Road Wolverhampton WV6 0BY	Headteacher: Mrs T Young Email: enquiries@wghs.org.uk Telephone: 01902 551515 Fax: 01902 551516	URN: 140798 Academy (01.04.2014) Wolverhampton Girls' High School

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Special Schools	Contact	Further Information
Broadmeadow Special School Lansdowne Road Wolverhampton WV1 4AL	Headteacher: Miss K D Warrington Email: broadmeadow@cloudw.co.uk Telephone: 01902 558330 Fax: 01902 558327	URN: 104416 Academy (01.12.2016) Central Learning Partnership Trust
Green Park School Green Park Avenue Bilston West Midlands WV14 6EH	Headteacher: Mrs L C Dawney Email: greenparkschool@wolverhampton.gov.uk Telephone: 01902 556429 or 01902 556430 Fax: 01902 556431	URN: 104415 Community School
Northern House School (City of Wolverhampton) Valley Park Campus Cromer Gardens Wolverhampton WV6 0UB	Acting Headteacher: Mrs T Whitehouse Email: New.park@wolverhampton.gov.uk Telephone: 01902 551564 Fax: 01902 551565	URN: 1420860 Academy (01.01.2016)
Penn Fields Special School Boundary Way Warstones Wolverhampton WV4 4NT	Headteacher: Miss E Stanley Email: office@pennfields.com Telephone: 01902 558640 Fax: 01902 558641	URN: 104412 Community School

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Special Schools	Contact		Further Information
Penn Hall School Vicarage Road Penn Wolverhampton WV4 5HP	Headteacher:	Mr D Parry	URN: 104417
	Email:	pennhallspecialschool@wolverhampton.gov.uk	Community School
	Telephone:	01902 558355	
	Fax:	01902 558327	
Tettenhall Wood School Regis Road Tettenhall Wolverhampton WV6 8XF	Headteacher:	Ms S Llewellyn	URN: 104414
	Email:	tettenhallwoodspecialschool@wolverhampton.gov.uk	Community School
	Telephone:	01902 556519	
	Fax:	01902 556520	
Westcroft School Greenacres Avenue Underhill Wolverhampton WV10 8NZ	Headteacher:	Ms A Brown	URN: 142383
	Email:	westcroftspecialschool@wolverhampton.gov.uk	Academy (01.12.2015)
	Telephone:	01902 558350	Central Learning Partnership Trust
	Fax:	01902 558342	
Wolverhampton Vocational Training Centre (WVTC) Upper Villiers Street Wolverhampton WV2 4NP	Headteacher:	Ms H Andrioli	URN: 142123
	Email:	enquiries@wvvc.org.uk	
	Telephone:	01902 552285	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Pupil Referral Units	Contact		Further Information
Midpoint Centre (Key Stage 4 PRU) Lawnswood Campus Lawnswood Avenue Parkfields Wolverhampton WV4 6SR	Headteacher: Executive Headteacher:	Mr R Callaghan Mrs J Wood	URN: 134256
	Email:	Midpoint.school@wolverhampton.gov.uk	
	Telephone:	01902 551695	
Northern House School (PRU) Valley Park Campus Cromer Gardens Wolverhampton WV6 0UA	Headteacher:	Mr A Price	URN: 143150
	Email:	kingstoncentre@wolverhampton.gov.uk office-pru@northernhouse.org.uk	Academy (01.09.2016) Northern House Academy Trust
	Telephone:	01902 558149	
The Braybrook Centre (Key Stage 3 PRU) Lawnswood Campus Lawnswood Avenue Parkfields Wolverhampton WV4 6SR	Headteacher: Executive Headteacher:	Mr S Playford Mrs J Wood	URN: 134257
	Email:	Braybrook.centre@wolverhampton.gov.uk	
	Telephone:	01902 558144	

The City of Wolverhampton Council
List of Educational Establishments – Spring Term 2017

Pupil Referral Units	Contact		Further Information
The Orchard Centre and The Nightingale Centre (Home & Hospital PRU) Lawnswood Campus Lawnswood Avenue Parkfields Wolverhampton WV4 6SR	Head of Orchard Centre: Head of Nightingale Centre: Executive Headteacher:	Ms J Blake Ms L Watson Mrs J Wood	URN: 104288
	Email:	orchard.centre@wolverhampton.gov.uk	
	Telephone:	01902 555947	

PUBLIC SPACES PROTECTION ORDER

**(section 59 Anti-Social Behaviour, Crime and
Policing Act 2014)**

- DOG CONTROL -

Made: xx.xx.2017

Entering into force: xx.xx.2017

AREAS AFFECTED: ALL OF THE CITY OF WOLVERHAMPTON COUNCIL AREA

ANNEXE C

Traditional Play

Site Name	Address	Postcode
All Saints O/S Play Area	Maxwell Street All Saints Wolverhampton	WV2 2AF
Bantock Park Play Area	Finchfield Road Finchfield Wolverhampton	WV3 9LQ
Batmans Hill P/G Play Area	Batmans Hill Road Bradley Bilston Wolverhampton	WV14 8TZ
Bee Lane P/F Play Area	Bee Lane Fordhouses Wolverhampton	WV10 6LE
Belgrade Road O/S	Belgrade Road Oxley Wolverhampton	WV10 6SX
Bradmore Rec Play Area	Church Road Bradmore Wolverhampton	WV3 7EN
Bushbury Rec Play Area	Bushbury Lane Low Hill Wolverhampton	WV3 7EN
Castlecroft Avenue P/G Play Area	Castlecroft Avenue Wightwick Wolverhampton	WV3 8JN
Claregate P/F Play Area	Knights Avenue Aldersley Wolverhampton	WV6 9PR
Coronation Park Play Area	Wilkinson Avenue/Lord Street	WV14 8PS
D'eyncourt School Play Area	School Mullett Road Wolverhampton West Midlands	WV11 1DD
Dixon Street Play Area	Dixon Street, Wolverhampton	WV2 2AY
Dukes Park	Constantine Way	WV14 8GX
East Park Play Area	Hickman Avenue Eastfield Wolverhampton	WV1 2BT
Eastfield Park Play Area (Brickheath Road O	off Brickheath Road Eastfield	WV1 2RZ
Finchfield Library P/A Play Area	White Oak Drive Wolverhampton West Midlands	WV3 9AF
Fowlers Park Play Area	Nine Elms Lane Heath Town Wolverhampton	WV10 9AW
Graiseley Recreation Ground Play Area	Pool Street Blakenhall Wolverhampton	WV2 4NE
Greenway Playing Field Play Area	Bankfield Road, Bilston	WV14 0LH
Heath Town Park Play Area	Heath Town Park Church Street Wolverhampton	WV10 0LU
Hickman Park Play Area	Wolverhampton Street Bilston Wolverhampton	WV14 0LZ
Hickman Park Toddlers Play Area	Wolverhampton Street Bilston Wolverhampton	WV14 0LZ
Hill Avenue P/G Play Area	Corner Birmingham New Rd and Hill Avenue Lanesfield Wolverhampton	WV4 6PY
Howland Close O/S Play Area	Howland Close Wolverhampton West Midlands	WV9 5PY
Jeremiah Road O/S Play Area	Jeremiah Road, Heath Town, Wolverhampton	WV10 0AJ
Leicester Square O/S Play Area	Leicester Street Whitmore Reans Wolverhampton	WV6 0PR
Long Knowle O/S Play Area	Blackwood Ave Wednesfield Wolverhampton	WV11 1ED
Lunt Play Area	Lunt Road, Bilston	WV14 7AQ
Martham Drive P/G Play Area	Martham Drive Compton Wolverhampton	WV6 8AL
Merridale Street O/S Play Area	Russell Street Merridale Wolverhampton	WV3 0PF
Millfields P/A (The Villages) Play Area	Rushbury Close, Ettingshall	WV14 0UH
Muchall Park Play Area	Manor Road Penn Wolverhampton	WV4 5PX
Northwood Park Play Area	Northwood Park Road Bushbury Wolverhampton	WV10 8ET
Patshull Avenue P/F Play Area	Patshull Avenue Oxley Wolverhampton	WV10 6RG
Peace Green O/S Play Area	off Francis Street Whitmore Reans	WV1 4RN
Pendeford Square Play Area	Off Whitburn Close Pendeford Wolverhampton	WV9 5NH
Penk Rise O/S Play Area	Penk Rise Tettenhall Wood Wolverhampton	WV6 8JZ
Phoenix Park Play Area	Dudley Road Blakenhall Wolverhampton	WV2 3JU
Renton Road O/S Play Area	Renton Road Oxley Wolverhampton	WV10 6XN
Showell Park	Humpherries Road, Bushbury	WV10 9NA
Taylors Play Area	Burton Road, Springfield, Wolverhampton	WV10 0EG
Warstones/Kingsclear Walk Play Area	Warstones Drive Merry Hill Wolverhampton	WV4 4PA
Wednesfield Park/King George V PF Play Ar	Duke Street Wednesfield Wolverhampton	WV11 1TH
West Park Play Area	Park Road West Whitmore Reans Wolverhampton	WV1 4PJ
Windsor Avenue P/F Play Area	Linton Avenue Penn Wolverhampton	WV4 4DR
Woodcross Lane O/S Play Area	Woodcross Lane Lanesfield Bilston	WV14 9BW

TENNIS COURTS

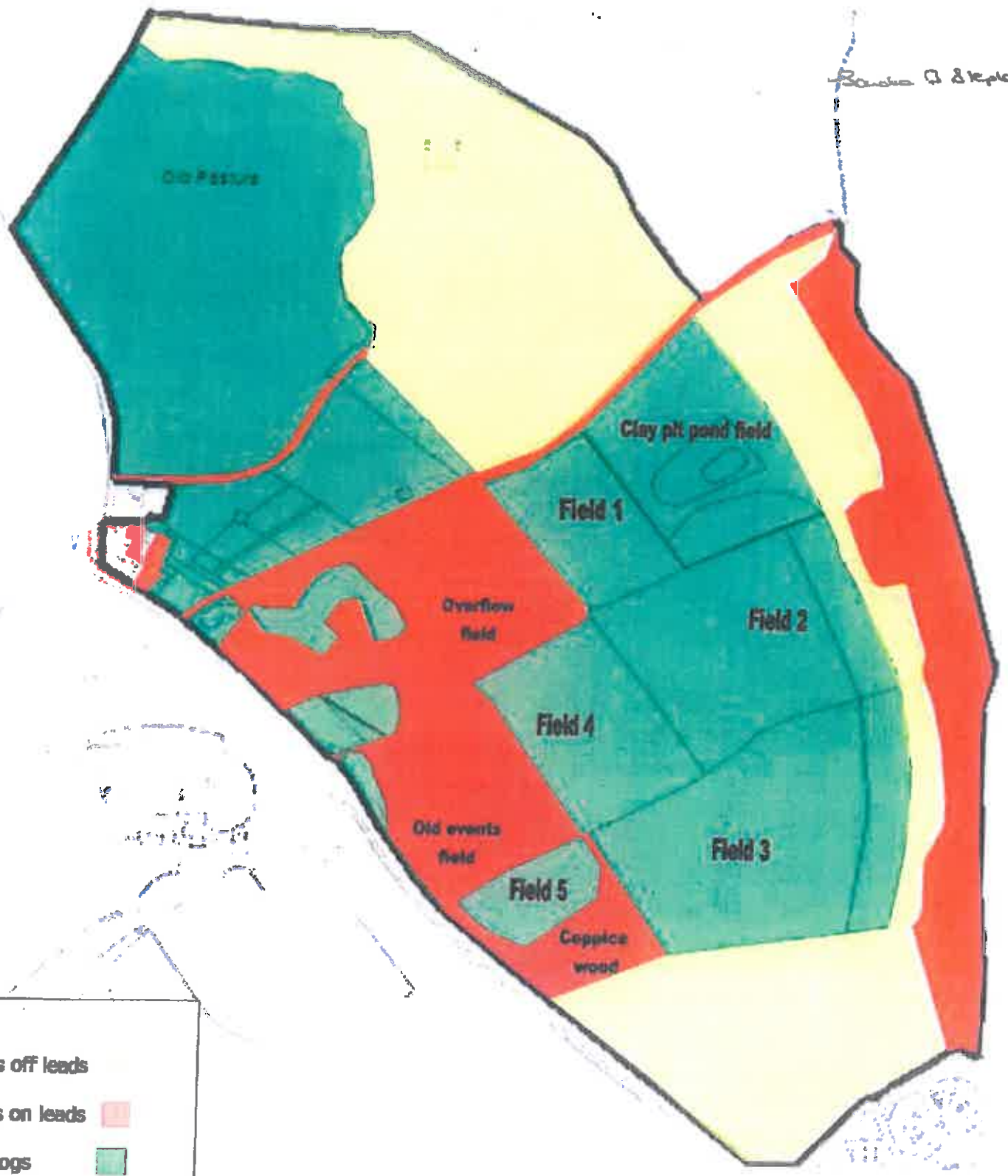
- EAST PARK, Hickman Avenue, Eastfield, Wolverhampton, WV1 2BT
- BRADMORE RECREATION GROUND, Church Road, Bradmore, Wolverhampton, WV6 9PR
- CLAREGATE PLAYING FIELDS, Knights Avenue, Aldersley, Wolverhampton, WV6 9PR
- WEST PARK, Park Road West, Whitmore Reans, Wolverhampton, WV1 4PJ.



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12/1/07

PLAN 2

Paula G & Kipler



Key	
Dogs off leads	
Dogs on leads	
No dogs	

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Cabinet Meeting

19 July 2017

Report title	Change of Criteria to the Affordable Warmth Grant Agreement	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor Peter Bilson City Assets and Housing	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Lesley Roberts Strategic Director, City Housing	
Originating service	City Housing	
Accountable employee(s)	Mandy Findlay Tel Email Lynda Eyton Tel Email	Housing Improvement Officer 01902 551346 mandy.findlay@wolverhampton.gov.uk Housing Improvement Officer 01902 555706 lynda.eyton@wolverhampton.gov.uk
Report to be/has been considered by	Place Leadership Team Cabinet Member Briefing	3 rd July 2017 11 th July 2017

Recommendation(s) for action or decision:

The Cabinet (Resources) Panel is recommended to:

1. Approve the changes to the Affordable Warmth Grant Criteria to refine the health conditions to complement NICE guidelines <https://www.nice.org.uk/guidance/ng6>, with some minor alterations to take into account local needs as set out in appendix 2.
2. Approve changes to the Affordable Warmth Grant Criteria to include applications from the private rented sector within the City, subject to specific conditions as set out in appendices 3 and 4.

3. Approve changes to the wording of the Affordable Warmth Grant Criteria for the purpose of clarification and to ensure that the Councils outcomes are met.

1.0 Purpose

- 1.1 To seek approval to change the criteria for the Affordable Warmth Grant Assistance to refine the qualifying health criteria to complement National Institute for Health and Care Excellence (NICE) guidelines, to extend the service to include applications from the private rented sector within the City and to clarify the wording of the qualifying criteria with regards to income to ensure that it is inclusive of the target groups.

2.0 Background

- 2.1 In March 2015 NICE published its guidelines regarding excess winter deaths and illness and the health risks associated with cold homes <https://www.nice.org.uk/guidance/ng6>. Within the document, it identifies those groups of people who are vulnerable to living in a cold home and the types of illnesses and disabilities that can make them more vulnerable. The City of Wolverhampton Council's Affordable Warmth Grant Assistance programme targets assistance to vulnerable groups and includes certain illnesses and disabilities in its current qualifying criteria (current health criteria appendix 1).
- 2.2 Wolverhampton has 13,558 fuel poor households which equates to 13.1% of the total households across the City. Nationally, 1/5 of these households are in private rented sector (*DECC figures 2014*).
- 2.3 The City's Affordable Warmth Grant Assistance delivers energy efficiency measures to the most vulnerable private sector households in the City. However, the approval criteria currently restricts assistance to owner occupiers. The grant has been in existence for 17 years and assists 200 homes annually. The grant is City wide and available to any age group with a chronic health condition. There is an annual capital budget of £500,000 to deliver the works. The City of Wolverhampton has already exceeded its target "to reduce fuel poverty by 10% on 2010 levels (24.3% households in fuel poverty) by 2020" by 1.2%, with the CWC's Affordable Warmth Grant Assistance is cited as best practice in the Parliamentary Fuel Poverty & Energy Efficiency Group's Prospectus for Universal Affordable Warmth (<http://www.nea.org.uk/wp-content/uploads/2017/01/Prospectus-for-Universal-Affordable-Warmth-FINAL.pdf>).

3.0 Proposals

- 3.1 In March 2015 NICE published its guidelines regarding excess winter deaths and illness and the health risks associated with cold homes. It is proposed to amend the qualifying health criteria for the Affordable Warmth Grant Assistance so that it complements this guidance, with minor alterations to consider local needs. This will ensure that assistance continues to be targeted towards those private sector households where the most positive impact will be achieved. The revised Health Conditions Qualifying Criteria for Affordable Warmth Grant Assistance is given in Appendix 2.
- 3.2 It is also proposed to extend the criteria to households in the private rented sector where the qualifying criteria will have 2 elements, with both the tenant and the landlord having to meet specific conditions. In addition, the landlord will be required to support the existing tenants' tenancy, ensure that the property is available to rent within the private rented

sector for a set period of time and sign up to CWC's "Rent with Confidence scheme" and be assessed as meeting 3 star or above within that scheme. The aim is to improve standards and choice in the private rented sector, improve the overall housing offer in the City and improve health outcomes for residents of the City in line with Wolverhampton's Health and Wellbeing Board's Joint Health and Wellbeing Strategy 2013 – 2018. The landlord's and tenant's qualifying criteria are outlined in Appendices 3 and 4 respectively.

3.3 It is further proposed to amend the wording of the criteria from

'Be in receipt of one or more income related benefit (list available) or any benefit linked to disability, if that plus state pension are the only form of income into the household.'

To read

'Be in receipt of one or more income related benefit (list available) or any benefit linked to disability, if that plus any pension income do not take the total household income above the threshold for working tax credits (currently £18,000 p/a for a couple, £13100 p/a for a single person).'

(Full Tenants criteria Appendix 4)

4.0 Financial implications

4.1 The approved Housing Capital Programme has a budget of £0.4 million in 2017/18 to fund the Capital Provision for the Affordable Warmth programme of the Private Sector Housing Assistance programme. The proposed amendments to the Affordable Warmth approval criteria can be accommodated within this capital allocation.

[JM/05072017/V]

5.0 Legal implications

5.1 The Regulatory Reform Order 2002 (RRO) provides that local housing authorities may for the purpose of improving living conditions provide to its residents any form of assistance, including loans, to enable them to improve their homes. Further, local housing authorities may secure loans by a Legal Charge or mortgage on a property.

5.2 For local housing authorities to utilise these powers they must have adopted a policy detailing the assistance to be provided.

5.3 Legal advice will be provided in respect of the drafting granting and discharge of the Legal Charge.

[RB/23052017/B]

6.0 Equalities implications

6.1 A full equalities impact assessment has been undertaken in the development of this policy revision which indicates that there are no adverse impacts.

7.0 Environmental implications

7.1 The affordable warmth grant supports the reduction of CO₂ emissions. At a national level this is in support of the Climate Change Act, 2008 and the government's Carbon Plan. At a local level this supports the Climate Local initiative, to which the council has become a signatory, the council's current Climate Change Strategy and its emerging Sustainability Strategy & Implementation Plan.

8.0 Human resources implications

8.1 There are no human resources implications arising from this report.

9.0 Corporate landlord implications

9.1 There are no Corporate Landlord Implications arising from this report as all assisted households are within the private sector.

10.0 Schedule of background papers

10.1 Report to Cabinet 10 April 2013 'Revisions to the Housing Assistance Policy'.

Appendix 1

Current Health Conditions Qualifying for AWG Assistance:

Be judged to be at risk of **serious** ill health due to living in a cold/damp home. Health conditions will be judged against criteria to access the free NHS Flu jab in the first instance, with seriousness of the illness then assessed via information provided by the client or obtained from the clients G.P. – ***please note the Council cannot cover any cost incurred from obtaining written proof from G.P's.***

Appendix 2

Revised Health Conditions Qualifying for AWG Assistance

- cardiovascular conditions
- respiratory conditions (to include chronic obstructive pulmonary disease and serious asthma that is not controlled by medication)
- people with mental health conditions – including dementia (consideration needed to how we assess referrals)
- people with disabilities – including mobility issues and Arthritis
- older people – 80+ (in line with higher winter fuel payments)
- households with young children (new-born to school age) – who are premature (born at 32 weeks or below and/or considered low birth weight – 2.5kg or 5.5lbs)
- Other life changing or limiting illnesses including cancer, Parkinson's Disease, diabetes type 1, blindness, TB

Appendix 3

Landlord Qualifying Criteria

Landlords, who own a property where the Council Tax is paid to the City of Wolverhampton Council and the vulnerable tenant meets all criteria placed on them to receive the grant, must meet all **9** criteria for the property to qualify for Affordable Warmth Grant Assistance:

1. The property must be in council tax band A, B or C – properties in a higher band will only receive assistance in exceptional circumstances. Council tax banding can be checked on <http://www.voa.gov.uk/cti/InitS.asp?lcn=0>
2. Agree to a charge being placed on the property for a 3-year period - any breach of terms and/or criteria will trigger the charge on the property being collected

3. Provide evidence or sign a disclaimer to say that a suitable mortgage and insurance are in place.
4. Agree to keep the property within the private rental sector for the full 3-year period unless a sale is required due to unavoidable circumstances.
5. Agree to secure the tenancy of the original tenant (where possible but also acknowledging that tenants may need to move for a number of reasons)
6. They must register with Rent with Confidence and be assessed as meeting 3 star rating or above.
7. If they do not meet 3 star or above, they must make such improvements to achieve this rating before any grant will be awarded.
8. They must consistently maintain this 3 star or above rating for the full three years with no enforcement notices or improvement notices being served on them for the period.
9. The landlord will be responsible for installing low cost installation measures (Cavity Wall and/or Loft Installation) before any heating measures are installed.

