

CHILDREN'S SERVICES COMMITTEE AGENDA



Tuesday 5 November 2013

at 4.00 pm

in the Council Chamber, Civic Centre, Hartlepool

CHILDREN'S SERVICES COMMITTEE:

Councillors Atkinson, Fleet, Griffin, Hill, James, Lauderdale and Simmons

Co-opted Members: Sacha Paul Bedding and Michael Lee

Six Young People's Representatives

1. **APOLOGIES FOR ABSENCE**

2. **TO RECEIVE ANY DECLARATIONS OF INTEREST BY MEMBERS**

3. **MINUTES**

- 3.1 To receive the minutes of the meeting held on 1 October 2013 (*previously circulated*).

4. **BUDGET AND POLICY FRAMEWORK ITEMS**

No items.

5. **KEY DECISIONS**

- 5.1 2013/14 Schools' Capital Works Programme – Phase 2 (Rossmere Capital Project Bid) – *Director of Child and Adult Services*



- 5.2 Commissioning of Restorative Justice Service – *Assistant Director, Children's Services*

6. OTHER ITEMS REQUIRING DECISION

- 6.1 Training for School Governors – *Assistant Director, Education*
- 6.2 Training for Children's Services Committee Members – *Assistant Director, Education*
- 6.3 Commissioning of Children's Social Care Services (Children's Advocacy Service) – *Assistant Director, Children's Services*
- 6.4 Commissioning of Children's Social Care Services (After Adoption Support Service) – *Assistant Director, Children's Services*

7. ITEMS FOR INFORMATION

- 7.1 Savings Programme 2014/15 Education – *Assistant Director, Education*
- 7.2 Savings Programme 2014-15 – Children's Services – *Director of Child and Adult Services*
- 7.3 Outcome of Recent OFSTED Inspection of Exmoor Grove Children's Home – *Assistant Director, Children's Services*
- 7.4 Framework and Evaluation Schedule for the Inspection of Services for Children in Need of Help and Protection, Children Looked After and Care Leavers – *Director of Child and Adult Services*
- 7.5 Annual Complaints Report – 1st April 2012 – 31 March 2013 – *Assistant Director, Children's Services*
- 7.6 Strategic Financial Management Report – as at 31 August 2013 – *Director of Child and Adult Services and Chief Finance Officer*

8. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT

ITEMS FOR INFORMATION

Date of next meeting – Tuesday 3 December 2013 at 4.00 pm in the Council Chamber, Civic Centre, Hartlepool



CHILDREN'S SERVICES COMMITTEE

5th November 2013



Report of: Director Child & Adult Services

Subject: 2013/14 SCHOOLS' CAPITAL WORKS
PROGRAMME – PHASE 2
(ROSSMERE CAPITAL PROJECT BID)

1. TYPE OF DECISION

1.1 Key decision, test 1 and 2 apply. Forward plan reference: CAS016/13.

2. PURPOSE OF THE REPORT

2.1 Children's Services Policy Committee to consider the Rossmere Primary School Development Funding bid.

3. BACKGROUND

3.1 Following Children's Services Committee meetings on 2 and 30 July 2013 a decision on the Rossmere Primary School Development Funding bid was deferred until a further report could be brought to a future Committee meeting.

3.2 As in the past and as part of the 2013/14 Schools' Capital Programme, an element of funding was set aside in order to deliver schemes that can support schools in their aspirations to create school premises that will be more fit for purpose in a 21st century setting. The funding has been termed 'Development Funding'.

3.3 In January 2013 all community, foundation and special schools were asked to submit expressions of interest for innovative schemes which will create the opportunity to raise achievement by tackling existing deficiencies in school premises and/or its infrastructure. Eight expressions of interest were received and following an evaluation and moderation process, undertaken by members of the Schools Capital Sub Group, it was agreed to progress in terms of design, feasibility and costings, those schemes which achieved the highest evaluation scores.

4. PROPOSALS/DETAILS

- 4.1 Three schemes for which approval was sought at the 2 July 2013 committee meeting, are detailed below;
- Rossmere - Creation of a School Forest
 - West View Primary School - Early Years Foundation Stage Improvements
 - Rift House Primary School - Foundation Stage Outside Area
- 4.2 The schemes at West View and Rift House Primary were approved by Children's Services Policy Committee on 2 July 2013. A further presentation was requested for the Rossmere scheme, and heard at the meeting on 30 July 2013.
- 4.3 Members of Children's Services Policy Committee have visited the Rossmere site and heard further representation from the school. The landscape architect has produced revised proposals and costings. The original design proposals are detailed in **Appendix 1, 1a** (Drawing No's L0011 /L0012) and revised design proposals are detailed in **Appendix 2** (Drawing No L0016).

This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, information relating to the financial or business affairs of any particular person (including the authority holding that information).

- 4.4 Costings for both the original and revised proposals are detailed in **Appendix 3 and 4**.

5. APPENDICES

- 5.1 Appendix 1, 1a, 2, 3 and 4 to this report.

6. RECOMMENDATIONS

- 6.1 Members of Children's Services Committee to make a decision on the options available for the Rossmere Forest School scheme as detailed in **Appendix 1, 1a, 2, 3 and 4**. Should a scheme be approved, the Local Authority would agree a contribution from school towards the scheme which is in line with the shared funding principles established by the Schools Forum.

7. REASONS FOR RECOMMENDATIONS

- 7.1 Funding has been set aside to enable schemes to proceed that can clearly demonstrate how capital resources will create the opportunity to raise pupil attainment. The schemes that have been selected for approval have been through a rigorous evaluation/moderation process.

8. BACKGROUND PAPERS

Schools Capital Sub Group - 26 February 2013
Children's Services Portfolio - 9 April 2013
Schools Capital Sub Group - 16 April 2013
Children's Services Policy Committee - 2 July 2013
Children's Services Policy Committee - 30 July 2013