Restrictions apply:

- Boilers and associated works will be fitted in the most practical way to provide affordable warmth and not purely for cosmetic reasons or client choice
- Under the Affordable Warmth Assistance, a boiler will be faulty or broken. A boiler may sometimes be replaced if it over 20 years old, dependent on the circumstances.
- The benefits received must be the only/main source of income into the household – evidence may be required to support this, such as pension or benefit books, utility bills and other financial information
- Affordable Warmth Assistance will not be provided if the property is being marketed for sale or if there is reasonable cause to believe the property will be sold within 3 years.

Appendix 4

Private Rented Sector Tenants Qualifying Criteria

Tenants, who rent a property where the Council Tax liability is to be paid to the City of Wolverhampton Council, must meet all **6** criteria to qualify for Affordable Warmth Grant Assistance:

1. Be a Private Rented Sector Tenant with a valid, written tenancy agreement
2. Have resided at the property for a minimum of 12 months

3. The rented property must be the tenant's only residence
4. Be in receipt of one or more income related benefit (list available) or any benefit linked to disability, if that plus any pension income do not take the total household income above the threshold for working tax credits (currently £18,000 p/a for a couple, £13100 p/a for a single person). They must also have less than £6000 in savings or £10,000 if they are pensioners. Eligible benefits include (subject to provision of proof from claimant):
 - Guaranteed Pension Credit
 - Child Tax Credit
 - Job Seekers Allowance
 - Employment Support Allowance
 - Disabled Child Premium
 - Working Tax Credit
 - Disability Living Allowance
 - Personal Independence Payment
 - Universal Credit
 - Disability Premium
 - Disabled Worker Element
5. Suffer from one of the below health conditions:
 - cardiovascular conditions
 - respiratory conditions (to include chronic obstructive pulmonary disease and serious asthma that is not controlled by medication)
 - people with mental health conditions – including dementia (consideration needed to how we assess referrals)
 - people with disabilities – including mobility issues and Arthritis
 - older people – 80+ (in line with higher winter fuel payments)
 - households with young children (new-born to school age) – who are premature (born at 32 weeks or below and/or considered low birth weight – 2.5kg or 5.5lbs)
 - Other life changing or limiting illnesses including cancer, Parkinson's Disease, diabetes type 1, blindness, TB
6. All conditions under the landlord's criteria are met.

Restrictions apply:

- Boilers and associated works will be fitted in the most practical way to provide affordable warmth and not purely for cosmetic reasons or client choice
- Under the Affordable Warmth Assistance, a boiler will be faulty or broken. A boiler may sometimes be replaced if it over 20 years old, dependent on the circumstances.
- The benefits received must be the only/main source of income into the household – evidence may be required to support this, such as pension or benefit books, utility bills and other financial information

- Affordable Warmth Assistance will not be provided if the property is being marketed for sale or if there is reasonable cause to believe the property will be sold within 3 years.

Appendix 5

Owner Occupiers Qualifying Criteria

To qualify for the affordable warmth grant assistance the client must meet all **5** criteria:

1. be an owner occupier or a private rented sector tenant - *those who are privately renting may only be entitled to insulation measures unless circumstances are exceptional, in which case heating may be installed with terms and conditions attached.*
2. have resided at the property for a minimum of 12 months
3. be in receipt of one or more income related benefit (list available) or any benefit linked to disability, if that plus any pension income do not take the total household income above the threshold for working tax credits (currently £18,000 p/a for a couple, £13100 p/a for a single person). They must also have less than £6000 in savings or £10,000 if they are pensioners.
4. be judged to be at risk of **serious** ill health due to living in a cold/damp home. Health conditions will be judged against criteria to access the free NHS Flu jab in the first instance, with seriousness of the illness then assessed via information provided by the client or obtained from the clients G.P. – ***please note the Council cannot cover any cost incurred from obtaining written proof from G.P's***
5. the property must be in council tax band A, B or C – properties in a higher band will only receive assistance in exceptional circumstances Council tax banding can be checked on <http://www.voa.gov.uk/cti/lnitS.asp?lcn=0>

Only in exceptional circumstances will permission to award a grant without meeting all the above criteria be sought – by way of an Individual Executive Decision Notice

Restrictions apply:

- Boilers and associated works will be fitted in the most practical way to provide affordable warmth and not purely for cosmetic reasons or client choice
- Grants will not be awarded for draught proofing as a single measure
- Under the Affordable Warmth Assistance, a boiler will be faulty or broken. A boiler may sometimes be replaced if it over 20 years old, dependent on the circumstances.
- Tenants must seek permission from their landlord before works can be done

- The benefits received must be the only/main source of income into the household – evidence may be required to support this, such as pension or benefit books, utility bills and other financial information
- Owner occupiers may be asked to prove that the property is their sole residence.

Cabinet Meeting

19 July 2017

Report title	Confirmation of Small Houses in Multiple Occupation (HMO) Article 4 Direction	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor John Reynolds Cabinet Member for City Economy	
Key decision	No	
In forward plan	Yes	
Wards affected	All	
Accountable director	Keren Jones, Director City Economy	
Originating service	Planning	
Accountable employee(s)	Michele Ross	Lead Planning Manager (Sub-Regional Strategy)
	Tel	01902 554038
	Email	Michele.ross@wolverhampton.gov.uk
Report to be/has been considered by	Place Leadership Team	3 July 2017

Recommendations for action or decision:

The Cabinet is recommended to:

Confirm the making of a Direction under Article 4(1) of the Town and Country Planning (General Permitted Development) (England) Order 2015 (as amended) to remove permitted development rights for changes of use from Use Class C3 to Use Class C4 (as defined in the Town and Country Planning [Use Classes] Order 1987, as amended) within the City of Wolverhampton which will commence on 14 September 2017.

1.0 Summary

- 1.1 To consider consultation representations and confirm the making of an Article 4 (1) Direction covering the whole of the City of Wolverhampton which will mean that a planning application is required to convert a dwelling to a small house in multiple occupation (HMO) accommodating three to six people.

2.0 Background

- 2.1 On 24 August 2016 an Individual Executive Decision Notice was signed by the Cabinet Member for City Economy and the Service Director City Economy. This authorised the making of an Article 4 (1) Direction covering the whole of the City of Wolverhampton which will mean that a planning application is required to convert a dwelling to a small house in multiple occupation (HMO) accommodating three to six people.
- 2.2 The Article 4 (1) Direction, which is attached as Appendix 1 to this report, was subsequently made on 13 September 2016. The Article 4 Direction will come into effect twelve months after the date it was made subject to a consideration of responses made to public consultation for a minimum of 28 days and confirmation by the Council.
- 2.3 Public consultation took place on the proposed Article 4 Direction between 13 September and 7 November 2016 through a published local press notice, the erection of two site notices within the City and notification of the Secretary of State. Landlord associations and local landlords were also consulted, in particular through the Wolverhampton Landlords Blog (<https://wolverhamptonlandlordsblog.wordpress.com/page/2/>), which is accessed by around 130 local private landlords and upon which no comments were made. This report summarises the representations made during the consultation period in order for these to be considered and a decision made whether to confirm the Article 4 Direction.

3.0 Consultation Representations

- 3.1 Two responses were made to the consultation during the consultation period, from the National Landlords Association (NLA) and the Residential Landlords Association (RLA). Although these responses raise concerns about the potential impact of the Article 4 (1) Direction on the private rented sector, they do not directly challenge the validity of the Direction. Therefore they do not give rise to the need to make any changes to the Direction or to halt the confirmation process. A number of local companies and agents involved with HMO developments made contact during the consultation period but did not submit a formal response.
- 3.2 A separate consultation response was made by a resident of South Staffordshire in early 2017, which it was decided to accept although made outside the public consultation period. In response to concerns raised in this response it was decided to confirm the Article 4 Direction through a Cabinet report rather than through an Individual Executive Decision Notice. It is notable that the resident made a representation to the Secretary of State asking him to intervene in the Article 4 Direction. The response from the Secretary of State is attached to this report, and clearly states that the Department for Communities

and Local Government “does not consider that the clear reasons for intervention at Government level are presented by this case.”

3.3 The concerns raised by the NLA, and the Council response, are as follows:

Concerns	Response
<p>An Article 4 (1) Direction is a powerful tool of last resort and should not apply across a whole local authority area because the housing market will be distorted and existing dwellings will decrease in value relative to HMOs.</p>	<p>The Article 4 (1) Direction is only one small tool amongst a number used in Wolverhampton to provide good quality housing across the City. As such it is unlikely to affect the housing market or property values. Applying the Direction in small areas would not be appropriate as this would risk displacement of any issues to other areas.</p>
<p>The creation of a small HMO from a dwelling does not represent a material change of use as the amenity impacts are similar.</p>	<p>As set out in planning legislation, where it is considered that there will be no material change in use, planning permission will not be required. This will be decided on a case by case basis.</p>
<p>There is a growing need for shared and private rent housing in Wolverhampton, due to changes in demography, affordability and the welfare system.</p>	<p>Agree. The purpose of the Article 4 (1) Direction is not to reduce the amount of shared or private rent housing provided in the City but to ensure the provision of good quality housing in the right locations to meet a variety of needs, including better quality private rented stock.</p>
<p>Where anti-social behaviour issues arise related to a concentration of shared housing, local authorities should make maximum use of their extensive powers to deal with these before deciding that an Article 4 (1) Direction is required. Landlords have restricted powers to deal with such issues.</p>	<p>Agree. City of Wolverhampton Council does make extensive use of the variety of powers available in areas with concentrations of HMOs. However, anti-social behaviour issues still arise due to the density of development in some parts of the City, and inappropriate conversions and infrastructure.</p>
<p>There will be reduced investment in Wolverhampton because prospective landlords will be uncertain if they will be able to convert their property.</p>	<p>The quick and free pre-application advice service provided by City of Wolverhampton Council gives significant certainty to any prospective applicant. The new approach will bring consistency and clarity, as all sizes of HMO will require an application.</p>
<p>The Council has not clarified how many HMOs can be developed in which parts of the City.</p>	<p>No limits will be placed on the numbers of HMOs which can be developed in different parts of the City. Each application will be dealt with on a case by case basis in accordance with adopted local and national planning policy.</p>

3.4 The concerns raised by the RLA, and the Council response, are as follows:

Concerns	Response
Using planning to tackle social problems is ineffective - these are caused by the behaviour of tenants and should be tackled through better enforcement of existing legislation.	City of Wolverhampton Council does make extensive use of the variety of powers available in areas with concentrations of HMOs. However, anti-social behaviour issues still arise due to the density of development in some parts of the City, and inappropriate conversions and infrastructure.
The Article 4 (1) Direction should be trialled in areas with a concentration of HMOs before introducing City-wide.	Applying the Direction in small areas would not be appropriate as this would risk displacement of any issues to other areas.
HMOs will not necessarily require more parking than a family, therefore this should be assessed where there are existing problems rather than City-wide.	As set out in planning legislation, where it is considered that there will be no material change in use, planning permission will not be required. This will be decided on a case by case basis, including a consideration of local issues.
Monitoring should take place and clear outcomes, targets and objectives should be set.	Agree. In addition to monitoring of applications, the quality of HMOs will be monitored through the rent with confidence scheme.
Upgrading of properties can be dealt with by a programme of inspections and use of Housing Health and Safety Rating System (HHSRS) powers.	Agree. The Council will continue to use HHSRS and any new initiatives which may emerge in future, such as civil penalty notices for overcrowding. However, the Council also wishes to prevent problems from emerging through proactive intervention.
One argument for restricting HMOs is the assumption that HMOs cause loss of community due to the transient nature of some residents, however this is a dated and inaccurate view. In many areas where there is a concentration of HMOs landlords are making use of stock which might otherwise be underused. Poorly maintained and HMO accommodation provides a vital service key to the mobility of the workforce, especially young / professional workers.	Agree. This is not an argument being made in the case of Wolverhampton.
Wolverhampton is a University City with a large and increasing number of students. Purpose-built student halls and halls of residence alone cannot meet demand for student accommodation. Demand for	There have been significant purpose-built student halls constructed and with planning permission in recent years in the City which provide good quality accommodation, suggesting that the

HMO student properties is likely to increase.	market is able to respond to demand. The Council has not made a case to restrict HMO properties for students.
Those under 35 particularly need access to shared housing, for reasons that are prominent in Wolverhampton, including the benefit cap.	Agree.
No reference is made to the costs of implementing the Article 4 Direction, which could be better spent on other measures including enforcement.	The report did state that it is estimated the Article 4 Direction will cost a minimal amount to implement. This small cost is considered a worthwhile investment to proactively improve the quality of the private rented stock in the City.
The Article 4 will necessitate Local Plan policies to ban or restrict HMOs in certain areas, which would also require encouraging HMOs in other areas if housing needs are to be met.	It is not considered necessary to introduce such Local Plan policies as the Article 4 is not intended to restrict HMOs in certain areas but rather to improve quality, and each case will be considered individually on its merits.
Speed of dealing with planning applications will be limited by resources and could lead to a backlog and so a lack of supply of shared housing.	Wolverhampton deals with planning applications particularly quickly and the small numbers of extra applications expected is unlikely to change this.
Instead of an Article 4 Direction, resources would be better allocated to: use data to identify areas with problems and apply HHSRS powers to address these; make use of landlord accreditation to ensure HMO management is of a high standard.	Other powers are and will continue to be used as far as possible alongside an Article 4 Direction. Unfortunately, regardless of whether an Article 4 Direction is progressed or not, resources would not be available to inspect properties street by street across the City and use HHSRS powers. Landlord accreditation is fully supported and “rent with confidence” has been set up to target resources to the worst landlords / properties.
Local authorities should be allowed to use “flipping”, which would allow change of use from a house to an HMO and back again without permission, to deal with changing demand.	This power can only be conferred by central government.

3.5 The concerns raised by the resident of South Staffordshire, and the Council response, are as follows:

Concerns	Response
There is a lack of evidence base to support the Article 4 Direction and to respond to issues raised in the 10 April 2013 Cabinet report on HMOs. The 2016	The 2013 Cabinet Report decided not to make an Article 4 Direction at that time, but to keep the situation under review and receive further reports on the potential to

<p>Cabinet Report statements regarding impacts of HMOs are not supported by evidence.</p>	<p>use powers to mitigate adverse impacts of HMOs. The Small HMO Article 4 Direction is one of a number of powers the Council has subsequently decided to explore.</p>
<p>The decision to make the Article 4 Direction was taken through an Individual Executive Decision Notice (IEDN), by delegation to the Cabinet Member for City Economy, rather than through Cabinet. The Council's constitution and standing orders do not permit the delegation of a decision such as this.</p>	<p>The Council believes that the decision to make the Small HMO Article 4 Direction through an IEDN was in accordance with the Council's constitution. However, to provide transparency, the decision to confirm the Direction will be taken to Cabinet.</p>
<p>Under the Town and Country Planning (GPDO) Order 2015 as amended, the Council must serve notice to owners or occupiers and take into account representations made during consultation. There is no evidence this has been done. The submission of only two representations indicates an absence of proper consultation and also that HMOs are not causing a problem in the City.</p>	<p>All of the statutory consultation requirements for the making of an Article 4 Direction (1) have been met and representations made both during and after the extended consultation period have been fully considered, as demonstrated in this Cabinet report. Additional consultation was carried out through the Wolverhampton Landlords Blog. The Planning Section have since taken around 20 phone calls from landlords and prospective landlords who were aware of the Direction and wished to find out more. The fact that so few objections have been received to the Article 4 Direction indicates that it is generally supported.</p>
<p>The 2016 Cabinet Report raises a number of issues and then fails to address them. It is not specified where the issues which must be identified to justify serving an Article 4 Direction are located, nor their scale or impact. The need for a strong justification based on planning grounds is raised in the legal implications section, but not provided. Human resources and financial impacts are not sufficiently identified.</p>	<p>See above regarding evidence to support the Article 4 Direction. The Cabinet Report highlights that, as very few large HMO applications have been submitted in recent years, it is unlikely that the Article 4 Direction would result in significant financial or human impacts for the Council.</p>

3.6 In summary, the Council response to these representations is that the Article 4 Direction is one of a suite of measures that are in place and currently being pursued to support and improve the private rented market across Wolverhampton, which it is recognised plays a valuable role in the Wolverhampton housing market. A City-wide Direction is appropriate because this will raise standards consistently across the City, with no displacement effects. The main aim of the Direction is to increase the quality of HMO accommodation provided across the City, at no cost to applicants, rather than to deal

with localised issues. The Council believes that the correct legal procedures have been followed in order to confirm the Article 4 Direction and that it is sufficiently evidenced and will be sufficiently resourced. This position has not resulted in an intervention by the Department for Communities and Local Government for the Secretary of State.

4.0 Way Forward

- 4.1 It is recommended that no material changes are made to the Article 4 (1) Direction resulting from consultation, and that the Direction should be confirmed on 13 September 2017 and come into force on 14 September 2017.

5.0 Financial implications

- 5.1 There is a potential financial implication if the Article 4 Direction is implemented within twelve months of approval as compensation claims could be made against the Council by any applicant refused permission that would lose potential revenue. Therefore it is has been decided to wait for twelve months before implementing the Direction.
- 5.2 Because Article 4 Directions remove existing permitted development rights a planning fee cannot be charged for planning applications which arise as a consequence of the Direction. It is anticipated that the Direction will result in a very small increase in the number of planning applications from mid 2017 onwards and it is considered that these can be dealt with within the existing Planning budget. [ES/06072017/O]

6.0 Legal implications

- 6.1 There is an established procedure for the preparation, consultation, approval, notification and implementation of an Article 4 Direction . There must be a strong justification based on sound planning grounds to make the Direction. Failure to act in accordance with proper procedure and without sound basis may lead to Judicial Review and/or compensation. [LD/27062017/B]

7.0 Equalities implications

- 7.1 A screening has been carried out for equalities implications and this concluded that a full Equality Analysis was not required for the recommendations of this report, as they do not involve a change to Council services, functions, policies or procedures. The policy is specifically aimed at addressing the amenity and planning issues arising from small HMOs in the City. The policy may result in a negative impact on the availability of such accommodation, but this should be balanced by positive impacts in terms of the quality of accommodation in general and the residential environment across the City.

8.0 Environmental implications

- 8.1 This report has no environmental implications.

9.0 Human resources implications

9.1 This report has no human resources implications.

10.0 Corporate landlord implications

10.1 This report has no Corporate Landlord implications.

11.0 Schedule of background papers

11.1 Small Houses in Multiple Occupation (HMO) Article 4 Direction - Individual Executive Decision Notice 24.08.16

Houses in Multiple Occupation and Planning Controls – Cabinet Report 10.04.13

Letter from Department of Communities and Local Government regarding Article 4 Direction – Houses in Multiple Occupation 19.04.17

Appendix 1

CITY OF WOLVERHAMPTON COUNCIL
HOUSE IN MULTIPLE OCCUPATION (HMO) ARTICLE 4 DIRECTION

TOWN AND COUNTRY PLANNING (GENERAL PERMITTED DEVELOPMENT) (ENGLAND)
ORDER 2015 AS AMENDED

DIRECTION MADE UNDER ARTICLE 4(1)

WHEREAS the City of Wolverhampton Council being the appropriate local planning authority within the meaning of article 4(5) of the General Permitted Development Order, are satisfied that it is expedient that development of the description set out in the Schedule below should not be carried out on the land shown edged/coloured on the attached plan, unless planning permission is granted on an application made under Part III of the Town and Country Planning Act 1990 as amended,

NOW THEREFORE the said Council in pursuance of the power conferred on them by article 4(1) of the Town and Country Planning (General Permitted Development) (England) Order 2015 hereby direct that the permission granted by article 3 of the said Order shall not apply to development on the said land of the description set out in the Schedule below:

This Direction is made under Article 4(1) of the said Order and in accordance with the Order shall come into force on the 7th day of September 2017

SCHEDULE

Development consisting of a change of use of a building to a use falling within Class C4 (houses in multiple occupation) of the Schedule to the Town and Country Planning (Use Classes) Order 1987 as amended, to accommodate between three and six people, from a use falling within Class C3 (dwelling houses), being development comprised within Class L) of Part 3 of Schedule 2 of the Town and Country Planning (General Permitted Development) (England) Order 2015 and not being development comprised in any other Class.

(Plan of City of Wolverhampton boundary)

1. *To be completed when making the article 4 direction.*

Made under the Common Seal of the City of Wolverhampton Council
this 6th day of September 2016

The Common Seal of the Council was affixed to this Direction in the presence of

.....
Authorised Officer

2. *To be completed when confirming the article 4 direction.*

Confirmed under the Common Seal of the City of Wolverhampton Council
this 6th day of September 2016

The Common Seal of the Council was affixed to this Direction in the presence of

.....
Authorised Officer

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Cabinet Meeting

19 July 2017

Report title	Wolverhampton Looked After Children Sufficiency Strategy 2017 - 2020	
Decision designation	AMBER	
Cabinet member with lead responsibility	Cllr. Val Gibson Children & Young People	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Linda Sanders	
Originating service	People Commissioning	
Accountable employee(s)	Nick Price Tel Email	Commissioning Officer - People 01902 551961 nick.price@wolverhampton.gov.uk
Report to be/has been considered by	People Leadership Team Senior Executive Board	15 May 2017 23 May 2017

Recommendation(s) for action or decision:

That the Cabinet:

Approve the Wolverhampton Looked After Children Sufficiency Strategy 2017-20.

1.0 Purpose

- 1.1 A Sufficiency Duty was placed on local authorities in Section 22G of the Children Act 1989 and this has been reinforced by the Draft Statutory Guidance Securing Sufficient Accommodation for Looked After Children (2009). Section 22G requires local authorities to take all reasonably practicable steps to secure sufficient accommodation for looked-after children under their care who cannot live at home and whose circumstances indicate that it would be in a child's best interest to be accommodated by the local authority. There is a requirement to ensure access to a sufficient range of placements so that, whenever it is in the interests of a looked-after child, they can be placed locally with access to the full range of services and support necessary.
- 1.2 The duty applies to each Local Authority providing children's services and the Sufficiency Strategy sets out what steps have, and will be, taken to secure sufficient services and accommodation to meet the needs of children that it is looking after and children whose circumstances are such that it would be consistent with their welfare for them to be provided with accommodation.
- 1.3 The sufficiency duty, therefore, applies in respect of all children who are Looked After. However, it also applies to Children in Need who are at risk of care or custody (sometimes referred to as children 'on the edge of care'). This acknowledges the importance of taking earlier, preventive action to support children and families so that fewer children become looked after.
- 1.4 Wolverhampton's current three year Sufficiency Strategy comes to an end on 31 March 2017. The attached Sufficiency Strategy document sets out how this duty will be met over the next three years (2017-20).
- 1.5 One of the key ambitions for the Children and Young Peoples Service is for as many children and young people as possible to live and grow up safely at home with their families. However, there is recognition that for some children and young people this will not be possible and where this is the case, the ambition for those who are admitted to the care of the local authority is that they have the best possible life chances, improve their outcomes and reach their full potential.
- 1.6 The Sufficiency Strategy is one of a number of strategies/programmes which support these ambitions and as such it has been developed with reference to those other strategies/programmes (e.g. Corporate Parenting Strategy) so that they are consistent and reinforce and support one another.
- 1.7 The Sufficiency Strategy sets out, and provides information about, Wolverhampton's ambitions for vulnerable children, young people and their families, what the priorities will be over the three year period 2017-20 and what action has and will be taken to address these priorities and achieve the ambitions.

1.8 The Strategy focuses on:

- those children and young people on the edge of care and the need, wherever possible, to prevent them being taken into care.
- those children and young people that do become looked after and ensuring they have the right placement at the right time. Underpinning this is the belief that for most looked after children the best possible chance of their thriving and developing is if they are cared for in a family setting but we recognise that there is a broad spectrum of needs and that for some young people their assessed needs dictate that they are best placed in other settings such as residential homes;
- the need to find permanence for as many looked after children as possible and as early as possible.
- older looked after children and the need to assist the development of their skills, confidence and general resilience which will prepare them for adult life. This places greater emphasis on independent/semi-independent living options.

1.9 The high level strategic priority outcomes set out in the strategy document will be supported by an annual implementation plan which will contain detailed operational performance indicators and targets. Performance monitoring will continue to take place on a quarterly basis with detailed reports and updates presented to Children and Young People Management Team. The implementation plan will identify, and set out actions, relating to specific specialist needs and particular cohorts such as unaccompanied asylum seeker children and disabled children and young people

2.0 Progress

2.1 The new Strategy has been developed with reference to both linked strategic documents/processes (e.g. Corporate Parenting Strategy, People Commissioning Strategy) and lessons learnt from the development and implementation of the current Strategy. It provides a synthesis of existing national and local targets, business plans and broader transformation programmes as well as identifying new areas for development.

2.2 During the previous strategy period (2014-17) there were significant changes in the looked after children population which reached a high point in autumn 2014 (807) and then subsequently experienced a significant reduction (633 at 21 March 2017). The expectation is that the population will be reduced further and this will have implications for the delivery of the Strategy Implementation Plan, for example, there is likely to be a proportionally aging looked after children population and this will place added emphasis on the provision of accommodation and services for older looked after children. Other challenges over the next three years are likely to come from changes in legislation, for example extension of local authorities responsibilities for looked after children beyond their 18 birthday (such as the Staying Put Policy and changes to welfare benefits. have implications for service development and delivery. Any such changes will make it necessary for the Sufficiency Strategy and its Implementation Plan to be regularly

reviewed to ensure its priorities reflect the prevailing needs and ensure it is fit for purpose to meet new challenges.

- 2.3 The recent Ofsted Inspection noted that the new Strategy had appropriately identified the sufficiency priorities for the next three years.

3.0 Financial implications

- 3.1 The breadth of the response to meeting the sufficiency duty impacts across the whole of Children and Young People's Services which has an approved budget of £47.3 million for 2017-18.
- 3.2 Any costs relating to the implementation of the Strategy will be met from within the existing overall budget. [NM/03072017/S]

4.0 Legal implications

- 4.1 The production of the Strategy fulfils the Sufficiency Duty placed on local authorities in Section 22G of the Children Act 1989 which has subsequently been reinforced by the Draft Statutory Guidance Securing Sufficient Accommodation for Looked After Children (2009). [TS/10072017/P]

5.0 Equalities implications

- 5.1 There are no equalities issues to this report as the needs of all looked after children and those on the edge of care are specifically addressed through the existing processes that are in place.

6.0 Environmental implications

- 6.1 There are no direct environmental implications as a result of this report or the implementation of the Sufficiency Strategy over the next three years.

7.0 Human resources implications

- 7.1 There are no specific human resources implications as a result of this report.

8.0 Corporate landlord implications

- 8.1 There are no specific corporate landlord implications arising from this report.

9.0 Schedule of background papers

- 9.1 Sufficiency: Statutory guidance on securing sufficient accommodation for looked after children – DCSF 2010
Wolverhampton Sufficiency Strategy 2014-17

**WOLVERHAMPTON LOOKED AFTER CHILDREN SUFFICIENCY STRATEGY
2017-20**

**Support and Care Strategy for vulnerable children and young people and those
in the care of the local authority**

CONTENTS

1. Introduction/Vision
2. Looked After Children and Young People
3. Keeping families together where it is safe and helping prevent children and young people entering care
4. Care placement options that match the needs of looked after children and improve stability
5. Options for looked after children and young people to achieve permanence.
6. Range and choice of provision for young people who will transition to adult life from care
7. Implementation Plan Priorities

1. Introduction

This new Strategy comes into effect at a time when the Council's Children and Young People's Services have been rated "Good" by Ofsted following their inspection in January 2017. The results of the inspection have underlined the success of the transformation journey that has been undertaken over recent years and the consequent improvement in outcomes for children, young people and their families.

The Inspection Report highlighted that there was clear evidence that the Council is systematically driving improvements in services for children and families. This has been a result of strong and effective corporate leadership linked to a clear sense of vision and purpose, and by focusing on key priorities and using performance management information to monitor and track performance, and deliver better outcomes for children across a range of different areas.

The Inspection Report further noted that good and sustained improvements have been made across the whole range of services for children looked after and highlighted that:

- edge-of-care services are targeted effectively to prevent avoidable family breakdown. As a result, children only become looked after when it is right that they should and come into care in a planned way. Overall the number of children looked after has been significantly reduced without compromising children's safety and most children are living in stable placements.
- permanence planning starts early and that good use is made of adoption to achieve permanence for those children for whom it is the right solution. This includes older children and those with complex needs, regardless of their ethnic identity. The timeliness of legal proceedings, and of matching and placing children with adoptive families, is improving.
- Care leavers receive a good, individualised service, which prepares them well for independence and all care leavers live in suitable accommodation.

The new Strategy forms part of a suite of documents and initiatives which include the Corporate Parenting Strategy, the Children's Services Transformation programme and the action plan we will put in place in responses to the Ofsted inspection recommendations. Collectively these documents set out the City of Wolverhampton Council and its partners' vision for building on this success and our continuing ambition to improve in terms of meeting the needs of all children, young people and their families. This Strategy provides a focus on those children and young people who are on the Children in Need on edge of care, in care or are care leavers.

Vision

The City of Wolverhampton Council (CWC) and its partners have a shared vision of improving the life chances of all children and young people living in Wolverhampton by ensuring that families get the right help, at the right time and in the right place and, as far as possible, keep families together.

Our ambition for the next three years is to:

- Further reduce our overall looked after children population.
- Continue to improve the effectiveness of our approach to early help and meeting the needs of children and young people on the edge of care.
- Have a greater proportion of looked after children in family based settings rather than residential ones.
- Have a greater proportion of all types of placement in, or as close as possible to, Wolverhampton.
- Improve placement stability.
- Wherever possible achieve permanence for looked after children and young people through increased use of Adoption and Special Guardianship.
- Reduce the time that children and young people spend in care before a permanent solution is found.
- Ensure that care leavers are prepared for and make as smooth a transition to adult life as possible, part of this being the development of services for those young people “staying put”.

The Sufficiency Strategy 2017-20 and the accompanying Implementation Plan set out how this ambition will be met by focusing on:

- Strengthening family based early intervention that is timely and effective in keeping families together where it is safe and reasonable to do so and helps prevent children and young people entering care.
- Providing a range of care placement options that match the needs of looked after children and improve stability.
- Providing timely options for looked after children and young people to achieve permanence.
- Providing an increased range and choice of provision for young people who will transition to adult life from care

The principles which underpin our planning and delivery of services in order to achieve our ambition are based on:

- family based care – sustained behaviour change is most likely to occur in the context of the family
- stability and permanence – in order to thrive children and young people need consistency of approach, safety and security
- quality and sufficiency –there needs to be enough provision at the highest possible standard
- partnership and co-production – all stakeholders need to be able to shape and comment on service provision

2. Looked After Children and Young People

The last three years have seen the start of a transformation in Children’s Services and the fruits of this have included a reduction in the overall size of Wolverhampton’s Looked After Children population. At the end of March 2014 the LAC population in Wolverhampton stood at 776. The size of the population continued to rise until the autumn of 2014 when it reached 807. However, since that time it has continued to decline to a point where, at end of March 2017, the population was 643 (17.1% reduction from the start of the 2014-17 Strategy period).

In terms of gender there has been a slight increase in the proportion of males in care rising from 55% to 60%.

There have been significant changes to the overall age profile of the population during this period. The proportion of LAC aged 4 or under has decreased from 29.1% to 19.1%. Whilst the proportion 5 -9 year olds has remained static, those aged 10 years and over has increased from 45.8% to 55.6% with the biggest increase being in the 10-15 year olds (32.1% - 41.5%). This reflects the national trend although nationally the proportion of looked after children aged 10 years and over at 31 March 2016 was 62% compared to 54% in Wolverhampton.

In terms of the ethnicity of looked after children there have been relatively few changes. The most significant changes in representation in the LAC population have been:

Ethnicity category	Changes in % of overall population	Changes in actual numbers
White British	63.5% - 60.1%	490 - 384
Asian/British-Indian	2.6% - 1.9%	20 - 12
Black/British – Caribbean	6.9% - 8.2%	53 - 54
Total LAC population		776 - 643

Over the near future the likely increase in Unaccompanied Asylum Seeker Children (UASC) may have an impact on the make-up of the ethnicity of the looked after children population. This in turn has implications for ensuring that there is an appropriate range of placements available to meet cultural and ethnic needs.

In March 2017 the number of Children in Need per 10,000 children had remained fairly constant compared to May 2014 (230 -227, but the rate per 10,000 children of Child Protection cases had decreased (44 – 30).

Whereas the balance between entries to and exits from care was almost equal in 2014/15, subsequent years have seen a significant reduction in starts and an increase in exits. However in 2016/17 there were 171 starts compared to 187 exits.

The greatest proportion of exits from care between April 2014 and November 2016 were returns home (42%) followed by adoptions (23%).

3. Strengthening family based early intervention that is timely and effective in keeping families together where it is safe and reasonable to do so and helps prevent children and young people entering care.

A primary focus of our approach is to ensure that wherever possible children and young people have the chance to grow up in their family environment. Over the last few years Wolverhampton has continued to develop services which:

- Identify need earlier
- Deliver co-ordinated services which promote family strength and resilience and provide support
- Help secure better outcomes
- Reduce the likelihood of children and young people need to be admitted to care.

In delivering this vision the City of Wolverhampton Children Services prioritises;

- strengthening families where children are at risk
- supporting families in times of need
- targeting effective early help and support to strengthen families, keeping children and young people with their families where it is safe and reasonable to do so
- identifying and protecting children at risk of harm including those at risk of child sexual exploitation
- improving outcomes for families affected by domestic violence by ensuring earlier access to information, advice and support

As part of this development a Specialist Support Service was established in Autumn 2015 to provide support to families on the edge of care. The service aims to keep children at home as well as enabling looked after children to return home from care. To achieve these aims a range of wrap around services are provided which:

- Utilise Family Group Conferences to enable families to find solutions and manage risk with support from the Edge of Care service.
- Address the problem of school exclusion
- Provide mediation to keep families communicating with each other.

- Develop the strength of the family so that they can manage crisis effectively and be the best family unit they can be.
- Respond to Child Sexual Exploitation and children missing from home.
- Provide access to mental health services.
- Offer respite opportunities
- Provide whole family intensive therapeutic support

Access to these services is by a single referral pathway and referrals are only accepted where there is an up to date and relevant assessment of the child's needs, there is a clear risk of child being accommodated and no other service can provide support, and where there is a clear and timed plan with specific actions linked to desired outcomes and a time set for achieving these outcomes and reviewing progress.

Work with families is short term, time limited, intensive and regularly reviewed to ensure that in cases where sufficient progress is not being made, alternative courses of action can be explored and implemented.

Over the next three years we plan to continue to build on the progress already made and in particular to develop improved multi-agency planning and delivery in relation to edge of care cases and ensure that there is an effective multi-disciplinary approach to the edge of care service.

Success in this strand of the Sufficiency Strategy is vitally important to ensuring that the ambition to ensure that children and young people in Wolverhampton have the best outcomes and that the overall LAC population reduces further are realised.

4. Providing a range of care placement options that match the needs of looked after children and improves stability, particularly for children and young people who stay in care for a long period of time

For looked after children, as with the rest of the population, our aim is to ensure that as many as possible have the opportunity to grow and thrive in a family environment and that only in those few cases where it has been assessed that a residential placement would provide the best opportunity to thrive will residential placements be provided. Whatever a looked after child's needs we will ensure that we have access to a wide enough range of placements to meet needs.

For those children and young people who need to be taken into the care of the local authority, the corporate parenting aims of the Council and its partners are:

- To develop policies, initiatives, services and prioritise budgets in order to further the life chances of every child and young person in the local authority's care. This includes improving outcomes, narrowing the gap between LAC and

their peers by providing effective support which enables them to reach their full potential

- To support those young people who are in the care of the local authority when they make the transition to adult life in order to make that transition as smooth as a possible.

Some children and young people's time in the care of the local authority will be short term because they can safely return home or a route to permanency such as adoption is quickly identified. For those young people who do stay in care for a long period of time, we will ensure that we can provide a range of flexible, comprehensive and joined up services to ensure all looked after children have their needs met

Foster Care

At the end of March 2017 79.5% of Wolverhampton's LAC were in foster care placements compared to 75.4% at the end of March 2014. During that time the proportion of LAC in internal and family and friends placements has increased and the use of Independent Fostering Agency placements reduced (49.2% - 38.7%). The proportion of Wolverhampton looked after children who were in foster care is slightly greater than the national position which was 74% in March 2016.

Nationally 62% of foster care placements were within the relevant council boundaries compared to 49% in Wolverhampton at the end of March 2017 In June 2016 there were 389 children on care orders with plans of long term fostering who have been linked and matched.

Despite concerted efforts to increase the number of internal foster carers the long-term trend remains fairly static. In Wolverhampton the internal foster care service has 151 approved foster carers.

Over the last three years there have been changes made to the relationship between the Council and its foster carers including changes to fees and allowances linked to the introduction of a tier system which reflects different levels of responsibility and skills.

Within our ambition to place as many looked after children in family based settings, there is also the desire to increase the proportion of foster care placements with our internal carers. This presents a number of challenges in terms of increasing the overall number of internal foster carers by improving out recruitment and retention of foster carers as well as ensuring that our foster carers are confident and capable of providing care to the whole range of age groups and complexity of need. At present two thirds of foster care placements for looked after children are provided by independent fostering agencies.

Across the whole of the foster care provision we can provide we need to ensure that as many looked after children as possible can benefit from stable family placements that are closer to the city, where children and young people can more easily maintain relationships with family and friends, continue to attend local schools and benefit from other local support services.

In addition we will need foster carer services which can be responsive to changing need such as emergency placements e.g. for young people remanded by the courts and the potential increase in Unaccompanied Asylum Seeking Children (UASC) being placed in the city.

Residential Care

We will continue with our ambition to reduce reliance on residential placements but this is tempered with an understanding that for some young people a residential placement will offer the best match to their needs. We will need to ensure that only those young people who have been assessed as needing a residential placement are actually placed in children's homes and that in these circumstances we have arrangements in place to be able to access a range of placement options that can provide the right support of a high quality.

At the end of March 2014 7.3% of Wolverhampton's looked after children were placed in residential care. This figure had reduced to 5.5% by 31 March 2017.

At the end of March 2014, half of all residential placements were within Wolverhampton, a quarter within 20 miles and a further quarter being further afield. At the end of March 2017 the proportion of residential placements within Wolverhampton's boundaries had decreased to 37%, however, those placed over 20 miles from the city had also decreased to 21.2%. It should be noted that the reduction in residential placements "in-city" is partly explained by the fact that the number of "internal" Council residential beds reduced over the time period from 29 to 3 (a reduction of 90%) as a result of the decommissioning of Council managed services and the termination of block contracts. This change was undertaken in response to a key strategic priority set in the last Sufficiency Strategy, i.e. to reduce reliance on residential placements.

The Council will continue to provide one 3 bed children's home for looked after young people with the most complex needs with services being delivered by an external provider. All other residential placements will be accessed throughout ongoing membership of regional framework agreements and occasionally through spot purchasing.

The processes for monitoring and reviewing the appropriateness of placements in terms of need and how well it is being met have been expanded and strengthened over the last 3 years e.g. introduction of the Resource Panel. As a result there is

increased confidence that residential placements are being provided only for those for whom residential care is the most appropriate option.

5. Providing timely options for looked after children and young people to achieve permanence.

Our aim is to ensure that the right permanence option is achieved for all children and young people, no matter what their age, and family finding commences at the earliest opportunity where appropriate.

Our commitment to helping the appropriate children and young people achieve permanency includes ensuring that:

- it is done in a timely fashion with the aim of at least meeting national standards, permanence plans are rigorously tracked,
- matching practice is effective.
- support is provided to those finding permanence and for as long as it is needed.

The Council's Adoption Team has three elements: Family Finding, Adoption Social Work and Recruitment. The Team provides a range of services including counselling, information, advice and training to help adopters meet the needs of their adoptive children.

Over the last three years further action has been taken to ensure that permanence is considered from the very early stages of a looked after child's time in care. This has included the introduction of a Permanency Panel to provide oversight of all care plans for all children recently admitted to care where there is a possibility that the child may not be returned home and permanency clinics and the further development of concurrent planning and Foster For Adoption. These will continue to be central features of our approach to finding permanence for our LAC. Our aim is to reach a position where **all** children's care plans and **all** prospective adopters consider the suitability of fostering for adoption.

There has also been a continuation of Care Planning Tracking meetings to avoid drift and ensure plans for permanency are pursued in a timely fashion.

There was an increase in the number of looked after children adopted between 2014/15 (51) and 2015/16 (62). Similarly, there has been a marked increase in Special Guardianship Orders granted, rising from 5 in 2008/09 to 24 in 2013/14, a 380% increase.

Going forward there will be a continuing focus on Special Guardianship Orders and Family Arrangement Orders as well as seeking to promote other forms of family based solutions to long term care by the use of family Network Meetings and family Group Conferencing. This will continue to be a key area of work for the Council.

This approach will be further supported by the provision of staff training and mentoring on how to promote and develop permanency and in the short term 6 advance practitioners have been identified to lead on improving the quality of plans and reports.

In terms of recruitment and initial training of adopters Wolverhampton has been an active partner in developing Adoption Black Country (ABC) which is a sub-regional joint venture approach to adoption with the other three Black Country local authorities (Dudley, Sandwell, and Walsall). This collaborative approach to recruiting and training adopters was further enhanced during the last Strategy period by the opportunities provided by the Adoption Reform Grant.

Wolverhampton is taking a leading role in the planning for a new Regional Adoption Agency which is intended will taking sub/regional co-operation on adoption to a new level.

6. Providing an increased range and choice of provision for young people who will transition to adult life from care

Our aim is to work with looked after children and care leavers aged 14-25 years in order to improve their short and long term outcomes by providing a range of services and opportunities which will enable them to make as smooth a transition to adult life as possible.

The emphasis on starting to prepare young people for adult life at an early age allows them to have time to think about their post 18 options and identify what they need to achieve to meet their goal whether is further education, living independently or 'staying put' with their foster carers.