9. CONTACT OFFICER

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CALLANDER ROAD

PRELIMINARY

Rev	Amendment	Date
 HARTLEPOOL BOROUGH COUNCIL		

**REGENERATION AND NEIGHBOURHOODS
DEPARTMENT**
DIRECTOR: Dave Stubbs

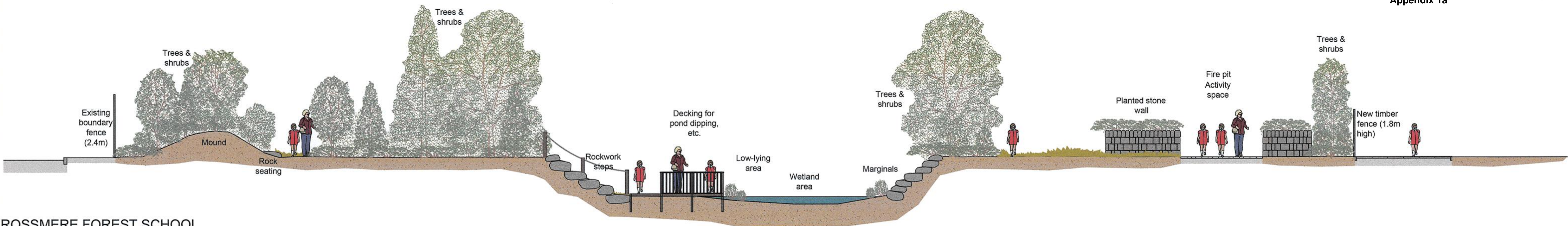
PROPERTY AND PROCUREMENT DIVISION
Graham Frankland
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Client	
Education	

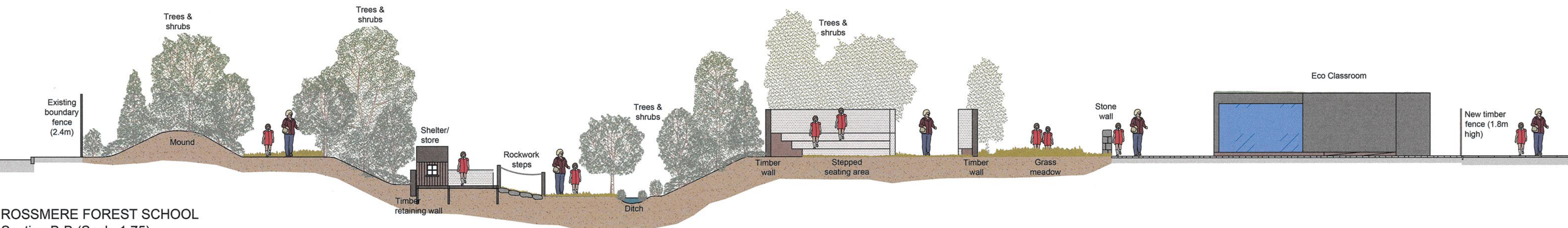
Project	Rossmere PS Forest School
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Title
Rossmere Primary School
Forest Schools
Draft Masterplan

Drawn SW	Scale Not to Scale	Date
Drawing No. L0011		Rev. D



ROSSMERE FOREST SCHOOL
Section A-A (Scale 1:75)




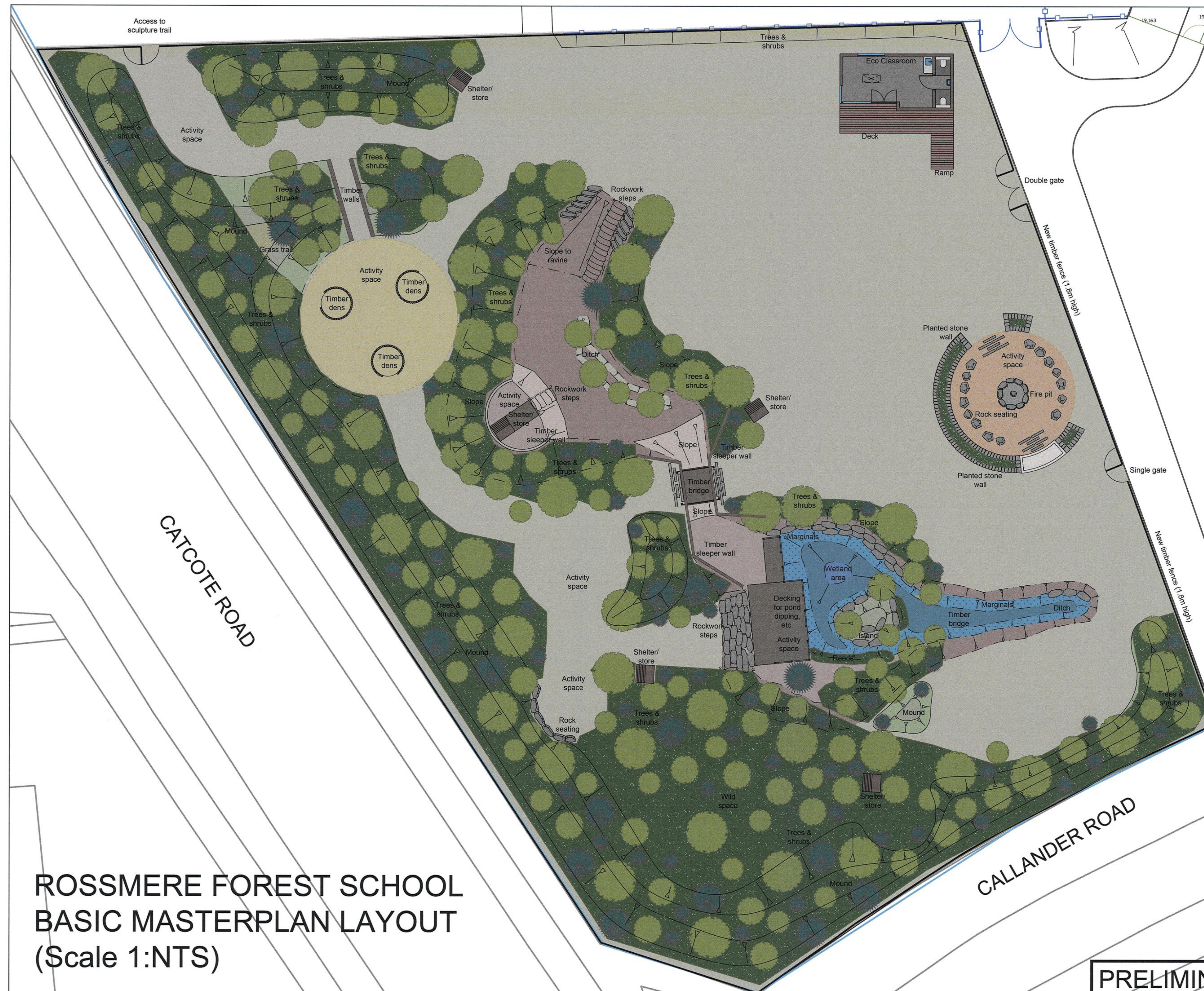
ROSSMERE FOREST SCHOOL
Section B-B (Scale 1:75)



ROSSMERE FOREST SCHOOL
Draft Masterplan (Scale 1:250)