The Council's Looked After Children Transition service has been established for over 4 years and this multi-disciplinary team works in close collaboration with specialists in housing support, education, training and employment to meet young people's needs. Young people themselves are encouraged to actively participate in influencing their own individual plans and the development of the service. In recent times the New Belongings Initiative and the embedding of its principles in future service planning have reinforced this commitment. Recently there have been increases in staff and the number of supported housing units.

Achieving our ambitions for these young people will take place in a challenging environment. For example, whilst the overall LAC population has been significantly reduced in the last few years, the 10+ age group has grown proportionally and in March 2017 it represented 55% of the total looked after children population. Over the last 7 years the number of looked after children aged 16+ has increased by 81% (49 – 89). Over the same period the number of 10-15 year old looked after children increased by 95% (135-263). This is the age group who are most likely to stay in the care system until they reach 18 years old and who will be eligible for support beyond their 18th birthdays.

This level of support beyond 18 has over recent times been increased as a result of more looked after children taking advantage of the improved “Staying Put” arrangements. Looking forward central government policy and proposed legislation, has the potential to further increase the responsibilities on local authorities to provide post 18 support.

For example, The Children and Social Work Bill includes the introduction of a “Care Leavers Covenant” which will require local authorities to consult on and publish a ‘local offer’ to care leavers setting out the services that they will be entitled to and ensuring that all care leavers have access to a personal adviser up to the age of 25 years.

In addition, the introduction of the National Transfer Protocol for Unaccompanied Asylum Seeker Children in July 2016 aims to enable the safe transfer of unaccompanied children from one UK local authority to another. The actual size of the impact that this initiative will have on looked after children services in general and transition services in particular has yet to be fully realised but it will bring new set of challenges both up to and beyond young people’s 18th birthdays in terms of the range of ethnic backgrounds, cultures and languages which will need to be accommodated.

These examples highlight the likely increase in demand for a range of transition and post care services ranging from accommodation to support. As well as increasing demand for services, experience has also shown that young people in care present an increasing complexity of need and this can mean that they find the acquisition of skills and confidence to live independently difficult to acquire. This in turn can increase vulnerability, and adversely impact on life chances in terms of education, and securing and maintaining accommodation.

This reinforces the importance of how we plan for and deliver flexible services that can respond quickly to changing circumstances as they arise. Both Council led services and those of our partners and external providers will need to demonstrate a willingness and commitment to providing both resources and services flexibly.

7. Implementation Plan Priorities

This Strategy will be accompanied by an Implementation Plan which will be reviewed and refreshed on annual basis. This will allow us to define our ambitions and how we will measure progress in a more detailed way, as well as presenting opportunities to adjust our approach in response to changing circumstances.

The table below sets out our broad priorities based on the experience of the last Strategy period, current circumstances and our expectations based on current knowledge. The Ofsted Inspection report noted that the Sufficiency Strategy 2017–2020 clearly sets out the challenges faced and the priorities agreed by children’s social care.

Ref:	Priority	Change that needs to be achieved
1.	To ensure we have access to sufficient appropriate services to support children and young people, especially those on the edge of care, to remain with their family where possible	<p>A high proportion of those children and young people supported by the edge of care services are not admitted to care</p> <p>There are fewer admissions to care</p> <p>A high proportion of LAC with a return home plan that actually return home</p>
2.	To increase the proportion of looked after children and young people placed in family settings and ensure that only those Looked After Children with complex needs who are assessed as needing a residential placement are placed in residential settings.	<p>There is an increased proportion of LAC in foster care placements</p> <p>Only those LAC who have an assessed need for residential care are placed in children’s homes or other residential settings.</p> <p>The cases of all LAC assessed as needing a residential setting are systematically scrutinised</p>
3.	To increase the size of the pool of internal foster carers and ensure that there are placement options for LAC of all ages and levels of complexity.	There is a larger pool of internal foster carers who are willing and able (trained, confident and supported) to meet the full range of assessed needs particularly in relation to health and education needs.
4.	To continue to improve our understanding of which types of need we have not been able to meet through “internal” placements in order to change profile of internal carer population so we have sufficient internal carers to meet need (less reliance on external providers)	<p>An appropriate balance of internal foster carers across the 4 levels is achieved and maintained</p> <p>A high proportion of internal foster carers have completed appropriate training</p>
5.	To achieve permanence for LAC as early as possible	<p>Increased opportunities for LAC to achieve permanence including</p> <ul style="list-style-type: none"> • an increase in the number of early permanence placements.

Ref:	Priority	Change that needs to be achieved
		<ul style="list-style-type: none"> • an increase in LAC to be placed in Family and Friends placements which lead to Special Guardianship Orders or adoption. <p>Timeliness of achieving permanence inc. revocation of care orders is improved and is at least the same as the national average.</p>
6.	To ensure that we have access to sufficient appropriate services, accommodation and types of placement to prevent admission to care and respond positively to increasing and changing needs in the LAC population (especially in terms of older LAC and care leavers up to 18 years of age and beyond)	<p>There is improved placement stability</p> <p>Care leavers feel safe and supported in their accommodation</p> <p>High proportion of care leavers sustain their own tenancies post 18.</p>
7.	To ensure that a Market Position Statement is developed and published as part of a cross Directorate approach to developing closer working relationships with providers (internal & external) in order to improve choice, quality, quantity and availability of services to closely match needs of children and young people on the edge of care and in care.	<p>There is improved provider engagement leading to more flexible and responsive service provision.</p>

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Cabinet Meeting

19 July 2017

Report title	City of Wolverhampton Ethical Homecare Charter	
Cabinet member with lead responsibility	Councillor Sandra Samuels OBE Adults	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Linda Sanders, Strategic Director, People	
Originating service	Commissioning	
Accountable employee(s)	Sarah Smith Tel Email	Head of Commissioning 01902 555318 sarah.smith@wolverhampton.gov.uk
Report to be/has been considered by	PLT	19 June 2017

Recommendation(s) for action or decision:

Cabinet is recommended to:

1. Agree that the Council should continue to work with care providers to implement a City of Wolverhampton Ethical Homecare Charter to reflect the local market.
2. Agree that the Council should adopt the City of Wolverhampton Ethical Homecare Charter including the Wolverhampton Wage for Homecare.

1.0 Background

- 1.1 The Ethical Care Charter was developed by UNISON in 2012, after a nationwide survey of homecare staff. The Charter is attached at appendix 1.
- 1.2 The objective of the charter is to establish a baseline for the “safety, quality and dignity of care”.
- 1.3 It achieves this by recommending employment conditions that facilitate a high-quality service to clients, and ensure the recruitment and retention of a more stable workforce.
- 1.4 To date Wolverhampton has not officially signed up to the Unison Ethical Care Charter but it has embedded many elements of the charter in its commissioning practice. The Council is extremely vigilant in ensuring that carer’s recruitment, pay rates, quality of services and transparency of outcomes are evident in all homecare services.

2.0 Homecare market position

- 2.1 Service specifications are increasingly outcome focussed and include performance indicators which link to the service user and carer experience. The Domiciliary Care Framework commissioned in 2016 was specified with outcomes at its heart.
- 2.2 The current domiciliary care service delivers personal care to people in their own homes. There are currently approximately 1,094 individuals in receipt of this service with an average weekly delivery of 12 hours 30 minutes per person. The service is delivered predominantly to older people but is also available to all younger adults meeting the eligibility criteria.
- 2.3 The existing contracts were retendered and recommissioned in April 2016 and as an integral part of the new framework the Council raised rates to take account of the regulatory National Living Wage.
- 2.4 The tender process awarded framework status to twelve providers covering the city, the rate being applied in 2017-18 is £14.12 per hour across six geographical areas.
- 2.5 Staffing represents approximately 60% of costs for providers of care and is therefore influenced by factors such as the National Living Wage and inflation, and the ability of providers to recruit and retain staff at the hourly rates offered.
- 2.6 The framework rates which were increased effective from April 2017 have enabled:
 - A more sustainable care and support market;
 - The ability to attract higher quality staff;
 - A reduction in staff turnover; and increased retention of care workers;
 - An increase in care worker morale and reliability;
 - Reduced absenteeism;
 - Productivity improvements;
 - Strengthened recruitment opportunities;

- Reputational benefits for the Council and its external sector:
- Care workers paid for travel time;
- More money being spent on local employees and SME's in the local economy.

3.0 Quality Assurance of Providers

- 3.1 The Council has a fully operational Quality Assurance Team which regularly monitors provider's performance. This team was increased by a further two Quality Assurance Officers as part of the new, improved and restructured People Commissioning function.
- 3.2 All strategies, policies, contracts and frameworks are visible and accessible by service users and their carers. The Council produces detailed pro-active monitoring and performance intelligence which includes direct input from service users and carers. This is used to inform and provide feedback to various user led groups.
- 3.3 Service users and carers can provide direct observation and comment on the performance of services to the Council and/or providers through the quality assurance process.

4.0 The National Living Wage in Wolverhampton

- 4.1 The new National Living Wage is intended to recognise the dignity of work and the importance for individuals, families and society of people being able to earn a living.
- 4.2 The new National Living Wage is a compulsory wage floor of £7.50 for workers aged 25 and over, which was introduced in April 2017, expected to rise to £9.00 by 2020.
- 4.3 The Council is required to provide appropriate homecare to meet the statutory requirement and the needs of individual service users.
- 4.4 Following Cabinet authorisation obtained in March 2017, the Council agreed to increase all framework providers' rates to a standardised rate; which ensured providers could meet their increased obligations under the new statutory National Living Wage,

5.0 Engagement with Unison

- 5.1 In order to progress implementation of the Ethical Care Charter, Commissioning have held a series of productive and collaborative meetings with Unison over the past two months.
- 5.2 Implementation of the Charter is recommended in 3 stages and it was acknowledged and agreed by both parties that that there are elements of the steps in each phase that require further development.
- 5.3 It was acknowledged that the signing of the Charter without considering local context, local market conditions and innovations in the sector such as call monitoring may simply

be tokenistic and would not deliver the objectives of the Charter (baselining and improving the safety, quality and dignity of care)

- 5.4 It was agreed with Unison therefore that Wolverhampton would take the phased approach recommended in the Charter but amend specific elements and develop the City of Wolverhampton Ethical Care Charter including the launch of the Wolverhampton Wage for Homecare.

Stage 1, the Council is already fully compliant with the recommendations but suggests that “uniforms” are added to the list of costs in point 3, routinely incurred by care workers and for which they are reimbursed.

Stage 2, Council is already fully compliant with the recommendations excluding point 2. It has been discussed and agreed with Unison that whilst it recognised that in many cases zero hours’ contracts are not an attractive employment route there are also many cases where individuals enjoy the flexibility that zero hours’ contracts can offer. Examples given were students who may work hours during down time available away from studies.

Stage 3, Wolverhampton has always paid commissioned rates that recognise and allow providers to meet their obligations under the Living Wage. It is planned that as part of the future implementation of the Wolverhampton Ethical Care Charter the Council will also launch the “Wolverhampton Wage for Homecare”.

- 5.5 It is planned that the Wolverhampton Wage from Homecare is set using the methodology:
- Providers will always pay care workers a rate that is no less than 110% per of the legally required regulatory Living Wage per hour. In 2017 the regulatory Living Wage is £7.50 per hour. This would therefore be a minimum pay rate of £8.25 per hour.

6.0 Financial implications

- 6.1 Domiciliary care for Older People is funded from the Older People’s Care Purchasing budget which is £17.4 million for 2017/18.
- 6.2 The expected impact of the National Living Wage has been calculated on existing homecare packages. The Medium Term Financial Strategy includes growth to fund the cost of the NLW for all care packages including home care. The total annual growth for 2017-18 and 2018-19 is £1.1 million. It is anticipated that any costs associated with this ethical charter will be contained within this growth. [AS/10072017/W]

7.0 Legal implications

- 7.1 The Councils homecare service is sustainable and fully compliant with the Councils obligations under the Care Act 2014. [TS/10072017/R]

8.0 Equalities implications

8.1 An equalities analysis was undertaken as part of the domiciliary care tender in April 2016.

9.0 Environmental implications

9.1 There are no environmental implications from this proposal.

10.0 Human resources implications

10.1 Wolverhampton has always paid commissioned rates that recognise and allow providers to meet their obligations under the Living Wage. It is planned that as part of the future implementation of the Wolverhampton Ethical Care Charter the Council will also launch the “Wolverhampton Wage for Homecare”.

10.2 Providers will be required to pay care workers a rate that is no less than 110% per of the legally required regulatory Living Wage per hour. In 2017 the regulatory Living Wage is £7.50 per hour. This would therefore be a minimum pay rate of £8.25 per hour.

10.3 There are no human resources implications for the Council.

11.0 Corporate landlord implications

11.1 There are no corporate landlord implications for the Council’s property portfolio.

12.0 Schedule of background papers

12.1 None

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CITY of WOLVERHAMPTON ETHICAL CARE CHARTER

Guidance for the Councils on adopting the charter

Seeking agreements with existing providers

1. Convene a review group with representation from providers, local NHS and UNISON reps to work on a plan for adopting the charter – with an immediate commitment to stage 1 and a plan for adopting stages 2 & 3.
2. Start by securing agreement for a review of all visits which are under 30 minutes. The review will include getting views of the homecare workers and client (and/or their family) on how long their client actually needs for a visit and what their care package should be in line with policy.

Looking for savings

3. Are providers' rostering efficiently – for example are there cases of workers travelling long distances to clients when there are more local workers who could take over these calls?
4. How much is staff turnover costing providers in recruitment and training costs?
5. How much are falls and hospital admissions amongst homecare clients costing the NHS and could some of these be prevented by longer calls and higher quality care?

6. Are there opportunities for economies of scale by providers collaborating around the delivery of training and networking / mentoring for workers?
7. Are there opportunities for collaboration between providers to achieve savings on procurement of mobile phones, uniforms and equipment for workers?

The commissioning process

1. UNISON's evidence along with that of other bodies shows that working conditions are intrinsically bound up with the quality of care.
2. When councils are conducting service reviews and drawing up service improvement plans, the Charter will provide a helpful benchmark for ensuring service quality – whether for an improved in-house service or in relation to externally commissioned services.
3. Where a decision has been taken to commission homecare externally, identify how the elements of the charter will be included as service delivery processes, contract conditions or corporate objectives in the invitation to tender documents. It must explain how these are material to the quality of the service and achieving best value.

Ethical care charter for the commissioning of homecare services

Stage 1

1. The starting point for commissioning of visits will be client need and not minutes or tasks. Workers will have the freedom to provide appropriate care and will be given time to talk to their clients.
2. The time allocated to visits will match the needs of the clients. In general, 15 minute visits will not be used as they undermine the dignity of the clients.
3. Homecare workers will be paid for their travel time, their travel costs and other necessary expenses such as mobile phone and uniforms
4. Visits will be scheduled so that homecare workers are not forced to rush their time with clients or leave their clients early to get to the next one on time.
5. Those homecare workers who are eligible must be paid statutory sick pay.

Stage 2

1. Clients will be allocated the same homecare worker(s) wherever possible.
2. Zero hour contract will not be used in place of permanent contracts, unless requested by workers themselves.
3. Providers will have a clear and accountable procedure for following up staff concerns about their clients' wellbeing

4. All homecare workers will be regularly trained to the necessary standard to provide a good service (at no cost to themselves and in work time).
5. Homecare workers will be given the opportunity to regularly meet co-workers to share best practice and limit their isolation.

Stage 3

1. All homecare workers will be paid at least 110% of the Regulatory Living Wage (as of April 2017 this is currently £7.50 an hour for the whole of the UK "the Wolverhampton Wage for Homecare")
2. All homecare workers will be covered by an occupational sick pay scheme to ensure that staff do not feel pressurised to work when they are ill in order to protect the welfare of their vulnerable clients.

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Cabinet Meeting

19 July 2017

Report title	Approval to Consult on Review of Non-residential Contributions to Adult Social Care	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor Sandra Samuels OBE Adults	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Linda Sanders Strategic Director - People	
Originating service	Adult Social Care	
Accountable employee(s)	Helen Winfield	Head of Service – Community Financial Support
	Tel	01902 553353
	Email	helen.winfield@wolverhampton.gov.uk
Report to be/has been considered by	People Leadership Team	15 May 2017
	Strategic Executive Board	25 May 2017
	Adults Budget Working Group	13 June 2017
	Scrutiny Board	4 July 2017

Recommendation(s) for action or decision:

Cabinet is recommended to:

1. Approve a period of public consultation on the review of the policy for Adult Social Care non-residential contributions towards care and support
2. Agree the proposed model to take forward for public consultation as set out in the report
3. Agree to receive a report on the outcome of public consultation and final proposals for a new policy at Cabinet (Resources) Panel on 14 November 2017
4. Agree to maintain the provision of up to six weeks non-residential reablement support free of charge under the intermediate provisions of the Care Act 2014.

1. Purpose

- 1.1 Approval is sought to undertake a public consultation from 24 July to 15 October 2017 as part of this year's review of non-residential contributions. It is proposed that the Council change from a banded contributions scheme to a system of full financial assessment of individuals in receipt of non-residential Council support under the provisions of the Care Act 2014. The outcome of the consultation with recommendations for the new scheme would be presented to Cabinet (Resources) Panel on 14 November 2017.

2. Background

- 1.1 The City of Wolverhampton (CWC) Council's current Non-residential Banded Contributions scheme is long-standing (since July 1999) and has been reviewed annually with public consultation as part of the review process when there has been an above-inflationary increase in the proposed contribution rates. The current rates were approved by Cabinet Resources Panel in 2015. There was no review in 2016 as relevant working-age social security benefits were frozen.
- 1.2 Prior to the implementation of the Care Act 2014 from April 2015, Section 17 of the Health and Social Services and Social Security Adjudications (HASSASSA) Act 1983 gave councils a discretionary power to charge adult recipients of non-residential services and statutory guidance to Councils was provided by 'Fairer Charging' and 'Fairer Contributions' guidance. The CWC banded contribution scheme, with the option to request a full financial assessment, was fully compliant with these provisions.
- 1.3 Section 14 of the Care Act 2014 and the Care and Support statutory guidance is the current provision giving councils the power to charge individuals for the care and support they receive.
- 1.4 A recent independent review of Wolverhampton's charging scheme concluded that the operation of a banded contributions scheme as opposed to full financial assessment of individuals' resources according to their ability to pay a contribution towards their non-residential care and support, may be open to legal challenge.
- 1.5 It is also recognised that under the current banded contributions scheme, individuals with a higher income who are not in receipt of a means-tested benefit may be contributing significantly less of their overall income than an individual with less income in receipt of a means-tested benefit.
- 1.6 This report was considered as a pre-decision scrutiny item by the Scrutiny Board on the 4 July 2017 and will therefore not be available to call-in once a decision is made by the Executive.

3. Introduction

- 3.1 In response to the Care Act 2014 provisions and the recommendations of the independent review, it is proposed that a new and fairer contributions policy based on assessment of an individual's income and capital is introduced following public consultation. The proposed new contributions policy would be subject to annual review (as has been the practice with the current contributions policy) following the annual review of social security benefit rates by the Departments for Work and Pensions and the Care and Support (Charging and Assessment of Resources) Regulations by the Department of Health.
- 3.2 The proposed charging model will also need to ensure that we are prepared for any future changes to the funding of social care in terms of the individual assessment of income and capital.
- 3.3 Since the implementation of the Care Act 2014, all other local authorities have charging schemes based on individual assessments of income and capital.

4. Care Act considerations and proposals

- 4.1 Under the Care Act 2014, for individuals with capital below the threshold (currently £23,250), non-residential charges must not reduce their income to below a certain amount. This amount is known as the Minimum Income Guarantee (MIG) and is reviewed yearly in April. Income above the MIG is described as a person's 'disposable income' and is considered to be available to make a contribution towards the cost of their care and support.
- 4.2 The Care and Support statutory guidance states that local authorities should consider whether it is appropriate to set a maximum percentage of disposable income (over and above the guaranteed minimum income) which may be taken into account in the financial assessment. It is proposed that a simple and fair way of allowing individuals to keep more of their disposable income is through a combination of an allowance for housing costs not met by Housing Benefit and/or Council Tax Reduction and a disability benefit disregard (see 3.5 and 3.6 below). This would allow a set amount for all individuals whereas a maximum percentage of disposable income would favour those individuals with more income.
- 4.3 Individuals provided with care and support under the Care Act are usually also in receipt of Department for Work and Pensions (DWP) disability benefits (Attendance Allowance/Disability Living Allowance care component/Personal Independence Payment daily living component) from which, in accordance with the guidance, contributions to care and support can be reasonably expected.