PRELIMINARY

Rev	Amendment	Date
 HARTLEPOOL BOROUGH COUNCIL		
REGENERATION AND NEIGHBOURHOODS DEPARTMENT DIRECTOR: Dave Stubbs		
PROPERTY AND PROCUREMENT DIVISION Graham Frankland Head of Procurement, Property and Public Protection Bryan Hanson House Hanson Square Hartlepool TS24 7BT TEL: 01429 266522 FAX: 01429 523899		
Client Education		
Project Rossmere PS Forest School		
Title Rossmere Primary School Forest Schools Draft Sections		
Drawn SW	Scale 1:75 & 1:250 at A1	Date
Drawing No. L0012	Rev.	
DATE: 02/10/2013		TIME: 15:57



ROSSMERE FOREST SCHOOL BASIC MASTERPLAN LAYOUT (Scale 1:NTS)

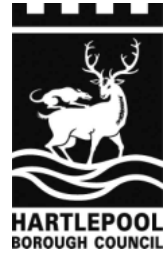
PRELIMINARY

Rev	Amendment		Date
<h1 style="margin: 0; font-size: inherit;">HARTLEPOOL BOROUGH COUNCIL</h1>			
REGENERATION AND NEIGHBOURHOODS DEPARTMENT			
DIRECTOR: Dave Stubbs			
PROPERTY AND PROCUREMENT DIVISION			
Graham Frankland Head of Procurement, Property and Public Protection Bryan Hanson House Hanson Square Hartlepool TS24 7BT TEL: 01429 266522 FAX: 01429 52			
Client			
Education			
Project			
Rossmere PS Forest School			
Title			
Rossmere Primary School Forest School Basic Masterplan			
Drawing No.	Scale	Date	Rev.
L0016	Not to Scale		

DWG. LAST UPDATED DATE: 08/10/2014 **TIME:** 15:14

CHILDREN'S SERVICES COMMITTEE

5 NOVEMBER 2013



Report of: Assistant Director, Children's Services

Subject: COMMISSIONING OF RESTORATIVE JUSTICE SERVICE

1. TYPE OF DECISION/APPLICABLE CATEGORY

Key decision reference CAS19/13, key tests i and ii apply.

2. PURPOSE OF REPORT

- 2.1 To request approval from Children's Services Committee to implement a procurement exercise through tender submissions for the delivery of Restorative Justice Services in Hartlepool.

3. BACKGROUND

- 3.1 In Hartlepool, restorative justice has been an important underlying principle of all disposals for young offenders from Conditional Cautions to Supervision Orders.
- 3.2 Restorative justice provides the opportunity for those directly affected by an offence, i.e. the victim, offender and/or members of the community, to communicate and agree how to deal with the offence and its consequences.
- 3.2. Whilst restorative processes typically result in practical reparation, for example participating in a task that benefits the community, the communication between victim and offender as part of this process can also produce powerful emotional responses leading to mutual satisfaction and socially inclusive outcomes.
- 3.4 The Children's Society (a national charity which has a history of providing and developing restorative justice services at a national level), were contracted in April 2013 to deliver restorative justice services, for one year, on behalf of Hartlepool Youth Offending Service.

- 3.5. The current contract, which is scheduled to end in March 2014, has enabled the service to determine, through consultation, how best to deliver restorative justice services to achieve maximum impact for both victims of youth crime and young offenders. There is no provision in the existing contract to extend the current service.
- 3.6. This paper proposes that the best way of achieving improved outcomes for victims of youth crime would be for restorative services to continue to be delivered by an external organisation who can bring both expertise around victim work and also challenge the Youth Offending Service, whose primary focus will continue be the young person and their levels of risk and vulnerability.

4. PROPOSALS

- 4.1 Levels of youth crime have continued to decrease in Hartlepool through a combination of successful preventative work and an emphasis on diverting young people from the Youth Justice System through the development of pre-court interventions.
- 4.2 This decrease in crime prompted the Youth Offending Service to reduce the contract value of the Restorative Justice contract to £40,000.00 per annum to reflect the reduced needed for restorative activities.
- 4.3 Contract monitoring and performance analysis has demonstrated that the current annual contract value remains appropriate. The current provider has been able to meet demand for local restorative approaches which continue to be successful in relation to the prevention of further crime through their application at both pre-court and post court level.
- 4.4 To secure the continued delivery of high quality restorative justice services in Hartlepool it is proposed that the Child and Adult Services Department implement a procurement exercise through tender submissions for the delivery of restorative justice services for a three year contract, with a value of up to £120,000.00.
- 4.5 A three year contract for the delivery of Restorative Justice Services in Hartlepool will provide stability in this area and permit the successful provider to innovate and further develop services for victims of youth crime in Hartlepool.

5. FINANCIAL CONSIDERATIONS

- 5.1 The level of funding for Youth Offending Services has reduced nationally in line with national reductions in local authority budgets and this trend is scheduled to continue in relation to Youth Offending Service funding for 2014/2015 and potentially beyond. The value of the Restorative Justice contract has been reduced in recent years to achieve value for money and in recognition of the financial pressures faced by the Council and partners in the Youth Offending Service.

6. LEGAL CONSIDERATIONS

- 6.1 Consultation with the existing service provider has taken place and they are aware that notice will be served on the current contract in line with Council Procedures.

7. RECOMMENDATIONS

- 7.1 The Children's Services Committee is requested to approve that the Youth Offending Services implement a procurement exercise through tender submissions for a three year contract for the delivery of restorative justice services in Hartlepool.

8. REASONS FOR RECOMMENDATIONS

- 8.1 This recommendation reflects the Child and Adult Services desire to ensure that the delivery of Youth Justice Service in Hartlepool adhere to the Youth Justice Board National Standards and are procured in such a way as to secure best value in quality and cost for the Local Authority and the local community.

9. CONTACT OFFICER

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CHILDREN'S SERVICES COMMITTEE

5 November 2013



Report of: Assistant Director, Education

Subject: TRAINING FOR SCHOOL GOVERNORS

1. TYPE OF DECISION/APPLICABLE CATEGORY

For approval, non key decision

2. PURPOSE OF REPORT

- 2.1 To propose a series of training events for Chairs of School Governors, and other interested Governors, over a period of 12 months in order to increase the effectiveness of governance in Hartlepool's schools.