- 4.4 The mobility component of Disability Living Allowance (DLA) or Personal Independence Payment (PIP), in accordance with guidance, would be disregarded in the financial assessment.
- 4.5 The guidance recognises that where individuals are in receipt of disability benefits they may also have additional expenditure related to their disability, such as additional heating requirements or laundry, which is not met by the local authority and therefore should be allowed for in the financial assessment.
- 4.6 To minimise the complexity of the financial assessment which determines an individual's contribution, it is proposed to combine some protection of an individual's disposable income with an allowance for disability-related expenditure by disregarding 20% of an individual's disability benefit, with an option for requesting an enhanced financial assessment using actual evidenced expenditure on disability needs to determine any higher allowance. This model, for example, has been implemented by Dudley Metropolitan Borough Council.
- 4.7 The Guidance also states that local authorities should consider whether it is appropriate to set a maximum charge such as a maximum percentage of care home charges in the local area which could help ensure that people are encouraged to remain in their own homes, promoting individual wellbeing and independence. It is proposed that for individuals with capital below the capital threshold, the maximum contribution should be set at the average Personal Budget rate for a residential care home. This means that the contribution would be capped at £394.94, currently per week, Wolverhampton's current fee level for residential care.
- 4.8 The current contributions policy exempts carers from charges. The Guidance suggests that council's recognise that it unlikely to be efficient to charge carers for meeting their eligible needs as this could potentially lead to carers refusing support. It is considered that for those carers who do not have the means to self-fund, charging could lead to carer breakdown and therefore cost the Council more in meeting eligible need for the individual. However, based upon the principle of care and support provision being based upon the ability to contribute, it is proposed that eligibility for carer support should have a ceiling set at the self-funding capital threshold (currently £23,250).
- 4.9 The Care Act requires that individuals with Creutzfeldt-Jacob Disease (CJD) are exempt from charges. The Care Act also requires intermediate care of up to six weeks to be exempt from charge.
- 4.10 Where a person's resources are above the financial limit (and they would therefore be a self-funder paying the full cost of care and support themselves) there is a right, under the Care Act, for them to request local authority support in making arrangements to meet their needs. The Guidance states that it may be appropriate for local authorities to charge

a flat rate fee for arranging care but this must be set at a level which does not exceed the costs the local authority actually incurs. The current contributions policy is to charge a one-off fee of £150 in these circumstances. However, this amount does not take into account the cost to the Council of maintaining and reviewing support over subsequent years and therefore it is proposed that in the new scheme an initial charge of £150 is made with a yearly charge of £75 thereafter.

5. Key considerations for a revised contributions policy

- 5.1 Following consultation by the Department for Work and Pensions (DWP), there was a programme to develop local authority access to the DWP Customer Information System (CIS) to allow verification of individuals' benefits information for financial assessment purposes. The Council's Financial Assessments Service has recently secured access to the system and is in the process of implementing the software provided.
- 4.2 This increased availability of DWP information provides an opportunity to undertake a more detailed financial assessment for those individuals in receipt of DWP means-tested benefits (currently in Bands A to E) without it impacting considerably on the resource required to undertake the assessment.
- 4.3 For those cases where individuals who are not in receipt of a means-tested benefit as they receive higher income than (currently in Bands F to H) a full financial assessment will determine a contribution that is appropriate for their individual income. Whilst a full assessment in these cases will be more resource intensive there are far fewer in number and would be managed within existing resources.
- 4.4 The financial assessment guidance for non-residential care and support states that disability-related expenditure (DRE) should be taken into account when a full financial assessment is undertaken which includes disability benefits. A review of other local authority's contributions policies and information provided by the independent review has highlighted that many authorities set standard levels of disability-related expenditure applied to each assessment with the option of a more detailed/enhanced assessment of disability-related expenditure if requested; an approach which would be built into our implementation process.
- 4.5 Clearly this proposal is a significant change of approach but it will bring the Council into line with the approach of other local authorities and will be based on an assessment of individuals' circumstances and their ability to contribute to the care and support provided by the Council.

5. Proposal summary and impact

- 6.1 It is proposed that a public consultation to implement a contributions policy for those in receipt of non-residential care, based on the full assessment of each individual's income

is commenced. Service user's contributions to non-residential adult social care and support would reflect their disposable income (less a protected amount for housing costs) with a standard allowance for disability-related expenditure (DRE) applied and with the option of actual DRE being considered upon request.

- 6.2 To cap individuals' contribution to non-residential care and support, where their capital is below the threshold, at the average Personal Budget rate for a residential care home.
- 6.3 To charge individuals with resources above the financial limit where they request support from the Council in meeting their needs at the rate of an initial charge of £150 with a yearly charge of £75 thereafter.
- 6.4 To apply the capital limit (currently £23,250) above which individuals are required to self-fund, equally to carers.
- 6.5 To utilize the DWP system to identify benefits in payment to the individual to ensure a structured and improved implementation process.
- 6.6 To introduce a policy which is Care Act compliant, consistent with approaches used in other local authorities and adheres to the Personalisation Agenda by focusing on the individual and their individual income and capital when undertaking a financial assessment.
- 6.7 As the proposal is to introduce a full financial assessment of each individual's resources, the amount of the actual contribution will depend on the outcome of the individual financial assessment. For those individuals where we know the level of income because means-tested benefits are in payment – about 70% of the total number in receipt of non-residential care and support as at 9 May 2017 – an estimate of the likely effect can be provided (subject to varying amounts allowed for housing costs).
- 6.8 Under the proposal, for those individuals in receipt of a means-tested benefit there is likely to be:
 - 7% paying no contribution
 - 34% ranging from between having a £1.50 reduction to paying a £2.50 increase in contributions per week
 - 44% ranging from between paying a £3.40 to a £9.60 increase in contributions per week
 - 15% ranging from between paying a £10.50 to a £14.60 increase in contributions per week

Note: There are a range of increases as there are differences between the amounts of means-tested benefits. Employment and Support Allowance income is about £4.00 more than Income Support per week and Pension Credit is about £17 per week more with pensioners also having a higher set Minimum Income Guarantee set by the Department of Health.

- 6.9 Some individuals not in receipt of means-tested benefits may be more significantly affected by the proposals but their contribution to the cost of the care and support

received would still be determined by a full financial assessment based on their individual income and ability to pay.

6.10 Some case study examples are provided at **Appendix 1** to illustrate the potential impact of the proposals.

7.0 Financial implications

7.1 In 2016-17 the current banded policy generated in the region of £4.1 million in contributions towards the cost of non-residential care and support.

7.2 It is not able to quantify the total level of income that will be received as a result of this policy change as the actual contribution will depend on the outcome of the individual financial assessments. However, it is not expected that the new policy will have an adverse effect on the Council. [AS/25052017/Y]

8.0 Legal implications

8.1 The legal implications are contained within the body of the report. The proposals are fully compliant with the Care Act 2014 and the Care and Support statutory guidance (as updated 24 February 2017). [BS/26062017/R]

9.0 Equalities implications

9.1 An Equality Analysis has been undertaken which shows an adverse impact of these proposals on disabled people. This is to be expected as disabled people with eligible needs are the customer base for non-residential care and support under the Care Act 2014. However, the proposed contributions scheme is an equitable system in line with Care Act 2014 requirements and will achieve fairness across all age groups based on an assessment of individuals' circumstances and their ability to contribute to the care and support provided by the Council. The means employed to achieve the aims of the proposed policy are proportionate, necessary and appropriate.

10.0 Environmental implications

10.1 There are no environmental implications.

11.0 Human resources implications

11.1 There are no direct Human Resources implications.

12.0 Corporate landlord implications

12.1 There are no Corporate Landlord implications.

13.0 Schedule of background papers

13.1 None

Case Study Examples

Olive (Aged 59):

Olive suffered a stroke which has left her with difficulty mobilising and short-term memory problems. She is a home owner living with her adult son in the community. Olive receives 5 hours of personal care during the day each week at £14.12 per hour and she has Telecare at £9.00 per week – **a total cost of £79.60 per week for her care and support package.**

Olive has savings of £15,000 and an income of £276.65 per week (£109.65 Contributory Employment and Support Allowance plus £83.90 Occupational pension plus £83.10 enhanced rate Personal Independence Payment for daily living). She receives a Council Tax Reduction but is required to pay £17.02 per week towards her Council Tax which will be allowed for in the financial assessment

Olive would be **expected to contribute £67.11 per week (£1.50 more than her current contribution)** towards the cost of her care, leaving £209.54 per week for her to live on.

Note: As Olive has £750 savings above the lower threshold, a further £3.00 per week is added to her income in the financial assessment. If Olive had £23,250 or more in savings/capital then she would be expected to pay the full £79.60 per week cost of her care. Although Olive owns her own home the value of his property is not taken into account when assessing her savings/capital because this is where she is living.

Kishan (Aged 25):

Kishan has a learning disability. When his mother passed away he moved to live in a Wolverhampton homes flat in the community. He receives 7 hours of personal care per week at £14.12 per hour and 3 hours of outreach support at £13.00 per hour by way of an Individual Service Fund. **His total care and support package costs £123.00 per week.**

Kishan has an **income of £236.15 per week** (£180.50 Employment & Support Allowance including an amount for severe disability as he lives on his own, plus £55.65, standard rate Personal Independence Payment for daily living). He also receives Housing Benefit and a Council Tax Reduction but he has to pay £4.67 per week towards his Council Tax which will be allowed for in the financial assessment.

Kishan would be **expected to contribute £68.90 per week (£3.29 more than his current contribution)** to his care and support, leaving £167.25 per week for him to live on.

Albert (Aged 71):

Albert suffers with dementia and is physically frail. He lives in on his own in a privately rented house in the community. Albert receives 10.5 hours of personal care during the day each week at £14.12 per hour and he has Telecare at £9.00 per week – **a total cost of £157.26 per week for his care and support package.**

Albert has savings of £10,000 and an **income of £304.90 per week** (£221.80 State Retirement Pension/Pension Credit including an amount for severe disability as he lives on his own, plus £83.10 higher rate Attendance Allowance). He also receives Housing Benefit and a Council Tax Reduction.

Albert would be **expected to contribute £71.83 per week (£6.22 more than his current contribution)** towards his care, leaving £233.07 per week for him to live on.

Note: Albert's savings are disregarded as they are below the £14,250 lower threshold.

Financial Assessment Calculation: Income (including Disability Benefits*) + tariff income from capital over £14,250 minus **Minimum Income Guarantee** (as set by the Department of Health) = **Disposable Income**; minus **housing allowance** for costs not met by Housing Benefit/Council Tax Reduction; minus difference between lower and higher disability benefit where no night-time needs being met and minus **20% of Disability Benefits*** = **Contribution to costs of non-residential care and support.**

* Attendance Allowance/Disability Living Allowance care component/Personal Independence Payment daily living component

Cabinet Meeting

19 July 2017

Report title	Creation of a Regional Adoption Agency – Adoption@Heart	
Decision designation	AMBER	
Cabinet member with lead responsibility	Councillor Val Gibson Children and Young People	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Linda Sanders, Strategic Director People	
Originating service	Children and Young People	
Accountable employee(s)	Emma Bennett Tel 01902 551449 Email emma.bennett@wolverhampton.gov.uk	Service Director, C&YP
Report to be/has been considered by	PLT Strategic Executive Board	19 June 2017 4 July 2017

Recommendation(s) for action or decision:

The Cabinet is recommended to:

1. Approve proposals for the establishment of the Adoption@Heart Regional Adoption Agency (RAA) as outlined in this report.
2. Agree that the RAA is established as a Local Authority Trading Company (LATC), an organisation wholly owned by the participating local authorities
3. Further agree that such a company be constituted as a Community Interest Company (CIC) and a Company Limited by Shares (CLS).
4. Agree to consider a further report in October 2017 that presents finalised details of the LATC for approval.

1.0 Purpose of report

- 1.1 This report presents the proposal to create a new Regional Adoption Agency (RAA) to be named *Adoption@Heart* by combining the adoption services for the local authority areas of Dudley MBC, Sandwell MBC, Walsall MBC and City of Wolverhampton Council. It shows how establishing a single agency will allow the four authorities to achieve a more efficient and effective use of resources and improve outcomes for children, adopters and others gaining from adoption services.
- 1.2 The purpose in requesting approval at this stage is to secure agreement that the RAA is established as a Local Authority Trading Company (LATC), constituted as a Community Interest Company (CIC) and a Company Limited by Shares (CLS).

2.0. Background

2.1 Government requirements

- 2.1.1 The development of Regional Adoption Agencies (RAA) is part of the national regionalising adoption programme. The government set out their proposals to move to Regional Adoption Agencies by 2020 in '*Regionalising Adoption*' (July 2015), and invited expressions of interest from local partnerships to become 'early adopters'. That paper set out three aims for RAAs:

- To speed up matching and improve the life chances of neglected children
- To improve adopter recruitment and adoption support
- To reduce costs (through quicker placements for looked after children)

- 2.1.2 Government plans were further developed in 'Adoption; A Vision for Change' (March 2016). The Department for Education (DfE) expect to see Voluntary Adoption Agencies and Adoption Support Agencies (collectively referred to as VAs) actively included in both the co-design and delivery of RAAs.

2.2 The Local Response

- 2.2.1 The four Black Country authorities, Dudley, Sandwell, Walsall and Wolverhampton, working with VA Adoption Focus, and at the time Shropshire and Telford & Wrekin local authorities, responded in September 2015 to DfE's call for expressions of interest to become 'early adopters'. DfE agreed funding to begin in November 2015.
- 2.2.2 There are a number of advantages to becoming an early adopter of the programme. In particular, since DfE have said that they expect all local authorities (LAs) to deliver their adoption services through an RAA by 2020, a proactive approach enables LAs to design a new agency themselves, ensuring that local needs are addressed and improved outcomes for local children are achieved at the earliest opportunity. In addition, the LAs are active players in the changing national adoption landscape and have secured DfE funding to cover the costs of setting up the new agency.

2.2.3 Shropshire and Telford & Wrekin were actively engaged in the project until February 2017, when they concluded that being part of the RAA was not in their best interests due to funding concerns and uncertainty about the benefits for their rather different child population profile compared with that of the four Black Country authorities.

2.2.4 Sandwell Council is in principle committed to the development and implementation of a regional Adoption Agency covering the four Black Country Authorities of Dudley, Sandwell, Walsall and Wolverhampton. The details of this still need to be resolved. The formal adoption of this approach will need to be confirmed by the newly created Sandwell Children's Trust which will become operational in the latter part of 2017.

2.2.5 The four Black Country agencies have a long history of working together and have jointly operated a single 'front door' for prospective adopters via ***Adoption in the Black Country*** (ABC) since 2002. The ABC partnership has provided a solid foundation for this work, and historically has been recognised by external regulation as an area of good practice.

2.3 **Benefits of a Regional Adoption Agency**

2.3.1 The design of the RAA will be led by a commitment both to excellent and innovative practice, and value for money. A number of benefits are anticipated, both because of the opportunities for total re-design of the service, and because of its larger scale:

2.3.2 **Anticipated Benefits - Efficiencies**

- Reduction in LA expenditure on fostering placements (and practitioner time)
- Unit cost reduction of adopter recruitment, family finding and support services
- Decreased use of inter- agency placements
- More children identified for adoption through improved permanence planning.

2.3.3 **Anticipated Benefits – Quality of Practice and Outcomes**

- Improved permanence planning for children
- Increased placement choice from a larger pool of adopters
- Reduction of placement days from children entering care to being placed with their adoptive family
- Fewer children for whom the permanence plan changes away from adoption
- A wider range of support services for adoptive families, promoting stability and reducing disruption
- More adopters approved and swifter matching of adopters with children.

2.4 **Project management and governance approach to establish the RAA**

2.4.1 Substantial work has been undertaken since November 2015 to implement the new RAA which is planned to go live by July 2018. Funding of £275,000

has been claimed to 31 March 2017 from the DfE to support the project including project management, and independent specialist legal, financial and technical advice. The project is required to provide progress reports to the DfE, and subsequent phases of funding are contingent upon satisfactory progress.

- 2.4.2 Project organisation and governance arrangements are well established. The project is led by the City of Wolverhampton Council and the overall project sponsor is Dudley's Strategic Director for People. A Project Manager is in place with responsibility for managing the project and the project management approach includes processes for risk management. There is active consultation with stakeholders including council elected members, adopters, and staff as proposals develop. A stakeholder engagement strategy is in place. VAs are actively involved, in line with DfE expectations. A Partnership protocol, setting out the agreed ways of working together, is in place. The project governance structure is presented in Appendix 1.

3.0 Progress and delivery vehicle options appraisal

3.1 Design of the new service and operating model

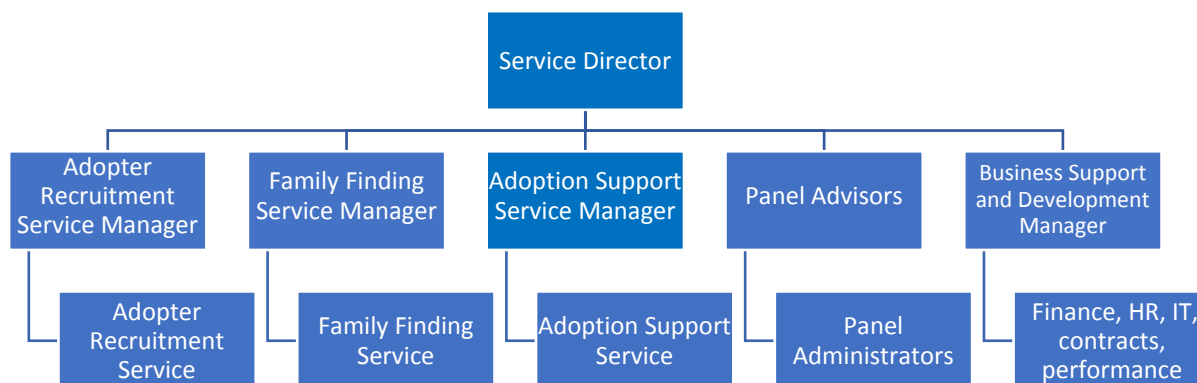
- 3.1.1 The development of the RAA provides the opportunity to design a new service from top to bottom, and a whole range of new and innovative practice will enable the efficiencies and improvements outlined in 2.3 to be delivered. The RAA will deliver the following services:

- Support and challenge to child care teams in assessing children's needs and early identification of children for whom an adoption plan is suitable
- Early Permanence Placements
- Child preparation and life story work
- Recruitment and approval of adopters including Panel and ADM decision
- Purchase and sale of inter-agency placements to achieve the best match
- Family finding and matching
- Matching Panel and Agency Decision Maker (ADM) decision on matches
- Pre and post approval support for adoptive families
- Birth Family support including Letterbox
- Support for adopted adults – access to records and counselling
- A non agency adoption service

- 3.1.2 The service specification will set out the related responsibilities which will remain with the LAs (primarily those relating to the children) to ensure that the whole system works effectively. A detailed list of respective responsibilities is presented in Appendix 2.

- 3.1.3 A 'Hub & Spoke' model is planned with a central hub helping to build the identity and culture of Adoption@Heart, whilst maintaining a local and accessible presence via 'spokes', keeping staff and service user travel time to a minimum. Practitioners will be equipped to work flexibly, making use of 'hot desk' arrangements in local authority office bases. The high level structure for

the RAA is shown below.



The organisational design of the RAA is shown in Appendix 3.

3.2 Required productivity of RAA to meet local need for adoption services

3.2.1 Modelling has been undertaken to determine the likely numbers of adoptive placements required from the RAA each year, based on 2015-2016 and 2016-2017 data.

- Just under 140 children were placed for adoption by the four LAs in each year.
- A high proportion of placements were provided by another agency, thus incurring an inter-agency fee: 36.5% in 2015-2016, and 59% in 2016-2017. This is likely to be linked to usage of the DfE Inter Agency Fee grant (now ended).
- This has informed the productivity projections and assumptions for the RAA:
- A modest increase in the number of placements during the first three years, then becoming stable. This is in line with the anticipated requirements of the four LAs.
- A gradually reducing proportion of placements incurring the Inter-Agency fee, stabilising at 20% from year three to ensure effective matching for every child.
- A modest increase in the number of placements found for children from other LAs (and so generating an Inter-Agency fee as income for the RAA).

	2018-2019 (Year 1)		2019-2020 (Year 2)		2020-2021 (Year 3 onwards)	
Total children to be placed for adoption	150		155		160	
Placed by RAA	105	70%	116	75%	128	80%
Placements provided by another agency*	45	30%	39	25%	32	20%
Placements found for other children (income)	15		15		16	
Total placements 'made' by RAA	120		131		144	

*Combination of RAAs, LAs and VAAs

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3.3 Arrangements with Voluntary Adoption Agencies

3.3.1 VAs will be involved in the co-design and delivery of the RAA, both as sub-contracted providers of identified services, and as contributors to the RAA's strategic direction through a non voting role on the RAA Board. The RAA will procure a VA consortium to achieve this. In addition, we are working through the West Midlands Regional Adoption Board to establish a Regional Permanence Hub which will include a supplier framework from which providers of specialist adoption support can be accessed on a spot purchase basis to meet family need.

3.4 Proposed delivery vehicle for the RAA and options appraisal

3.4.1 The RAA Project Board has undertaken an options appraisal of a range of possible delivery vehicles for the RAA. The models that have been considered are:

- Model One - A single LA hosting on behalf of the other LAs
- Model Two - A Local Authority Trading Company (LATC) wholly owned by the LAs
- Model Three - A Joint Venture between the LAs and VAs – creating a new VA
- Model Four - Outsourcing service delivery to an existing VA

3.4.2 Independent legal advice was obtained and presented to Directors for Children's Services (DCSs), Project Board members and local authority legal officers. A comparison of the likely running costs of Models One and Two was also considered. This showed very little difference between the two models, with the only material difference being that the LATC model is likely to be subject to irrecoverable VAT on the purchase of non-welfare items (see section four). The table below presents a summary of the options appraisal.