3. BACKGROUND

- 3.1 Over the last twelve months, the effectiveness of school governing bodies and their impact upon improving pupil achievement has come under ever closer scrutiny. Ofsted is now, under its revised inspection schedule, reporting on governance in much greater detail and every report now includes a paragraph on the quality of governance.
- 3.2 Sir Michael Wilshaw, HMCI Ofsted, in a speech in February 2013, said that it was the role of the local authority '*to introduce professionalism into school governance*' and that a '*professional*' approach was needed in governing bodies, especially in the most challenging schools. He also said that '*given the increasing complexity of school organisation, we need to make sure that governors are given the appropriate training.*'
- 3.3 In June 2013, the House of Commons Education committee reported on 'The Role of School Governing Bodies' and made the following points:
- The training and development of governors is not mandatory.
 - There is a lack of '*quality control*' for governor training with much that is '*unfocused, not practical enough and even confusing.*'

The Education Committee concluded that *'too many governors have not had suitable training. The Government should require schools to offer training to every Governor.'*

- 3.4 The revised Ofsted inspection schedule in September 2013 allowed inspectors to recommend on 'external review' of the effectiveness a school governing body, if they were found to be one of the reasons why the school had not being judged as 'Good'. To date, no external review of the governing body of any Hartlepool school has been recommended by Ofsted.

4. PROPOSALS

- 4.1 Governor Support Services in Hartlepool is one of the most highly regarded services offered to schools by the council. It continues to achieve 100% buy back from every school in the local Authority, including the academies. Governor Support Services offer termly governor update meetings and bespoke school governor training events. In addition, the Hartlepool Governors Association meets on a regular basis to discuss issues around school governance, although attendance is low.
- 4.2 Given the background detailed above and given the Children's Services Committee's commitment to the target of every school in Hartlepool being judged by Ofsted to be good or outstanding by December 2015, it is proposed to introduce, initially, a three module training programme for chairs of Governing Bodies and other governors.
- 4.3 One of the three modules would be offered each term on three occasions, at different times of day in order to give as many governors as possible the opportunity to access the training. Ideally, as a minimum, the Chair, the Vice Chair and Headteacher would attend together.
- 4.4 The three initial modules to be offered are:
- Improving Governance
 - Understanding School data
 - Challenge and Support: the Critical Friend

These modules would be presented by officers from the Education Service but support from Ofsted, NCSL and other education bodies will be sought.

- 4.5 A draft outline of the proposed programme is provided below:

Module	Date	Content
Improving Governance	Nov/Dec 2013 9.30am-11.30am 5pm-7pm 7pm-9pm	Background to current position Ofsted expectations Effective/ineffective governance Good Practice The strong governing body

Understanding School Data	Jan-March 2014 9.30am-11.30am 5pm-7pm 7pm-9pm	What Governors need and do not need to know RAISE Online/Data dashboard/ School data Target setting Other useful data
Challenge and Support: the Critical Friend	April-July 2014 9.30am-10.30am 5pm-7pm 7pm-9pm	The headteacher's report Asking the right questions Gathering your evidence Evaluating your school accurately

5. FINANCIAL CONSIDERATIONS

- 5.1 The training, support and updates currently provided to schools by the local authority are all included in the service level agreement that schools have with Governor Support Services.
- 5.2 Governing Bodies engaging with any external body or commercial provider will pay for any training programme that they offer.
- 5.3 Children's Services Committee will need to make a decision as to whether an additional charge is made for the proposed new modular training programme or whether it is defined as being part of the existing service level agreement.

6. RECOMMENDATIONS

- 6.1 It is recommended that:
 - Children's Services Committee agree to the proposals for Governor training detailed in this report so that the programme can be launched in November 2013.

7. BACKGROUND PAPERS

Speech by Sir Michael Wilshaw HMCI Ofsted NR2012-12
House of Commons Education Committee: the Role of School Governing Bodies HC365-I

8. CONTACT OFFICER

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CHILDREN'S SERVICES COMMITTEE

5 November 2013



Report of: Assistant Director, Education

Subject: TRAINING FOR CHILDREN'S SERVICES
COMMITTEE MEMBERS

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non key decision for approval

2. PURPOSE OF REPORT

- 2.1 To propose a series of training sessions for members of the Children's Services Committee, as requested at its inception, over a period of twelve months in order to increase members' understanding of educational issues and to prepare members for any future Ofsted inspection of school improvement services.

3. BACKGROUND

- 3.1 Prior to the first formal meeting of the Children Services Committee on 22 May 2013, it was requested by members that a range of training opportunities be provided by officers in order to support the effective working of the committee.
- 3.2 It was agreed that a number of key documents be provided to committee members for background reading and that the weekly 'Headteacher Noticeboard' be circulated to members. Members also requested face to face training and the proposals for this training are contained in this report.
- 3.3 In addition, the Ofsted 'Framework for the Inspection of Local Authority Arrangements for Supporting School improvement' published in May 2013, details the criteria for effective corporate leadership and strategic planning of school improvement. A paper on the Ofsted Inspection Local Authority Arrangements for Supporting School Improvement' was presented to members at the meeting of 1 October 2013.

4. PROPOSALS

- 4.1 It is proposed that, initially, three training sessions of two hours each are provided for Children's Services Committee members between November 2013 and July 2014 in the Civic Centre.
- 4.2 The sessions will be interactive and will consist of background reading, information provision, group discussions and a range of invited speakers.
- 4.3 A draft outline of the proposed programme is detailed below:

Module	Date	Content
The national, regional and local picture	Nov – Dec 2013	National issues for education – Ofsted, DfE, standards Regional issues: key areas for improvement in the NE Local issues; how to improve Hartlepool's education provision
Schools causing concern; support and challenge	Jan- March 2014	The legislative framework and context What does support and challenge look like How Hartlepool monitors its schools
Inclusion and SEN	April – June 2014	The current legislation and our response The inclusive approach in Hartlepool High needs/SEN/Educational Psychology/ Looked after Children

5. RECOMMENDATIONS

- 5.1 It is recommended that:
- Children's Services Committee agree to the training proposals outlined in this report in order that the programme can commence in November 2013.

6. BACKGROUND PAPERS

Report to committee October 2013

7. CONTACT OFFICER

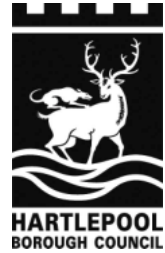
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CHILDREN'S SERVICES COMMITTEE

5 NOVEMBER 2013



Report of: Assistant Director, Children's Services

Subject: COMMISSIONING OF CHILDREN'S SOCIAL CARE SERVICES (CHILDREN'S ADVOCACY SERVICE)

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non key.

2. PURPOSE OF REPORT

- 2.1 To request approval from Children's Services Committee to implement a procurement exercise through tender submissions for the delivery of a Children's Advocacy Service.

3. BACKGROUND

- 3.1 It is a statutory obligation that all Local Authorities with Social Services responsibility provide an advocacy service for children. The service enables the Council to meet the requirements of Section 26A Children Act 1989 and associated statutory guidance and regulations by providing an Advocacy Service in line with the National Standards for the Provision of Children's Advocacy services and Providing Effective Advocacy services for Children and Young People Making a Representation under the Children Act 1989.
- 3.2 Advocacy ensures that children and young people looked after and in need are empowered and have a say in decisions made about their lives. Where required, advocacy supports children to share their concerns about their circumstances and provides a platform so that they will be listened to and treated fairly in the course of their contact with Children's Services.
- 3.3 The service is also concerned with promoting and informing children and young people, parent/carers and professionals about the aims and objectives of the advocacy service to ensure that children and young people looked after and in need understand the options available to them.

- 3.4 The importance of advocacy for children and young people cannot be underestimated when plans are being made for their lives. The Children Act says young people must be treated with respect and this means (amongst other things) that young people must be listened to. Advocacy services for children and young people will assure to the child who is capable of forming his or her own views the right to express those views freely in all matters affecting the child, the views of the child being given due weight in accordance with the age and maturity of the child.
- 3.5 For this purpose, the child shall in particular be provided the opportunity to be heard in any judicial and administrative proceedings affecting the child, either directly, or through a representative or an appropriate body, in a manner consistent with the procedural rules of national law.
- 3.6 The National Youth Advocacy Service which has a history of providing and developing advocacy services at a national level were contracted to provide the service in April 2010 for a period of four years in collaboration with Middlesbrough Council, Stockton on Tees Borough Council, Redcar and Cleveland Borough Council, Darlington Borough Council, South Tyneside Council, Hartlepool Borough Council, Newcastle City Council.

4. PROPOSALS

- 4.1 This paper proposes that the best way of ensuring that children and young people have access to an independent advocacy service while complying with current legislation would be for the service to be delivered by an external organisation that can bring both expertise and challenge and whose primary focus will continue be the in the best interests of the child/young person.
- 4.2 It is proposed that the plan to tender for the Advocacy Service will follow a similar collaborative approach as the current service to minimise costs with Middlesbrough Council, Stockton on Tees Borough Council, Redcar and Cleveland Borough Council, Darlington Borough Council and Hartlepool Borough Council. South Tyneside Council and Newcastle City Council will also be given the option to rejoin the collaborative approach.
- 4.3 Contract monitoring and performance analysis has demonstrated that the current annual contract value remains appropriate. The current provider has been able to meet and respond to the level of demand. The contract value for the service therefore reflects the demand and need for Advocacy activities.

5. FINANCIAL CONSIDERATIONS

- 5.1 To secure the continued delivery of high quality Advocacy Services in Hartlepool it is proposed that the Child and Adult Services Department enter into a collaborative procurement exercise through tender submissions for the

delivery of Advocacy Services for a four year contract, with a value of up to £50,000, commencing April 2014.

6. LEGAL CONSIDERATIONS

- 6.1 Consultation with the existing service provider has taken place and they are aware that notice will be served on the current contract in line with Council Procedures.

7. RECOMMENDATIONS

- 7.1 The Children's Services Committee is requested to approve that Children's Services implement a procurement exercise through tender submissions for a four year contract for the delivery of Advocacy Services for the children and young people from Hartlepool.

8. REASONS FOR RECOMMENDATIONS

- 8.1 This recommendation reflects the Child and Adult Services desire to ensure that the delivery of Advocacy services adheres to the relevant statutory obligations and are procured in such a way as to secure best value in quality and cost for the Local Authority and the local community.

9. CONTACT OFFICER

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CHILDREN'S SERVICES COMMITTEE

5 NOVEMBER 2013



Report of: Assistant Director, Children's Services

Subject: COMMISSIONING OF CHILDREN'S SOCIAL CARE SERVICES (AFTER ADOPTION SUPPORT SERVICE)

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non key.

2. PURPOSE OF REPORT

- 2.1 To request approval from Children's Services Committee to implement a procurement exercise through tender submissions for the delivery of an After Adoption Support Service.

3. BACKGROUND

- 3.1 It is the aim of the current service to offer a quality Adoption Support and Special Guardianship Service to service users as identified in the Adoption Support Regulations 2005 Part 2 sub section 4, namely:
- To ensure that Children & Young People receive support and advice in respect of any issues they may have in relation to their circumstances;
 - To ensure parents receive support and advice in respect of any issues they may have in respect of adoption;
 - To ensure birth relatives receive support and advice in respect of any issues or concerns they may have in respect of the adoption process;
 - To ensure adopted adults receive support and advice in relation to accessing information about their birth records;
 - To promote the values and principles of the Adoption Support Regulations 2005.

- 3.2 To facilitate this, the current provider, After Adoption provides support to birth parents where adoption is the plan for the child. They offer individual expert advice, support or therapeutic interventions for children who have been adopted or their adopters. They also provide support to adopted adults who have questions about their adoption and birth. Support is either one to one or facilitated through groups and social activities for adopters and families to help them to network and share experiences.
- 3.3 After Adoption has a history of providing and developing adoption support services at both a national and regional level and were contracted to provide the service in April 2013 for a period of one year in collaboration with Stockton on Tees Borough Council and Redcar and Cleveland Borough Council. The reason for the one year duration of the current contract was to enable further planning and consultation with other Tees Valley Councils in the aim of widening the collaboration and achieve further economies of scale.

4. PROPOSALS

- 4.1 This paper proposes that the best way of ensuring a quality Adoption Support and Special Guardianship Service through an independent agency, while complying with current legislation would be for the service to be delivered by an external organisation that can bring expertise and a focus in the best interests of the service user.
- 4.2 It is proposed that the plan to tender for the Adoption Support and Special Guardianship Service follow a similar collaborative approach as the current service to minimise costs with Stockton on Tees Borough Council, Redcar and Cleveland Borough Council, Darlington Borough Council and Hartlepool Borough Council. Middlesbrough Council will also be given the option to rejoin the collaborative approach.
- 4.3 Contract monitoring and performance analysis has demonstrated that the current annual contract value remains appropriate. The current provider has been able to meet demand. The contract value for the service therefore reflects the demand and need for Adoption Support and Special Guardianship Service activities.

5. FINANCIAL CONSIDERATIONS

- 5.1 To secure the continued delivery of high quality Advocacy Services in Hartlepool it is proposed that the Child and Adult Services Department enter into a collaborative a procurement exercise through tender submissions for the delivery of Adoption Support and Special Guardianship Services for a four year contract, with a value of up to £49,000 commencing April 2014.

6. LEGAL CONSIDERATIONS

- 6.1 Consultation with the existing service provider has taken place and they are aware that notice will be served on the current contract in line with Council Procedures.