	Model One	Model Two	Model Three	Model Four
Ownership, governance and features	<ul style="list-style-type: none"> • One LA delivers the RAA on behalf of the other three LAs who do not have any ownership of the RAA. Control would be exercised through contracts between the LAs and they could share strategic decisions about service design and improvement, investment and savings. • VAs could be co-opted in, but would not hold a governance role. • Back office likely to be delivered by host LA's corporate services 	<ul style="list-style-type: none"> • The RAA is established as a separate legal entity, with 100% ownership by the LAs. Each LA would be a member of the RAA and appoint a board member. They would have equal ownership, offering balanced control between LAs, compared to Model One. • VAs can be represented as Non Executive Directors. • Back office likely to be directly delivered by RAA; delivery needs to ensure minimum VAT liability 	<ul style="list-style-type: none"> • The RAA is established as a separate legal entity from the LAs, with ownership shared between the LAs and VA(s). • The RAA would be accountable to all owners. It would be possible to use the division of voting rights to determine the influence of different LAs or VAs. • The RAA would have regulatory scrutiny from either the Charity Commission or the CIC Regulator. 	<ul style="list-style-type: none"> • The entire RAA is outsourced to an existing VA for them to deliver on behalf of the LAs via a procurement exercise. LAs would not own the RAA but would monitor the contract through a Joint Commissioning Board.
Benefits	<ul style="list-style-type: none"> • Implementation: Easier to implement as utilising existing infrastructure so lower service risk during transition. • Procurement: simple contractual arrangement between the LAs and the LA carrying out the RAA function. • Running costs: as for an LATC except that LAs are VAT registered so can recover VAT on non-welfare purchases 	<ul style="list-style-type: none"> • Scrutiny and accountability by LAs would be equal. • Stability and sustainability: Equal LA ownership means greater stability and shared risk. Greater potential to access charitable grants and social investment, especially through VAA partners. • Flexibility: More flexible as separate legal entity; mechanisms can allow LAs to join or leave; LATC could be used for other purposes later. • Implementation: Greater opportunity to re-design 	<ul style="list-style-type: none"> • Stability and sustainability: All key stakeholders have a level of ownership with potential for a balanced structure and shared risk. • Flexibility: More flexible as a separate legal entity with a broad spread of ownership. • Greater ability to raise finance and a charity structure might offer greater opportunities for grant funding. 	<ul style="list-style-type: none"> • VAAs have strong track record in this area • An existing VAA is a charity, and has an existing Board of Trustees.

	Model One	Model Two	Model Three	Model Four
		<p>processes and structures to improve quality and outcomes.</p> <ul style="list-style-type: none"> • Procurement: No procurement would be required as the Teckal exemption allows LAs to contract with a body they own and control. 		
Risks	<ul style="list-style-type: none"> • Scrutiny and accountability: unequal role in governance between the LAs would need to be addressed through contractual agreements. • Stability and sustainability: Risks will need to be fairly allocated across LAs. Non-host LAs may feel less participation and commitment. Service is subject to priorities of host LA, which may create risks. • No opportunity to access social investment. • Flexibility: Difficult for RAA to run independently of the host LA in the event of difficulties; less scope for RAA to adapt its range of activities. • Limited potential for innovation; more likely to adopt processes of host rather than best practice of all partners and beyond. • Staffing: Host LA takes on the staff, LGPS obligations and statutory responsibilities. Alignment of pay scales more 	<ul style="list-style-type: none"> • Running costs: As for the hosted model except the LATC will not be VAT registered and so be unable to recover VAT on the purchase of non-welfare items, although a national change to these rules is being sought • Staffing: Uncertainty about Terms & Conditions could create risks in recruiting social workers compared with an LA hosted model. • Implementation: More complex transition than LA hosted model. 	<ul style="list-style-type: none"> • Implementation: more complex and costly to establish and operate. • The due diligence and transfer process will be a significant and resource intensive process. • Setting up the RAA as a charity will take longer and be more complicated than for a CIC. • The Teckal consideration would not apply as this structure would not be wholly owned by LAs. • The potential charitable advantages of this vehicle could be realised instead through partnership with VAs. • The VAs involved in the project did not wish to participate in this option. They wish to be involved in co-delivery and design of the RAA, whilst retaining the ability to deliver services in their own right. They perceive that model 2 better defines the relationship between the VAs with the RAA. • Other RAA projects are not adopting this model. 	<ul style="list-style-type: none"> • Unlikely to be as cost effective as other options • Less flexible • Transfer issues more complex • Less favourable in terms of likelihood of achieving the desired outcomes. • Less control and influence by the LAs. • Staff in LAs may be nervous about moving to the voluntary sector • Other RAA projects are not adopting this model.

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	Model One	Model Two	Model Three	Model Four
	challenging as benchmarked to each LA's pay scales.			

3.4.3 In the light of this assessment, the recommendation is that the RAA is developed as an LATC. This option holds the following advantages and opportunities:

- A joint venture creates a new entity which offers a neutral platform, affords all participating authorities equal status within the arrangements and avoids the perception of control which the required role of a "lead authority" can create.
- The structure allows governance arrangements to be straightforward with all LAs represented on the Board of Directors, and VAs in a Non Executive Director role.
- It will be easier to establish a new identity and brand distinct from the local authorities, providing a better platform to engage adopters, build trust and innovate while maintaining effective connections with LA children services teams.
- Greater flexibility outside of the regulation of local government offers opportunities for innovation, growth and transformation of adoption delivery.
- A separate entity enables the development of a culture and practice that focuses purely around adoption and the needs of children and adopters.
- The creation of a new company owned by the local authorities offers future opportunities for further shared service delivery.

3.5 The legal form of the new company

3.5.1 If the recommendation of an LATC is accepted, a legal form for the new company needs to be further agreed. An appraisal of the options (in terms of branding and identity, tax reliefs, use of surpluses and profits, liability and regulation), has concluded that one of the following legal forms will be the most appropriate:

- a community interest company (limited by guarantee);
- a community interest company (limited by shares);

3.5.2 Other legal forms have been ruled out because they will not enable two key factors:

- the RAA needs not only to operate for social impact, but also for its structure and branding to make this clear to the outside world. A legal form with an asset lock will be best to achieve this.
- the RAA needs to be a "body corporate that is not carried on for profit" in order for the LAs to delegate relevant care functions as the child's corporate parent.

3.5.6 The table below shows the other legal forms rejected, with the reasons:

	Reasons
A charity	A company wholly owned by the LAs cannot register as a charity.
A company limited by shares	Although it is possible to build in an asset lock to a simple CLS, a CLS would not project the same message as the CIC label.
A charitable incorporated organisation	A company wholly owned by the LAs cannot register as a charity. Some legislation relating to LAs does not recognise CIOs as a suitable corporate form.

A limited liability partnership	These do not have an asset lock, which could be of concern to investors. The advantage of LLPs, that they are tax transparent, would not be a key consideration as the purpose of the RAA will be to deliver social impact. LLPs are also not eligible for social investment tax relief.
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3.6 Rationale for forming the RAA as a Community Interest Company (CIC)

3.6.1 CICs are a popular form of company specifically designed for social enterprise – sometimes called a ‘wrapper’. They have a positive reputation as self-sustaining organisations that exist to benefit the wider community. Key features of a CIC:

- The company must carry out activities for the benefit of the community
- CIC makes clear the company is not profit making and has a clear social purpose
- There is an asset lock
- It may be possible to attract some business rate relief
- A CIC has the ability to carry out its own trading activities
- There are lower levels of regulatory oversight allowing greater flexibility.

3.6.2 A CIC can be either limited by shares or by guarantee.

- With a company limited by guarantee, each member guarantees a sum to be put towards the company’s finances if it is wound up. The company cannot issue shares, nor pay dividends to its members.
- With a company limited by shares, shareholders each hold shares in the company and liability is limited to the amount unpaid on shares they hold.

3.6.3 Key advantages of a CIC CLS here are the ability to:

- pay some financial returns to LA members, if affordable, providing they have invested capital in the entity (in cash or in the form of asset transfers).
- raise third party capital (social investment) due to ability to issue shares.
- create different economic interests for stakeholders if needed.

3.6.4 In the light of the assessment above, the recommendation is that the legal form of the LATC is a Community Interest Company Limited by Shares (CIC CLS).

3.7 Proposed governance and accountability of the Regional Adoption Agency

3.7.1 The RAA will be wholly owned by the participating LAs, with each LA having an equal share of ownership (25% each). They would be the Members of the organisation and would enter into a Members’ Agreement. The anticipated governance arrangements of the RAA, via a Board of Directors, can be viewed in Appendix 4.

3.7.2 Day-to-day operational decisions will be taken by the RAA and strategic decisions referred to the Board of Directors which will be accountable for running the RAA.

3.8 The RAA Board of Directors

- LAs will have full ownership of the strategic direction of the RAA. To ensure this, each will have a Non Executive Director place on the Board of Directors, and will be the only members with voting rights. LA officers acting as directors will be offered training and support to carry out their duties effectively and in a way that promotes the success of the RAA for the benefit of its members as a whole.
- The Adoption@Heart Service Director will be an Executive Director on the RAA Board (with no voting rights). They will advise and be held to account by the Board. Other RAA managers can be invited to attend as required.
- The VA consortium will be offered a place on the Board in the capacity of Non Executive Director (non voting member).
- A further Non-Executive Director with valued expertise could be appointed if it becomes clear that there are knowledge or skills gaps on the Board as a whole.
- All directors would be duty bound to act in the best interests of the company. Where conflicts arise, a declaration of interest protocol will be followed.

3.9 Stakeholder influence

3.9.1 Mechanisms to enable key stakeholders to influence the RAA will be established:

- An Adopter Advisory group with an ability both to send papers up to the Board, and be tasked by the Board to give advice or attend board meetings.
- A mechanism for the child's voice (adoptees) to engage with and contribute to the Board will be developed.
- A staff forum to contribute staff views to the Board will also be considered.

3.10 Relationship with the LA Joint Commissioning Board

3.10.1 In addition to sitting on the RAA's Board of Directors, the participating authorities will need to hold a commissioning relationship with the RAA. A Joint Commissioning Board, consisting of representation from each of the local authorities will be formed for this purpose, governed by an agreement between the commissioning authorities. It will be important to ensure there is an "ethical wall" between the Joint Commissioning Board and the RAA Board of Directors and that membership is different and appropriate to the respective roles of each Board. This will enable all members to act in the best interests of the function they are representing.

3.10.2 A Commissioning Agreement will then be entered into between the participating authorities and the RAA. The Joint Commissioning Board will monitor the delivery of this and the performance of the RAA. A Performance Monitoring Framework is being developed to monitor the performance of the

RAA against the agreed contract. Other agreements will also be required, in particular around information sharing, both between the LAs and with the RAA in line with Data Protection and security.

4.0 Financial implications

4.1 Set up and project costs

- 4.1.1 The costs of setting up the RAA are being funded by the Department for Education (DfE) as part of the support available to early adopters of the programme. It is not anticipated that any set up costs will be payable by the LAs although DfE are not able to cover the costs of marketing the new agency.
- 4.1.2 For Phase One of the RAA the DfE awarded £100,000 of which £57,000 was claimed in relation to this phase.
- 4.1.3 For Phase Two of the RAA the DfE awarded an initial allocation for April to May 2016 of £54,000 of which £45,000 was claimed. A further allocation from DfE was awarded of £100,000 for the period June to October 2016, of which £79,000 was claimed during the period.
- 4.1.4 A further provisional allocation of £848,000 was awarded by DfE for the period November 2016 through to the project end date of June 2018. To date £94,000 has been claimed for the period November 2016 through to 31 March 2017.

4.2 Developing the RAA Financial Model and Budget

- 4.2.1 A five year budget for the RAA is under development, using a base budget approach and taking account of the required productivity to achieve the outcomes required. The budget will reflect some incremental increases in productivity and an inbuilt inflationary increase which will be accommodated by the RAA.
- 4.2.2 A cashflow forecast will be developed as part of the financial modelling which will inform both the timing of payments by the LAs to the RAA and the working capital requirements of the RAA. The level of working capital required and terms under which it may be accessed will be fully identified in the detailed business case, along with a recommendation about how it will be provided. Working capital is not considered by DfE to be part of the set up costs of the RAA and so will not be provided by them.

4.3 Delivering Efficiencies

- 4.3.1 It is anticipated that there will be some efficiencies over the medium to long term arising from bringing the adoption services together into one agency. In particular, the strategy to reduce the historically high spend on interagency placement fees is a key part of the approach to achieving efficiencies. Savings are also anticipated through reduced LAC placement costs as children are placed for adoption more quickly.

4.4 VAT Implications of an LATC model

4.4.1 Tax advice has identified that if the RAA were to be a separate legal entity from the LAs, the nature of its supplies and contracts with the local authorities would determine the VAT liability. HMRC see adoption agencies as providing solely VAT exempt 'care and welfare' activities. There are two consequences of this exemption:

- The RAA will not be required to charge VAT to the participating authorities in respect of the welfare services it provides.
- The RAA may not be able to recover the VAT it incurs in procuring support services from third parties. Examples here include venue hire, software licenses, printing, advertising, and any externally procured business support services.

4.4.2 Consequently, RAA support and back office services arrangements will be as VAT efficient as possible. The unavoidable payment of irrecoverable VAT will be factored into the overall RAA budget, and is estimated to be in the region of £40,000 per annum.

4.4.3 Discussions are currently taking place at the national level to present a counter argument to HMRC that RAAs are providing a full management service on behalf of local authorities and that legal responsibility still lies with the local authorities, with OFSTED inspecting the RAA as agent of the local authorities rather than as an adoption agency. This will take time to agree and success is not guaranteed.

4.5 The Funding Agreement

4.5.1 Funding for the new RAA will be largely provided by the partner local authorities. In the first two years of operation, the expectation is for each LA to contribute an amount equal to their budget for relevant adoption services. This will also enable year 1 contributions to be based on a direct transfer of current relevant resources.

4.5.2 For Wolverhampton the total approved budget for 2017-2018 for the Adoption Service is £1.0 million. The provisional outturn for 2016-2017 is £1.1 million, resulting in a provisional underspend of £100,000. The provisional outturn included one of use of grants not utilised in previous years of £122,000 along with one off inter-agency grant allocation from DfE of £458,000.

4.5.3 Basing the funding on current budgets will become increasingly irrelevant as the RAA becomes established. As part of the commitment amongst partners to work collaboratively, a demand based formula that will seek to identify efficiencies and ensure that the initial budgets are not exceeded will be agreed by all LAs and used from year three introduced within the first two years of the RAA's operation (adjusted if necessary to accommodate significant differences from current contributions). This will ensure funding contributions from each local authority reflect differential use of the service.

- 4.5.3 The funding agreement will also identify an agreed approach to any underspends or overspends. The financial risk to each LA will be identified along with a formula for apportioning these.

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5.0 Legal implications

5.1 Legal requirement to provide an adoption service

5.1.2 The provision of an adoption service is a statutory requirement and the Council is required to monitor the provision of adoption services. The Adoption and Children Act 2002 provides the structure for this and under section 3 of the Act, each Council must continue to maintain within its area an adoption service designed to meet the needs of children who may be adopted, their parents, natural parents and former guardians. These services are referred to as the 'adoption service', meaning either a local authority or a registered adoption society may be referred to as an adoption agency (section 2(1) of the Adoption and Children Act 2002).

5.1.3 The development of an RAA will not absolve each local authority of its statutory responsibilities, but will allow for certain functions to be delegated to facilitate the operation of a regional adoption agency. Legal Services representatives from the four local authorities are developing the legal framework for the RAA.

5.1.4 Section 15 of the Education and Adoption Act 2016 enables the development of Regional Adoption Agencies by amending the Adoption and Children Act 2002 to include joint arrangements by one or more local authorities for all or any of their functions to be carried out on their behalf by either a) one of those authorities; or b) one or more other adoption agencies.

5.1.5 Each local authority will continue to be registered as an adoption agency as it will retain the Agency Decision Maker (ADM) responsibility for the child along with its care planning responsibilities. ADM for adopter approval and matching will sit with the RAA. The RAA will have its own Unique Registration Number and satisfy Ofsted requirements.

5.2 Procurement of the RAA and governance considerations

5.2.1 No procurement of the RAA will be required as the LAs will take advantage of Regulation 12 of the Public Contract Regulations 2015, which allows one or more LAs to contract with a body they own and control without undertaking an EU compliant procurement. Supporting services will be procured (sub-contracted) by the RAA itself under the Lighter Touch Regime, and below the €750k threshold.

5.2.2 Each of the participating authorities will commission services from the RAA, and a Joint Commissioning Board, consisting of representation from each of the local authorities will be formed for this purpose, governed by an

agreement between the commissioning authorities. The RAA will then be directly accountable through a contract with the LA Joint Commissioning Board for delivering adoption services.

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6.0 Equalities implications

- 6.1 This proposal has equal opportunity implications as the development of an RAA has direct implications for looked after children with a plan for adoption. Actions included in this report target support for the most vulnerable children and therefore will have a positive impact on equalities. Research and data analysis has been undertaken to identify and agree actions to address potential equality impacts for service users and staff, and the project will continue to explore and address equality impacts. The data analysis includes results by protected characteristics to ensure that the actions outlined in this report are targeted to those areas that require it the most. The Equalities Assessment, undertaken by City of Wolverhampton Council, is attached as Appendix 5.

7.0 Environmental implications

- 7.1 The proposals are intended to provide sustainable long term solutions and environmental considerations will be factored into service delivery changes. There are no explicit environmental implications arising from this report.

8.0 Human resources implications

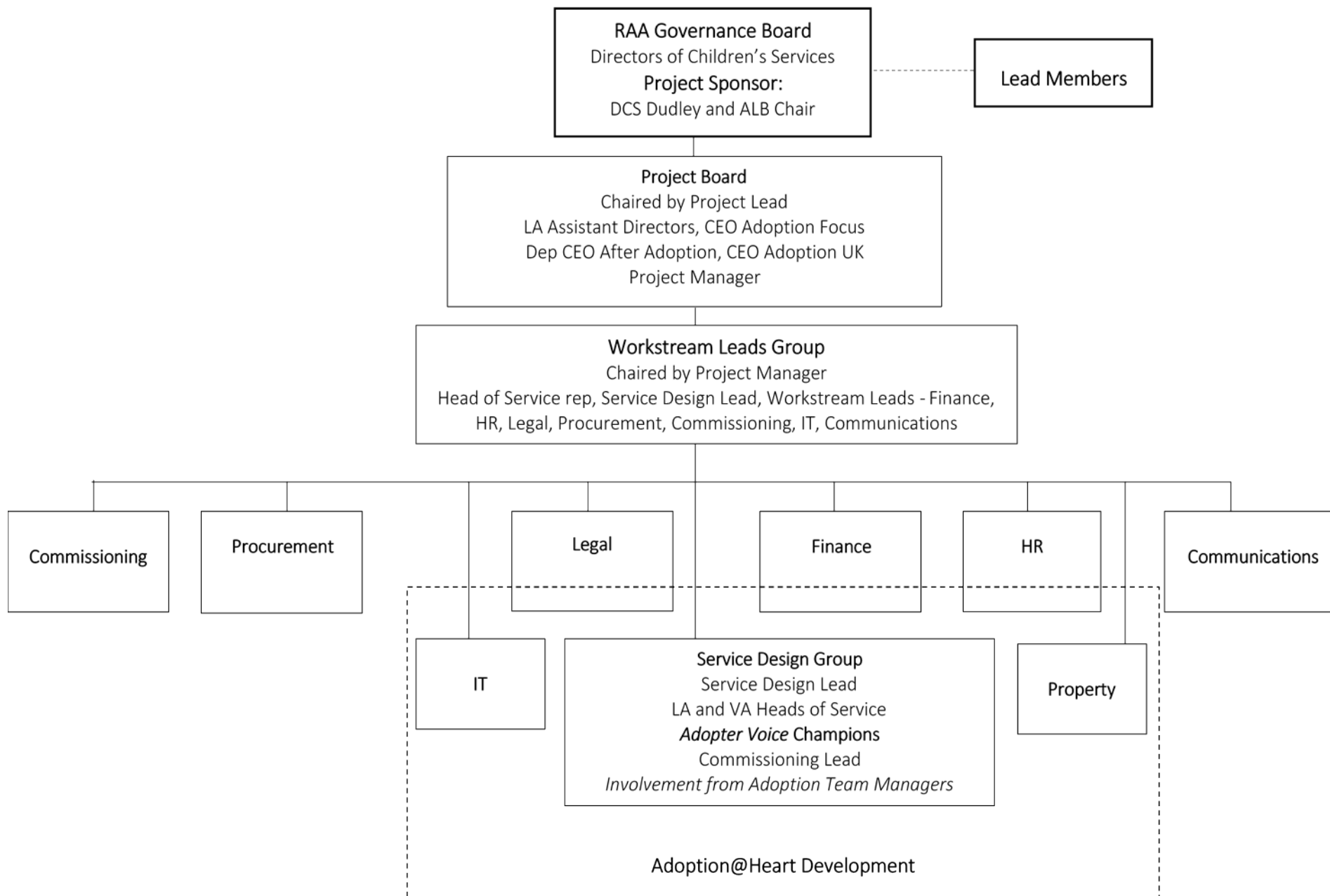
- 8.1 Appropriate current employees of the LAs will transfer to the new agency under the Transfer of Undertakings (Protection of Employment) (TUPE) Regulations 2006. HR advisers from all local authorities are working closely together to consider the implications for staff transfer and pensions. Pension indemnity costs have been accounted for from set up funding provided by the Department for Education.
- 8.2 All partners will carry out their responsibilities with regards to the legal requirements. This will include exchange of information on the impact of the transfer on affected staff, and any measures being proposed by the new agency. A due diligence review of the numbers, roles and Terms & Conditions (T&Cs) which currently apply to employees will be undertaken to identify what T&Cs the RAA would inherit on a TUPE transfer. The RAA will consider how the variety of terms would fit in with its structure of T&Cs and identify any potential issues or conflicts. A formal consultation process with all affected staff and recognised Trade Unions will be undertaken by all the partner employer(s) for all staff affected by the transfer.