7. RECOMMENDATIONS

- 7.1 The Children's Services Committee is requested to approve that Children's Services implement a procurement exercise through tender submissions for a four year contract for the delivery of an Adoption Support and Special Guardianship Service.

8. REASONS FOR RECOMMENDATIONS

- 8.1 This recommendation reflects the Child and Adult Services desire to ensure that the delivery of Adoption Support and Special Guardianship Service adheres to the relevant statutory obligations and are procured in such a way as to secure best value in quality and cost for the Local Authority and the local community.

9. CONTACT OFFICER

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CHILDREN'S SERVICES COMMITTEE

5th NOVEMBER 2013



Report of: Assistant Director, Education

Subject: SAVINGS PROGRAMME 2014/15 EDUCATION

1. TYPE OF DECISION

For information, members of the Committee are recommended to note the content of this report and formulate a response to be presented to Finance and Policy Committee on 29 November 2013.

2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to identify proposals for the delivery of savings in respect of the Education Service for consideration as part of the 2014/15 budget process.

3. BACKGROUND INFORMATION

- 3.1 The Education Service for Hartlepool Borough Council takes take responsibility for a range of services across the local authority which includes:

- All Schools and the National Primary and Secondary Curriculum;
- 14-19 Strategy, Education for 14-19 age group;
- Schools Capital Strategy, Schools Innovation and Health And Safety;
- Social and Educational Inclusion, Vulnerable Pupils and the Pupil Referral Unit;
- Special Educational Needs;
- E-Learning and ICT in schools;
- Governor Support, School Governor Services and training;
- Performance Management/Management Information relating to service area responsibilities;
- School Admissions and School Place Planning;
- Brokering and commissioning general School improvement monitoring, challenge and support and for Schools causing concern;
- Continuing professional development for all school staff;

- Extended Schools and Early Years strategy development and performance;
 - Educational Psychology.
- 3.2 As part of the 2014/15 Savings Programme, a number of service areas were identified where potential savings could be made. As part of the process for the budget for 2014/15 it has been agreed that individual Policy Committees will consider these savings proposals prior to consideration by Finance and Policy Committee and then Council.
- 3.3 A key point to bear in mind is that the vast majority of the Education Service is funded by the Dedicated Schools Grant (DSG) and that the proportion of the costs contributed by Hartlepool Borough Council is relatively small. A consequence of this is that a large number of the services provided are beyond the scope of this savings programme as they are not funded or are only partly funded by the Council.
- 3.4 Details are provided in this report in relation to the:-
- i) Proposals identified to make the savings;
 - ii) Risks associated with the proposed savings; and
 - iii) Financial considerations taken into account in developing the proposals.

Scope

- 3.5 Potential savings of £487,000 have been identified within the total Education Services budget. All the savings proposed have been evaluated for their potential impact upon the two quantifiable aims of the Children's Services Committee and the Education Service of:
- Ensuring that every school is judged to be Good or Outstanding by OFSTED by December 2015
 - Increasing the percentage of pupils who, at age 16, achieve five or more GCSE Grade A*-C including mathematics and English
- 3.6 The areas of expenditure that are under consideration within this savings review are as follows:
- Services to the 14-19 cohort;
 - Educational Psychology;
 - Data Management Services;
 - Resources and Support Services;
 - Discretionary transport provision.

4. PROPOSALS

Services to the 14-19 cohort

- 4.1 Current Council Budget: £240,000. Proposed reduction: £122,000
- 4.2 In the financial year 2013-14, the overall 11-19 team budget is £240,000, which has a proposed budget reduction in 2014-15 of £122,000, representing a reduction of 51% of the total budget. As one of a small number of budget sections in the education division which are fully funded by the local authority, a cut in the 11-19 budget is being proposed to allow the division to meet its budget reduction target.
- 4.3 The 11-19 team is funded as part of the Local Authority Formula grant which formed part of the transfer of Learning and Skills Council staff and their responsibilities under the Education and Skills Act 2008. In October 2010, following the local government spending review, this grant was no longer ring fenced allowing the local authority to allocate funds to local priorities.
- 4.4 The team currently fulfils the local authority statutory duty in respect of the following functions:
- The local authority acts as the strategic commissioner of provision for young people aged 16-19, and those aged up to 25 who are subject to a learning difficulty assessment.
 - Supports the identification and assessment of Special Educational Needs, making and reviewing Special Educational Needs statements, ensuring a transition plan from age 14 and securing access to learning for young people post-16.
 - Supports the duty to 'assist, encourage and enable' young people aged 13-19 – and young adults with a learning difficulty and/or disability up to the age of 25 – to participate in education or training and is required to promote the effective participation in education or training of the young people in their area to 18 – or 25 for those with learning difficulties or disabilities.
 - Support work experience for persons over compulsory school age in England
- 4.5 In addition the team supports schools and colleges to carry out their duties by:
- Managing the post-16 SEN funding including allocation and placement of students;
 - Supports the SEN pathfinder project, including planning of conferences, and the development of the web site for the local offer;
 - Manages the Hartlepool post-16 bursary fund;
 - Supports careers advice and guidance including the year 11 Choices Event;
 - The education element of the Hartlepool Youth Investment Project;
 - Supports local NEET reduction initiative;
 - Gives advice and guidance on post-16 funding;

- Manages the 11-19 Partnership and working groups and supports the Tees Valley Sub Regional group as part of the work of Tees Valley Unlimited;
 - Manages the commissioning of alternative education and vulnerable pupils;
 - Supports secondary school improvement.
- 4.6 The size of the proposed cut in the 11-19 budget is large and will therefore will have significant risks associated with the proposal. The risks include potential redundancies in the 11-19 team, which may result in the size of the team being reduced from its current four members of staff, and the capacity to deliver fully the Raising Participation Strategy (RPA), post SEN funding reforms and support for the commissioning for post 16 education and training.
- 4.7 To reduce the level of risk and to try to ameliorate the potential disruption of services, it is therefore proposed to reduce the 11-19 team to three from four members of staff and to then realign duties to support the increasing pressure on the special education needs team following the resignation of the team manager. It is further proposed to redistribute job roles and responsibilities within both the 11-19 and SEN teams. This proposal would support the 0-25 SEN reforms and allow the 11-19 and SEN teams to plan budgets collaboratively and could be achieved through reconfiguring the vacant post leading to the deletion of only 1 post, which, it is anticipated, is likely to be a voluntary redundancy.

Educational Psychology

- 4.8 Current Council Budget: £157,000. Proposed reduction: £50,000
- 4.9 The Hartlepool Psychology Team applies psychology to improve outcomes for children and young people, particularly those with special or additional educational needs. The Educational Psychology team works in consultation with schools, early years settings, and other agencies within Child & Adult Services in relation to issues and concerns related to the learning, emotional and social development of children and young people. The team has a statutory function in relation to the assessment of children and young people with Special Educational Needs.
- 4.10 In 2009/10, prior to Business Transformation Processes and government cuts, the Local Authority funded the whole of the Educational Psychology Service which included an early intervention / preventative element as well as the statutory service. Since that time the Psychology Team has operated a successful income generation strategy. As Local Authority funding has reduced, the income generated has increased to maintain the level of service, with the Local Authority now funding only the statutory provision. A recent service evaluation was extremely positive and noted that 100% of respondents believed the service to be of a high quality. In the light of this feedback it is highly likely that schools will continue their buyback arrangements and the service proposes to increase its income generation target by £50,000 in order to compensate for the proposed reduction in its budget.

- 4.11 The proposed reduction in the Psychology Team budget does carry some risks as new SEN legislation raises the age range of the client group up to 25 years which will inevitably mean more cases and more time. However the strength of the current business model is such that it is envisaged that all children's needs will continue to be met even with this proposed budget reduction.

Data Management Services

- 4.12 Current Council Budget: £144,931. Proposed reduction: £40,000
- 4.13 The Performance Management Team (Children) is responsible for producing management information, completion of statutory returns, performance monitoring and information governance across children's services. The team provides data analysis, information, advice and support to all children's services teams ranging from early years, early intervention, children's social care, youth offending to education and post-16 provision. The team also provides a service to all schools and academies across Hartlepool, including completion of statutory returns and analysis of school performance data at vulnerable group and individual child level.
- 4.14 The team is responsible for the completion of a significant number of statutory returns and has many years of experience in producing accurate and timely information. A recent Department for Education report showed Hartlepool as 1 of only 5 local authorities nationally to have achieved 100% accuracy for year on year reporting of children in need. All statutory returns are completed to an excellent standard and within statutory deadlines.
- 4.15 An additional School Performance Data Service is available to all Hartlepool schools for an annual charge. Schools are given the opportunity to provide feedback on all analyses produced and this feedback is used to further develop the information provided. The termly Secondary School Data Group gives all schools and academies with secondary age pupils the opportunity to inform the development of analyses to improve pupil performance and support inspection. Historically the service has been taken by 100% of Hartlepool schools. Evaluations are completed for all training courses provided.
- 4.16 The service provides information to inform planning and decision making. For example
- analyses of pupil projections are used to determine education and pupil place planning requirements and to inform decisions on significant planning applications;
 - bi-monthly performance clinics are held with social care team managers to improve team performance and identify areas for development;
 - in-depth analyses of key stage results are provided to schools to identify areas of strength and challenge at school, group and individual pupil level to support school improvement;

- statutory returns such as the termly School Census are collated, cleaned and validated before submission to DfE in order to access funding for schools and the local authority and inform budget allocation;
- quarterly performance information is provided across children's services and reported to the departmental management team and relevant committees;
- training, advice and support on information governance issues are provided to the department to reduce the risk of a data breach and subsequent fine.

4.17 The service provides all stakeholders with accurate, up to date and timely information on all areas of children's services to enable identification of areas of strength and challenge and to monitor performance. The Local Authority and schools are able to access funding based on the statutory returns completed by the team and determine how funding should be used based on the analysis of the data. Analysis of school attainment information is used by schools to improve pupil performance and provide self evaluation information to inspectors. Information produced is also used to inform service development and monitor effectiveness.

4.18 To reduce the overall cost to the council of Data Management Services but to maintain the current staffing level of the DMS team, the Performance Management Team (Children) section will offer additional services in order to increase revenue. Options currently being considered include:

- An enhanced data analysis service to schools including analysis of additional year groups and written interpretation of data;
- Additional training courses for schools and school governing bodies;
- Developing further the data analysis services currently being offered to other Local Authorities.

Resources and Support Services

4.19 Current Budget: £876,000. Proposed reduction: £150,000

4.20 Following a review of administrative support across the whole of Child and Adult Services Department, it is proposed that Resources and Support Services be restructured which will result in savings for 2014/15 of £150,000. In addition, it is estimated that there will be in-year savings for 2013/14 of approximately £50k. It is proposed that this saving will be achieved by deleting a number of vacant posts and transferring some posts to other vacancies within the department.

4.21 These proposed savings have been achieved without making any compulsory redundancies. Many of the vacancies have arisen during the financial year and agreement was reached not to fill these posts. Two existing post holders

will take ER/VR at the end of 2013, and other members of staff have been moved into vacant positions within the service areas.

Review of Discretionary Transport Plan

- 4.22 Current Budget: £125,000. Proposed reduction: £125,000
A separate report on the saving to be made by the proposed removal of discretionary transport will be presented to the Children's Services Committee.

5. OPTIONS ANALYSIS

- a. A range of alternative options to achieve the required savings have been explored across Education Services and have been discounted, primarily due to the level of risk involved. These include:
- Reducing capacity in the School Buildings and Capital team – considered too high risk due to impact of academy conversion and the Priority Schools Building Programme over the next three years.
 - Reducing capacity in School Attendance Team – the LA continues to carry the statutory responsibility to prosecute parents of non-attendees and the Attendance Team are fully funded by schools. No cut is therefore possible.
 - Reducing capacity in the Inclusion Team – given the high number of vulnerable pupils that access the range of services in this area, including Home and Hospital, Exclusions, Looked After Children and the growing number of funded 'High Needs' students, the risk of reducing front-line, immediately responsive services is too high.
 - Ethnic Minority Support – used extensively by some but not all school, the low saving to the council is outweighed by the benefits that the service brings to those schools, children and families that access this service.

6. RISK IMPLICATIONS

- 6.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:
- The Education Service continues to be heavily funded by schools via the de-delegation process agreed by the Schools' Forum. The Local Authority annually has to request that schools de-delegate parts of their budget to support services offered by the Local Authority. If a sufficient number of schools decide not to de-delegate the funding, then a funded service is immediately placed at risk.
 - In addition, academies do not form part of the de-delegation process and so the Local Authority has to separately negotiate a contract with the academies in order to raise sufficient funds to maintain a service. The negotiation process is currently taking place in order to agree contracts

for services for the rest of this financial year (for the period of 2013-14 that the school was an academy) and for 2014-15.

- Reduced staffing will lead to reduced flexibility in the Education Services administrative team, which may result in delays in completing assigned tasks with a related negative impact upon relationships with schools
- Reviewed services that currently have service level agreements with schools in order to generate and increase income, such as Educational Psychology and Data Management Services, will have to both secure current business and capture new business in order to maintain their current level of service in an increasingly competitive market.
- The re-structure of 11-19 Services, which will involve closer management of the provision between SEN / Inclusion and 11-19, will need to be carefully planned and monitored to ensure that there is no negative impact on the young people of the town in terms of reduced provision.