8.3 Appropriate 'pension protection' will need to be provided for employees transferring under TUPE from the LAs to the RAA. Discussions will take place with the West Midlands LGPS Pension Fund, of which all 4 LAs are members, regarding the RAA also participating in the LGPS to allow the transferring employees to continue with their membership, or entitlement to join following the transfer. Next steps include a Pension Actuarial Assessment, considering TUPE implications, staff consultation, and the Due Diligence process for policies and procedures. Consideration will be given as to pension arrangements for future staff employed by the RAA.

9.0 Corporate Landlord implications

9.1 A Property workstream has been established with representatives from all LAs to determine options on suitable Council premises for the RAA "Hub". Leasing arrangements and costs will then be identified. RAA staff will have flexible access to existing office accommodation to enable locality working, and will be provided by each local authority at no cost to the RAA.

Adoption@Heart Project Governance Structure



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Services to be delivered by the Regional Adoption Agency

Child Journey	LA	RAA
Case Responsibility and care Planning ADM best interest decision / SHOBPA Support to Children's Social Work Teams in assessing children's needs and early identification of children for whom an adoption plan is suitable. Challenge to care plans and Child Placement Reports. Early identification and tracking of children requiring adoption Tracking children with a plan for adoption	X x x	 x x x
Early Permanence Placements Payments via common policy for duration of fostering placement Responsibility for early permanence placements and supporting foster carers under these arrangements. Recruit, register, approve and supervise the carers	x 	 x x
Responsibility for identifying at the earliest opportunity where a child has 'harder to place' characteristics Supporting, challenging and raising LA ambition around the identification at the earliest opportunity where a child has 'harder to place' characteristics Shared use of a common tracking tool Identifying where adopters able to meet specific needs may be required, e.g. where a child has 'harder to place' characteristics	x x	 x x x
Identifying suitable adopters at the earliest stage. Preparing profiles of the child, including completing the early profile of the child. Identifying early matching considerations.		x x x
Preparation of the child Delegated responsibility for preparing the child for an adoptive placement. Responsibility for the preparation of the child's Life story book. Delegated responsibility for undertaking specialist preparation work with 'harder to place' children, including therapeutic support Producing the Later Life Letter.		x x x x
Family finding Linking and matching Introductions Organising the Matching Panel and ADM arrangements for matches, including sourcing legal and medical advisors Agency decision maker (ADM) decision on matches		x x x x x

Adopter Journey	LA	RAA
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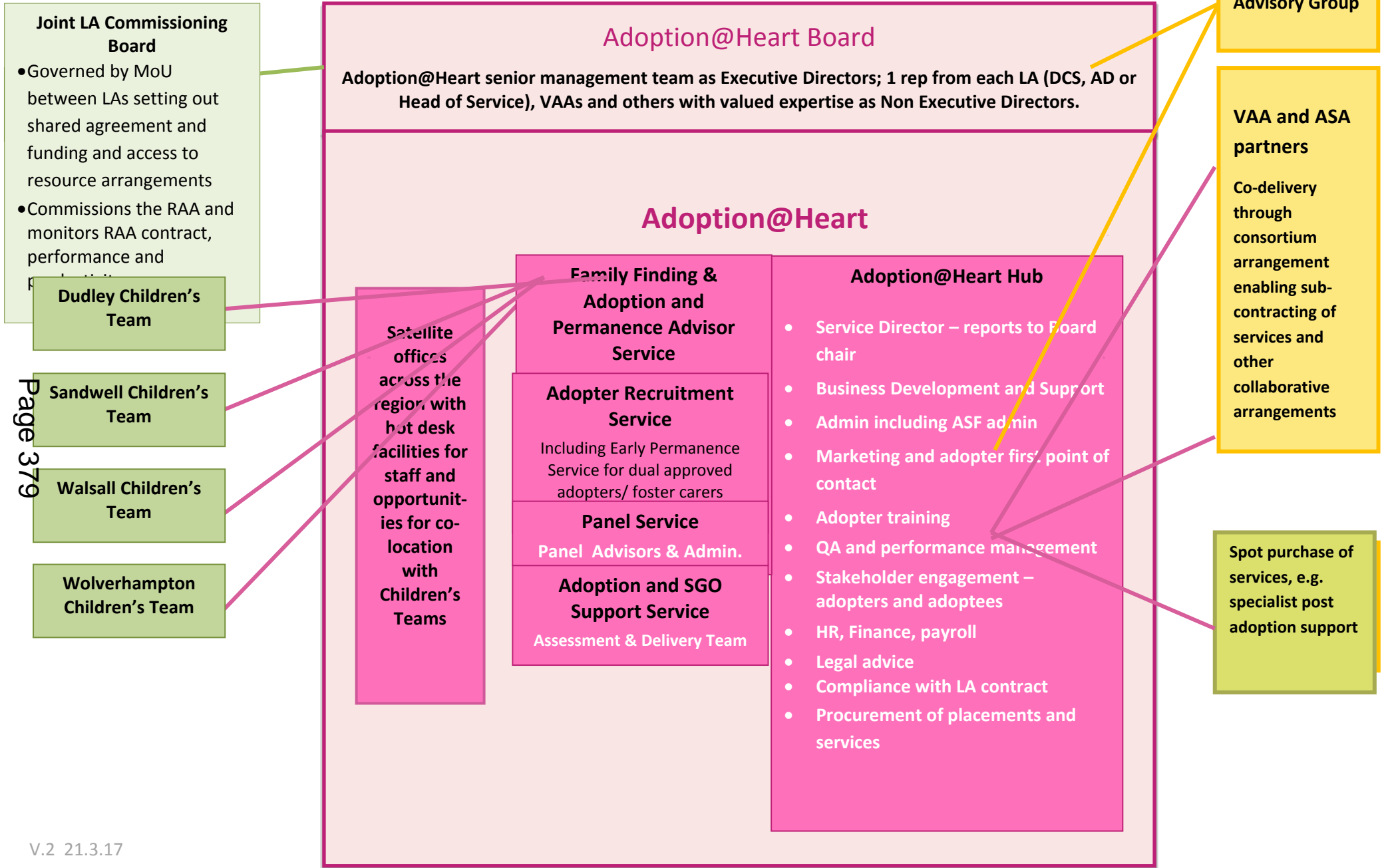
Adopter Journey	LA	RAA
Adoptive placements (contractual arrangement to include agreement on numbers for each LA?)		x
Recruitment and approval of adopters including: Marketing and recruitment activity including targeted marketing and recruitment of adopters for children who may be harder to place. Provision of information DBS checks for prospective adopters Preparation and training Assessment of adopters Additional training and preparation for potential carers to meet the needs of specific children		x
Purchase and sale of inter-agency placements where most suitable match.		x
Family finding for adopters		x
Introductions and adoption support assessments		x
Matching		x
Panels		x
ADM decision making for adopter approval		x
Court process and costs for adoption applications		x
Support and supervision of placements, including early permanence placements	x	x

Adoption support for families	LA	RAA
As part of adoption support planning, assessment and proposal to LAs of adoption allowances using a common protocol, with agreed financial limits, across all LAs around eligibility for Adoption Allowances for new adoptions made through the RAA		x
Approval of RAA assessments for Adoption Allowance, and making payments for current and future adoptions.	x	
Pre-adoption support assessments and support planning at the point of the SHOBPA decision		x
Post-approval support to adopters		x
Assessment and provision of SGO carer support needs when order is applied for and post order	x	
Post adoption support assessments and support planning for relevant children /families in first 3 years of placement or at the request of the LA (at any time during the adoptive placement), for example alongside a joint assessment for a child in need. Also for new families moving to area after 3 years.		x
Review of adoption support plans		x
Creation of a menu of support and ability to tailor support in line with need		x
Provision of a core adoption support offer (Tier 2) as set out in assessment for the first 3 years of placement for relevant families.		x
Providing or commissioning Tier 3 targeted and specialist support, via a) direct services within A@H, b) VA block contracts and c) (commissioned) bespoke adoption support provision.		x
Assessments and funding applications to the Adoption Support Fund.		x

Support for those affected by adoption	LA	RAA
Pre-adoption support and post adoption contact for birth family members, including Letterbox		x
Birth Parent Support to prevent recurring proceedings		x
Support for adopted adults – access to records and counselling		x
A (limited) non agency adoption service, e.g. for step parents		x
An Inter-country adoption service		x
An Intermediary Service		x

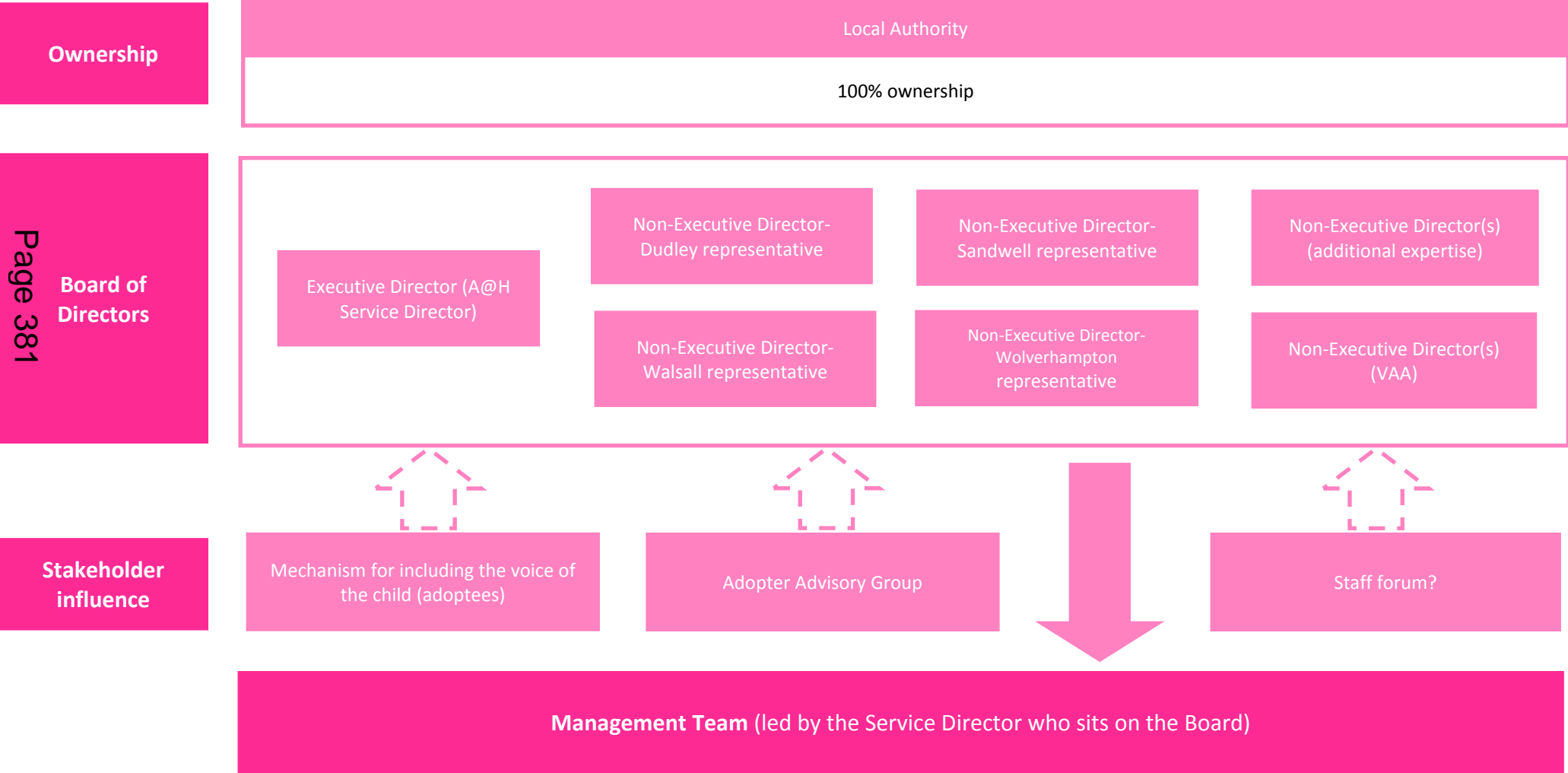
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Adoption@Heart LATC Operating Model



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Adoption@Heart governance arrangements



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Equality Analysis Template.

<p>Directorate: People</p> <p>Service Area: Children & Young People</p>	<p>Lead Officer: Emma Bennett</p> <p>Date completed: 18.04.17</p>
<p>Service / Function / Policy / Procedure to be assessed:</p> <p>This Equality Analysis is for the proposed introduction of a Regional Adoption Agency (RAA). This is bringing together four separate Adoption Agencies (Wolverhampton, Walsall, Dudley & Sandwell).</p>	
<p>Is this:</p> <p>New / Proposed <input checked="" type="checkbox"/></p> <p>Existing/Review <input type="checkbox"/></p> <p>Changing <input type="checkbox"/></p> <p><small>Please tick appropriate box)</small></p>	<p>Review date:</p>

Part A – Initial Equality Analysis to determine if a full Equality Analysis is required.

What are the aims and objectives/purpose of this service, function, policy or procedure?

The aim is to take a regional approach to the functions of an adoption agency. The proposal entails bringing together four separate functions into one Service that serves the Wolverhampton, Walsall, Dudley & Sandwell area. The agency will be responsible for all adoption functions including recruitment and approval of adopters, family finding and matching, and support for all those affected by adoption.

Please indicate its relevance to any of the equality duties (below) by selecting Yes or No?

	Yes	No
Eliminating unlawful discrimination, victimisation and harassment		No
Advancing equality of opportunity	Yes	
Fostering good community relations	Yes	

If not relevant to any of the three equality duties and this is agreed by your Head of Service, the Equality Analysis is now complete - please send a copy to the Equality & Diversity Team. If any of the three equality duties are relevant, a Full Equality Analysis will need to be undertaken (PART B below).

PART B: Full Equality Analysis.

Step 1 – Identifying outcomes and delivery mechanisms (in relation to what you are assessing)

What outcomes are sought and for whom?	The overall outcome is to ensure that where the plan for a Looked After Child (LAC) is Adoption that we are able to provide an adoptive family who is well matched to the needs of the child. This is to provide them with a permanent family where they thrive and achieve the best possible outcomes in life.
Are there any associated policies, functions, services or procedures?	Yes each agency already has their own established policies, procedures & protocols to allow their Service to run.
If partners (including external partners) are involved in delivering the service, who are they?	The partners in the proposal will be: <ul style="list-style-type: none"> • The City of Wolverhampton Council

- Dudley Metropolitan Borough Council
- Walsall Council
- Sandwell Metropolitan Borough Council

Step 2 – What does the information you have collected, or that you have available, tell you?

What evidence/data already exists about the service and its users? (in terms of its impact on the 'equality strands', i.e. race, disability, gender, gender re-assignment, age, religion or belief, sexual orientation, maternity/pregnancy, marriage/civil partnership and other socially excluded communities or groups) and **what does the data tell you?** e.g. are there any significant gaps?

We have data for all of the four authorities around the protected characteristics. We do not hold data on maternity/pregnancy, gender re-assignment and sexual orientation.

Each of the four local authorities holds data on the number and characteristics of approved adopters, applicants applying to become adopters and those approved. This also includes the reasons for not making it through to assessment or full approval.

Data on the make-up of each authorities Looked After Children (LAC) population is also readily available.

Has there been any consultation with, or input from, customers / service users or other stakeholders? If so, with whom, how were they consulted and what did they say? If you haven't consulted yet and are intending to do so, please list which specific groups or communities you are going to consult with and when.

Yes all four local authorities have undertaken a wide range of consultation both jointly and independently.

Consultation with stakeholders is an integral part of the Regional Adoption Agency project. Key stakeholders including council elected members, adopters, and staff have been engaged in the development of proposals. A stakeholder engagement strategy is in place, identifying all stakeholders and the approach to engagement with each.

A quarterly newsletter is distributed to Local Authority, Voluntary Adoption Agency and Adoption Support Agency staff and adopters setting out progress with the project. A website www.adoptionheart.org.uk provides general information about Adoption@Heart and has a members' area for staff where "Frequently Asked Questions" about the project are answered.

Engagement events have taken place with adoption team staff and adoption Panel members in October 2016, November 2016 and April

2017. Staff also have ongoing communication with service managers and are involved in a range of workstreams related to the detailed design of the new service. There are plans to engage with Children's Social Care staff, who already receive the quarterly newsletter. Trade Unions have been informed of outline proposals and arrangements are in place for ongoing consultation as proposals are developed further.

Lead Members were consulted at a workshop in March 2016 and since then have been kept informed of project progress directly by officers.

Adopters are directly involved with the project via a number of means. 43 adopters and prospective adopters responded to a web based survey in August 2016 expressing an interest in being involved in the plans to develop the RAA. The views of adopters are integral to the service design and will continue to be central to the operation of regional adoption services. There is adopter representation on the service design group and an Adopter Advisory Group is now being established through Adoption UK to contribute adopter views and ensure that proposals are informed by service users. Key messages that adopters have contributed to date include the importance of services being local, with travel kept to a minimum, especially as the geographical area of the organisation is seen to be growing; continuity of staff; and the need for adoption support services to be accessible post adoption and throughout family life.

There are plans to consult with adopted children directly and a report prepared by one of our VA partners, After Adoption in August 2016, *The Big Consult*, set out the results of their consultation work with young adopted people to identify the issues they find important to incorporate into the development of Regional Adoption Agencies.

We also consulted with the Family Justice Board in October 2016 and there are plans to involve birth families, health service commissioners and providers and Virtual Schools.

Are there any complaints, compliments, satisfaction surveys or customer feedback that could help inform this assessment? If yes, what do these tell you?

Each of the four local authorities gathers various forms of feedback from all those affected by adoption. Each authority also has a complaints procedure where formal complaints are made. As the proposal is a new service a clear compliments and complaints procedure will be implemented in consultation with the current adoption agencies to ensure any issues/concerns that .

Step 3 – Identifying the negative impact.

a. Is there any negative impact on individuals or groups in the community?

<p>Each Local Authority has a Corporate Parenting responsibility to ensure we are able to provide LAC with a permanent placement and experience a normal family life to enable them to achieve the best possible outcomes.</p> <p>Each prospective adopter is assessed based on their own individual circumstances.</p> <p>The Service will have a robust Marketing and Communications Plan to ensure that all groups are able to apply inline with the makeup and needs of the LAC population</p> <p>Any impacts on staff recruited or working within the RAA around the protected characteristics should be considered. All staff recruited will be in line with HR procedures.</p>	<p>Barriers:</p> <p>What are the potential or known barriers/impacts for the different 'equality strands' set out below? Consider:</p> <ul style="list-style-type: none"> • Where you provide your service, e.g. the facilities/premises; • Who provides it, e.g. are staff trained and representative of the local population/users? • How it is provided, e.g. do people come to you or do you go to them? Do any rules or requirements prevent certain people accessing the service? • When it is provided, e.g. opening hours? • What is provided, e.g. does the service meet everyone's needs? How do you know? <p>* Some barriers are justified, e.g. for health or safety reasons, or might actually be designed to promote equality, e.g. single sex swimming/exercise sessions, or cannot be removed without excessive cost. If you believe any of the barriers identified to be justified then please indicate which they are and why.</p> <p>Solutions:</p> <p>What can be done to minimise or remove these barriers to make sure everyone has equal access to the service or to reduce adverse impact? Consider:</p> <ul style="list-style-type: none"> • Other arrangements that can be made to ensure people's diverse needs are met; • How your actions might help to promote good relations between communities; • How you might prevent any unintentional future discrimination.
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Equality Themes	Positive Impacts	Negative Impacts identified	Solutions (ways in which you could mitigate the negative impact)
Age (including children, young people and older people)	The RAA will be designed to improve the prospects of adoption for children who have additional characteristics (e.g. older, BME, disabled, in a sibling group) that may mean it is more difficult to find suitable adopters	N/A	Ensure we have a robust marketing and communications plan in place.
Disability (including carers)	As above.	If the location of the Service is going to change then consideration around access for staff needs to be considered and minimized.	Ensure performance data is regularly reviewed around the makeup of LAC, prospective and approved adopters to ensure any gaps are identified, reviewed and actioned.
Gender (men and women)	As above.	N/A	Ensure the site accessible for any staff with mobility issues.
Race (including Gypsies & Travellers and Asylum Seekers)	As above	N/A	As above.
Religion or belief (including people of no religion or belief)	As above.	N/A	As above.
Gender Re-assignment (those that are going or have gone through a transition: male to female or female to male)	As above.	N/A	As above.
Pregnancy and Maternity	As above.	N/A	As above.

Sexual orientation (including gay, lesbian, bisexual and heterosexual)	As above.	N/A	As above.
Marriage and Civil Partnership	As above.	N/A	As above.
Human Rights	As above.	N/A	As above.

Step 4 – Changes or mitigating actions proposed or adopted

Having undertaken the assessment are there any changes necessary to the existing service, policy, function or procedure? What changes or mitigating actions are proposed?

Ensure that the new Service's marketing and communications plan is fully reflective of the makeup of each area's looked after children population.
Ensure that a robust performance framework is in place.

Step 5 – Monitoring

How are you going to monitor the existing service, function, policy or procedure ?

A robust performance framework will be set up to capture of the required data.


This data will then be regularly reviewed to ensure the Service is meeting the need of the LAC population where a plan of adoption is in place.

The marketing and communications plan will also be reviewed in line with the Performance data.

Part C - Action Plan

Barrier/s or improvement/s identified	Action Required	Lead Officer	Timescale
Ensure the new Service has data to show it's effectiveness/gaps against the LAC population with a Plan for Adoption	Robust Performance Framework that is regularly reviewed.		
Ensure the new Service has a robust Marketing and Communications Plan to evidence how all groups will be reached inline with the make-up of the LAC population in all four areas.	Robust Marketing and Communications Plan that is regularly reviewed and monitored.		

Equality Analysis approved by:

Head of Service:  Date: 22/06/17

Service Director – Children & Young People
Emma Bennett

Please send an electronic copy of the Equality Analysis to the Equality & Diversity Team:

Cabinet Meeting

19 July 2017

Report title	Principal Social Worker Annual Report
Decision designation	AMBER
Cabinet member with lead responsibility	Councillor Val Gibson, Children and Young People Councillor Sandra Samuels OBE, Adults
Wards affected	All
Key decision	Yes
In forward plan	Yes
Accountable director	Linda Sanders, People
Originating service	Adult Social Care/Children and Young People
Accountable employee(s)	Louise Haughton Principal Social Worker Tel 01902 555534 Email Louise.haughton@wolverhampton.gov.uk
Report to be/has been considered by	People Leadership Board

Recommendation(s) for action or decision:

The Cabinet is recommended to:

Support the main priorities for the Principal Social Worker identified for 2017-18.

1.0 Purpose

- 1.1 To provide a progress report on the work of the Principal Social Worker to promote and improve the quality of social work practice and outline priority areas of work to be undertaken 2017-2018.

2.0 Background

- 2.1 Designated Principal Social Workers (DPSW) were first proposed by Professor Eileen Munro in her review of child protection in 2011, which identified the importance of better communication and understanding between social workers and senior management. Munro stated that Principal Social Workers should:

- Create a clear line of communication between frontline staff and senior management
- Champion best practice
- Encourage a “reflective approach” to social work
- Help to reduce bureaucracy and the amount of time spent on process-driven activities
- Support social workers to use their core skills and interventions which make a real difference to people.

- 2.2 Following this, the College of Social Work championed the extension of the role to include adult social work. As with the Children’s Principal Social Worker (PSW), the role of the PSW for adults also takes a professional lead across the organisation.

- 2.3 The Care and Support Statutory Guidance update May 2016 provided further clarification around the role of the PSW for Adults. The Guidance states that the PSW should be visible across the organisation, from elected members and senior management, through to frontline social workers, people who use services and carers. PSW’s should also have a broad knowledge base on safeguarding and Making Safeguarding Personal. It also states that Local Authorities should make arrangements to have a qualified and registered social work professional practice lead in place to:

- Lead and oversee excellent social work practice
- Support and develop arrangements for excellent practice
- Lead the development of excellent social workers
- Support effective social work supervision and decision making
- Oversee quality assurance and improvement of social work practice
- Advise the director of adult social services (DASS) and/or wider council in complex or controversial cases and on case or other law relating to social work practice
- Function at the strategic level of the Professional Capabilities Framework”

- 2.4 The PSW (Louise Haughton) for both Adults and Children and Young People was appointed in March 2016.

- 2.5 The decision to appoint one PSW for Adult's and Children's Services was informed by a commitment to promote and embed a whole family approach in Wolverhampton. A key function of the PSW role is to promote a "think whole family approach" that will enable better working together across services, inspire greater aspirations for children, families and adult's with additional needs as well as ensuring the concept of wellbeing features in all of the work undertaken by Social Care.
- 2.6 The PSW reports directly to a Service Director as per best practice guidance. The work of the PSW is overseen and prioritised by the People's Social Work Development Board supported by a wider workforce development board for Children and Young People and for Adults that also informs the work of the PSW.
- 2.7 A degree of independence is required of the role in order to provide challenge within the organisation. Effectiveness is then supported by having a direct line of access to the Service Director for Adult Social Care and the Service Director for Children and Young people.
- 2.8 The regional and national networks of PSWs also provide information to the Chief Social Workers for adults and children's (Lynn Romeo and Isabelle Trowler respectively) and regular consultations are held in respect of issues such as social worker health checks, Knowledge and Skill statements, Accreditation, legislation, practice and learning developments.
- 2.9 In accordance with best practice an annual report will be prepared and formally presented within the Council's governance arrangements.

3.0 Progress

- 3.1 The PSW for Adults and Children in Wolverhampton has a key responsibility for Policies and Procedures and the Quality Assurance and Improvement team. The function of this unit is to implement and further develop the Quality Assurance Frameworks for Adult Social Care and Children and Young People, to support inspections and peer review work and support the sector led improvement programmes.
- 3.2 Highlights of the work undertaken by the PSW since March 2016 is outlined below:
- 3.3 **Generic Work**
- 3.3.1 The post holder has facilitated greater opportunity for Adult's and Children's social workers to learn together and share good practice. The first annual People's Social Work Conference was reported in the previous PSW report, since then the first practice share between adults and children's social workers has taken place on the theme of risk assessment, risk management and positive risk taking. The feedback from the session

was positive with social workers sharing a range of tools that they could adapt to their areas of practice.

- 3.3.2 Adult's and Children's practitioners have completed autism training together allowing them to develop an understanding of how autism impacts families and develop skills to engage both adults and children with autism.
- 3.3.3 The second Annual People's Social Work Conference took place in March 2017 around the theme of improving outcomes for the whole family. Over three hundred social workers employed by the City of Wolverhampton Council attended the event. Feedback from the event was positive, social workers felt that the subject areas were beneficial; for example, most enjoyed hearing how another authority used strength based approaches to help communities help themselves and in particular had developed a programme that enabled care leavers and isolated older people to spend time together and develop a mutually beneficial relationship. This approach is now being explored within Wolverhampton.
- 3.3.4 A career pathway has been developed to enable social workers to successfully transition between Adult's and Children's Services, acquire new skills and share their practice knowledge and experience across specialisms. It has been stated there could be professional benefits when social workers move between specialisms for individuals, people who use services and organisations.
- 3.3.5 Social Workers who move between specialisms often bring a fresh approach and make a positive impact on teams. Children's social workers can bring different assessment and report writing skills to adult teams. Equally, adult's social workers can bring a greater degree of creativity and asset based approaches to children's teams. Changing specialisms within social work can also help integrate professionals and methods of working, promoting a whole family approach.
- 3.3.6 The West Midlands Teaching Partnership is made of nine local authorities and the University of Birmingham. The Partnership has secured a teaching partnership grant of up to £1.6 million for November 2016 – March 2018. The Teaching Partnership has a focus on the development, embedding and evaluation of professional practice leadership across both Children's and Adults Services. This involves further developing the undergraduate and post graduate social work programmes, including increasing the amount of statutory experience that social workers receive and contributing to the post qualifying training of social workers through to senior management levels.
- 3.3.7 The PSW arranges quarterly children's social work briefings and bi-annual adult's social work briefings that provide space for social workers to share their views with senior leaders, ensure important information is shared face to face with frontline social workers. The sessions also have a learning and development focus often chosen by social workers themselves. These have proved to be highly successful with social workers reporting that they are able to apply their learning to practice and generally state in feedback that everything presented is of use to their practice.

3.3.8 Nominations were made to the National Social Work awards for the first time. This resulted in a social worker being shortlisted for the children's social worker completing their Assessed and Supported Year in Practice (ASYE) of the year. This was a huge acknowledgment of the social workers excellent practice with children and families as well as her commitment to the profession. The social worker and her manager attended the event and her achievement was celebrated and publicised locally as well as through social media channels.

3.4 Adults

3.4.1 An audit process for adult social care has been developed and implemented as part of the People Quality Assurance Framework. The quality assurance framework also includes observation of practice and brings together the views of the people who use our services. This information is reported to the Transformation of Adult Social Care Board quarterly ensuring senior managers have oversight of the quality of frontline practice and are able to use this information to inform improvement actions.

3.4.2 The post holder has worked closely with the New Ways of Working Team and provided training to the team on asset based approaches, strength based tools, the use of non jargonistic language, managing expectations, the recovery model and using structured reflective practice to consider what else could be done to help a person achieve greater independence.

3.4.3 The post holder also convened sessions with advanced practitioners responsible for supervising workers who were part of the team. The sessions helped them further develop their skills in using performance information to manage individual performance, develop a more questioning approach before authorising assessments and support plans and provided them with the same strength based training that had been delivered to workers within the team.

3.4.4 A bespoke leadership programme for first line managers has been developed with an experienced training provider. It is recognised within social work that the first line managers are significantly influential when embarking on any transformation programme. The programme has been designed to enhance skills around managing change, managing performance, embedding the Care Act 2014 principles and providing an opportunity for managers to practice their supervision and management of people skills. Feedback has been extremely positive with managers reporting that they have benefited from the opportunity to reflect on their practice, develop new skills and share "what works" with colleagues.

3.4.5 The PSW has appointed a procedure and protocol officer for adult social care. The officer joined the council in February 2017. Work so far has included involving practitioners in task and finish groups to develop procedures and pathways that ensure practitioners are clear about local processes. A key aspect of the role has also been developing procedures for provider services that meet the expectations of the CQC.

3.5 Children and young people

- 3.5.1 The majority of the work undertaken by the PSW 2016-2017 was focused on improving the quality of frontline practice in order to ensure children and families receive the best possible service whilst contributing to the ambition of achieving a 'Good' Ofsted judgment in the inspection. The characteristics of 'Good' practice was well understood by the CYP management team and the PSW. This post holder contributed to practice improvement by using social work briefings to ensure social workers understood new procedures and pathways as well as showcasing good practice, ensuring all workforce development opportunities linked to the service's strategic objectives as outlined in the CYP improvement plan, and equipping advanced practitioners to model excellent practice at the same time as driving cultural changes in practice at a local level. These areas of work are discussed in more detail below.
- 3.5.2 The post holder has worked with the CYP management team and workforce development to procure training in a strength based and relational methodology (Restorative Practice) that will be delivered to the whole CYP workforce. Work has also begun to embed the approach across the whole of CYP services and develop an evaluation framework. This has involved holding discussions with the University of Wolverhampton. The University of Wolverhampton has now committed funds and resources to the evaluation of the programme. The PSW has also worked with the communications department to develop fact sheets, prompt cards, and presentations for both the internal workforce and external partners.
- 3.5.3 The PSW has project managed the setup of the Frontline programme in Wolverhampton. Frontline is a registered charity that is funded by the Department of Education to deliver a social work qualification that prioritises hands-on-experience through practice based learning. Students will complete more than 200 days practice based learning during the first year of the course, at the end of which they will be awarded a generic social work qualification. The post holder has worked collaboratively with Frontline to appoint a consultant social worker (CSW) who will manage and educate the 4 Frontline students that start their placement in Wolverhampton in September 2017, appoint a deputy CSW, and ensure arrangements have been in place for the provision of shadowing days. The City of Wolverhampton Council has been complimented by Frontline on the quality of paperwork submitted and a brochure for potential participants in respect of the programme.
- 3.5.4 The PSW has provided leadership, mentoring and coaching to the seven advanced practitioners appointed in the CYP Service. Meetings have taken place fortnightly to monitor progression of action plans, share learning and good practice, develop a shared understanding of what good social work practice looks like. Advanced practitioners are then able to model a consistent approach within teams. The role of advanced practitioners was approved on a time limited basis to support managers and social workers across targeted areas in Children's Social Care to strengthen and support practice. Advanced practitioners have provided leadership and expertise to enable practice improvement in the areas of:

- Quality of court work
- Permanency planning
- Managing risk in adolescents
- Quality and effectiveness of practice and planning
- Integrated working

3.5.5 The post holder has worked with the University of Wolverhampton and workforce development to design and deliver an assessed year in practice programme that is joined with a post graduate certificate in children and families social work. The programme is designed to provide newly qualified social workers with the opportunity to develop their practical knowledge about key elements of social work practice including assessing neglect and developing court skills, whilst having the time to embed their use of theory, research and evidence in practice.

3.5.6 The City of Wolverhampton Fostering Team organised the first annual foster carers conference and invited the PSW to speak on permanence and attachment. This session allowed foster carers to reflect on the important role they play in giving children and young people a secure base, that in turn supports them to achieve good outcomes as adults. Foster carers reported a greater understanding of the long term positive impact the quality of their care can achieve and were keen to care for children in an attachment aware way.

4.0 Priorities for Work Plan 2017-2018

4.1 Quality Assurance and Improvement

4.1.1 All appointments have now been made to the quality and improvement team.

4.1.2 The new People Quality Assurance Framework will be further embedded. The framework has a greater focus on the principles of wellbeing, promoting independence, building effective relationships and strength based practice as well as monitoring performance against either national or local standards.

4.1.3 The feedback from audit and observations of practice will enable workers to reflect on what they are doing well and what skills they can further develop. This alongside workforce development activity and strategically led system changes will support effective social work practice that is delivered to the right people at the right time and promotes resilience and independence.

4.1.4 Following learning from the Ofsted inspection there will be greater links between quality assurance and performance information. Quality assurance advanced practitioners for both CYP and ASC will attend service performance meetings. This will support greater focus on the whole quality assurance cycle. Where potential performance issues are highlighted the possible causes are investigated through audit, following this a range of actions are undertaken to improve practice. In order to ensure the feedback loop is closed a further audit is undertaken and performance data is used to measure progress. This process will now be monitored and recorded within the same meeting. Performance

data and quality assurance information will also be more closely linked and analysed within the self-assessments.

4.2 **Social Work Voice at Strategic Level**

- 4.2.1 Undertaking and analysing the annual Social Work Health Check is key to improving social work recruitment and retention. This year the PSW's team will support the development of a specific action plan based on the findings of Social Work Health Check that was undertaken in May 2017. The quality and improvement team will support a greater level of engagement with social workers about the findings and associated actions in order to ensure social workers know their feedback is welcomed and taken seriously by senior managers
- 4.2.2 Attendance by the PSW at the Children and Young People's and the Adults management team meetings on a monthly basis to ensure operational engagement and oversight.
- 4.2.3 Bi-annual meeting with the strategic director for people, the Director for Adult Social Services and the Director for Children's Services.

4.3 **Workforce Development**

- 4.3.1 A particular role is to continue to ensure that the People's Workforce Development plan incorporates the training required by social workers to undertake statutory work and deliver good social work practice in line with service outcomes.
- 4.3.2 The PSW will continue to promote the 'whole family approach'. Activities to support this will include; increasing the opportunities for shared learning, advanced practitioners will facilitate a quarterly practice share to include all areas of adult and children's social care and where appropriate training will be undertaken in mixed cohorts across adult's and children's social care. Further to this the PSW will seek to encourage a culture of consultation by ensuring workers know how to contact workers who have different specialisms. This will be achieved by creating opportunities for informal networking and sharing of specialist knowledge across the services and between workers.
- 4.3.3 Supporting the embedding of Restorative Practice's across the Children and Young People's Service is a significant priority and will be achieved by aligning procedures and assessment forms with Restorative Practice, providing opportunities for workers to practice and reflect on how they use this approach and modelling the approach through all tiers of management. This approach should improve outcomes for children young people and their families; improve service user satisfaction and build community resilience. Over time the aim must be to support the further reduction demand for services at all levels including Early Intervention, Child Protection and Looked after Children as has been evidenced in other areas.
- 4.3.4 The PSW will continue to provide leadership, mentoring and coaching to the six (FTE) advanced social work practitioners to be appointed in the Children and Young People Service. The focus of this work will be to support the ongoing transformation of children's

services through the ongoing improvement of frontline social work practice. Advanced practitioners will assist with the establishment of consistently “Good” and “Outstanding” practice across CYP services.

- 4.3.5 The PSW will continue to organise quarterly children’s social work & twice annually adult social worker briefings. These are short sessions that aid communication and contribute to the further development of a “learning organisation” ethos across the service. These events are in addition to wider workforce briefings and provide the opportunity for social workers to develop their professional knowledge and skills.
- 4.3.6 Planning for the third annual People’s Social Work Conference is now underway. The Event takes place in March of each year and will take place on World Social Work day in 2018. The event addresses subjects pertinent to both Children and Adult social workers and further promote a ‘Whole Family Approach’. It is hoped that both the chief social worker for Children and Families (Isabelle Trowel) and the Chief Social worker for Adults (Lynn Romeo) will be able to attend the 2018 event.
- 4.3.7 Support the process for the procurement of training in a Relationship and Asset Based Practice methodology across Adult Social Care will be an imminent priority. The training will support the scaling up of the work of the Promoting Independence Team across Locality Services and the Mental Health team.
- 4.3.8 Family Group conferencing in Adult Safeguarding has not yet been implemented. The piloting of this approach within Wolverhampton will be a key priority in 2017 as family group conferencing could further support the making safeguarding approach.

4.4 Recruitment and Retention

- 4.4.1 It is the aim of the PSW to utilise learning from both the “Think Ahead” programme in Mental Health and the “Frontline” programme in CYP to enhance the interviewing process for social workers and social work managers. This will involve making greater use of a written assessment that is more closely aligned to the skills required for the roles and using material developed by Skill for Care to enhance interview questions.
- 4.4.2 The post holder will take a lead responsibility along with human resources and workforce development for the implementation of the recruitment and retention strategy and attached action plan. The recruitment and retention strategy seeks to support the development of a stable workforce which is an integral part of any improvement journey. A stable workforce allows the council to embed good practice and provide children, families and adults with consistent workers.
- 4.4.3 It is a key aim to increase the availability and quality of practice educators. Practice educators play a key role in in the development and assessment of students undertaking a social work degree. This year the local authority will provide training to 18 social workers who will in turn provide placements to students, most of whom will be undertaking the University of Wolverhampton programme. The City of Wolverhampton seeks to support the development of good social workers within the region to address

current regional workforce challenges. Practice educators who qualified more than two years ago, will undertake a refresher day to ensure they are congruent with changes to the assessment of students and have a good understanding of the new 'Knowledge and Skills Statement for Social Workers in Adult Services' and the 'Knowledge and Skills Statement for Child and Family Practitioners'.

4.4.4 The Assessed Year in Practice Programme ensures social workers are supported to become good social workers who wish to continue working for the City of Wolverhampton Council and the PSW will continue to support this process. Feedback will be collected from the current cohort of social workers completing their ASYE and any learning will be utilised to support the enhancement of the next programme.

4.5 Policies & Procedures

4.5.1 Both the Adult's and the Children's policy, procedure and protocol officers have now been appointed. A significant priority for the upcoming year is to ensure all procedures and pathways reflect the council's vision around promoting independence for older people and people with disabilities and strengthening families where children are at risk. This will involve aligning all procedures with the principles of strength and relational based approaches.

4.6 Local, Regional and National Practice Leadership

4.6.1 The PSW attends quarterly national principal social work network days facilitated by the Association of Directors of Children's Services. These meetings are learning and development opportunities. It provides opportunity for the national Chief Social workers for adults and children to share the direction of travel, answer questions and receive feedback from PSW's. These events also provide opportunity for the sharing of good practice. Notes are shared with the appropriate leadership team following attendance at these events.

4.6.2 The PSW also attends regional network meeting on a bi-monthly basis. This allows regional work to take place as directed by the regional West Midlands ADCS and ADASS.

4.7 Promotion Social Work Practice in Wolverhampton

4.7.1 Continued work will take place with Communications Team to raise the awareness and reputation of social work in Wolverhampton through the use of social media as well as promoting good news stories via local and national media outlets.

4.7.2 A greater number of nominations will be made for the National Social Work awards in various categories including adult team of the year, adult ASYE of the year, children's ASYE of the year, children's team of the year, and overall social worker of the year.

5.0 Financial Implications

- 5.1 There are no direct financial implications arising directly from this report. Any costs arising from the actions in the workplan and priorities set by the PSW will be met from existing budgets.
[AS/30062017/F]

6.0 Legal Implications

- 6.1 There are no legal implications arising from this report.
[TC/30062017/F]

7.0 Equalities implications

- 7.1 The role of the Principal Social Work is a key one in our leadership arrangements to continually improve the quality of our social work practice. Social workers provide support to the whole community including the full range of diverse groups. Excellent quality social work practice will be more attuned to the equality issues experienced by individuals, families and communities. High quality social work will more competently deploy required skill in the practice situation. This annual report shows some of the ways being used to strengthen this aspect of social work practice e.g. updating and widening the influence of the social work Quality Assurance Framework.

8.0 Environmental implications

- 8.1 There are no environmental implications.

9.0 Human resources implications

- 9.1 There are no human resources implications. However, it is noted that close collaborative working has taken place over the last year on the implementation of the recruitment and retention strategy and action plan. This includes back office support and attendance at Social Worker interviews and recruitment campaigns.
- 9.2 A new part time Recruitment and Retention Officer has recently been appointed to further the collaborative working and enhance the support to recruiting managers.
[HR/JF/LH/044]

10.0 Corporate landlord implications

- 10.1 There are no corporate landlord implications

11.0 Schedule of background papers

- 11.1 There are no background papers.

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