7. FINANCIAL CONSIDERATIONS

- a. It has been highlighted in previous reports that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

The proposals deliver the following proposed savings:-

Service	Proposed Savings
Services to 11-19 Cohort	£122,000
Educational Psychology	£50,000
Data Management Services	£40,000
Resources and Support Services	£150,000
Discretionary Transport	£125,000
Total Proposed Savings	£487,000

8. EQUALITY AND DIVERSITY CONSIDERATIONS

- 8.1 An Equality Impact Assessment has been undertaken and is attached at **Appendix A**.
- 8.2 By definition, all of the savings proposals in Education Services will affect the people who access the service, all children and young people aged 2-25 and their parents / carers.

9. STAFFING CONSIDERATIONS

- 9.1 Informal consultation with Trade Unions regarding the staffing implications of the savings proposals has been undertaken. Staff affected by the proposals

have been informally notified and formal consultation will be undertaken (in line with agreed HR policies and procedures) if the proposals are accepted.

- 9.2 It is proposed that a total of 8.5 fte posts be deleted to assist in meeting the Education Services saving target. However, there will be no compulsory redundancies, as detailed above, although a significant restructuring of posts is proposed.

10. RECOMMENDATIONS

- 10.1 It is recommended that Members of the Committee note the content of this report and formulate a response to be presented to Finance and Policy Committee on 29 November 2013.

11. CONTACT OFFICER

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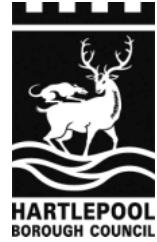
Department	Division	Section	Owner/Officer
Child & Adult Services	Education		Dean Jackson, Assistant Director – Education
Function/ Service	Education Services <ul style="list-style-type: none"> • All Schools and the National Primary and Secondary Curriculum • 14-19 Strategy, Education for 14-19 age group • Schools Capital Strategy, Schools Innovation and Health And Safety • Social and Educational Inclusion, Vulnerable Pupils and the Pupil Referral Unit. • Special Educational Needs • E-Learning and ICT in schools • Governor Support, School Governor Services and training • Performance Management/Management Information relating to service area responsibilities • School Admissions and School Place Planning • Brokering and commissioning general School improvement monitoring, challenge and support and for Schools causing concern • Continuing professional development for all school staff. • Extended Schools and Early Years strategy development and performance • Educational Psychology 		
Information Available	<p>Savings proposals have been identified following careful consideration of budgets and existing structures.</p> <p><i>Services to 11-19 cohort</i> – To reduce the level of risk and try to ameliorate the potential disruption of services, it is proposed to reduce the 11-19 team to three from four members of staff and to then realign duties to support the increasing pressure on the special education needs team. This realignment of duties would be part of the reorganisation of the SEN team following the resignation of the team manager and would allow both the 11-19 and SEN teams to retain a wider range of skills and the capacity to implement the local authority statutory duties.</p> <p><i>Educational Psychology</i> - whilst it is not anticipated that the proposed reduction in funding will have an impact on service users, there will be less flexibility for services to respond to any increased demand. The Local Authority will continue to meet its statutory responsibilities. It should be noted that the impending new SEN legislation which raises the age range of the client group up to 25 years and requires more comprehensive and coordinated assessment will inevitably mean more cases and more time.</p>		

	<p>Resources and Support Services - whilst it is not anticipated that the proposed reduction in funding will have an impact on service users, there will be less flexibility for services to respond to any increased demand. However, there may be an indirect impact as the workloads for remaining administrative staff increase.</p> <p>Data Management Services - The impact on service users will be monitored as part of the new arrangements to ensure that in pursuing new funding opportunities, the current high-level of service to users is not compromised.</p>	
Relevance <i>Identify which strands are relevant to the area you are reviewing or changing</i>	Age	X
	Disability	X
	Gender Re-assignment	
	Race	
	Religion	
	Gender	
	Sexual Orientation	
	Marriage & Civil Partnership	
	Pregnancy & Maternity	
Information Gaps	<p>The majority of the identified savings have no direct impact on service users. The reorganisation of services to the 11-19 Cohort, however, to include shared responsibility with SEN/Inclusion will need to be closely monitored to ensure that the current comprehensive support continues to be offered to all young people in this age range.</p>	
What is the Impact	<p>Eliminate Unlawful discrimination, harassment, victimisation, and any other conduct prohibited by the act N/A</p>	
	<p>Advance Equality of Opportunity, between people who share protected characteristics and those who don't N/A</p>	
	<p>Foster Good Relations, between people who share a protected characteristic and people who do not share it. N/A</p>	
Addressing the impact	1. No Impact- No Major Change	
	<p>2. Adjust/Change Policy: A change of policy will be needed to manage the local 11-19 provision. Relationships between the 11-19 and SEN/Inclusion departments are, however, strong and well-established. Young people should notice no difference in the provision made for them. In addition, the restructuring of the SEN team will allow key 11-19 skills to be retained whilst maintaining the full SEN provision.</p>	

		3. Adverse Impact but Continue	
		4. Stop/Remove Policy/Proposal	
Action identified	Responsible Officer	By When	How will this be evaluated?
Consultation with staff.	Dean Jackson Assistant Director	31 January 2014	Staff will have been offered the opportunity to consider / comment on proposals and put forward alternative suggestions, in line with agreed HR policies and procedures.
Monitor provision of Educational Psychology time to schools	Jacqui Braithwaite	31 March 2015	Ongoing collection of evaluation information from schools and a outcomes from annual EP survey.
Monitor income generation targets	Kay Forgie	31 March 2014	If additional income funding is identified, the saving can be achieved without a post being deleted.
Monitor progress of new arrangements for 11-19 provision.	Dean Jackson Zoe Westley	31 March 2015	Ongoing collection of performance information from provider(s).

CHILDREN'S SERVICES COMMITTEE

5 November 2013



Report of: Director Child and Adult Services

Subject: SAVINGS PROGRAMME 2014/15 – CHILDREN'S SERVICES

1. TYPE OF DECISION

For information, members of the Committee are recommended to note the content of this report and formulate a response to be presented to Finance and Policy Committee on 29 November 2013.

2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to identify proposals for the delivery of savings in respect of the Children's Services division of Child and Adult Services for consideration as part of the 2014/15 budget process.

3. BACKGROUND INFORMATION

- 3.1 As part of the 2014/15 Savings Programme, a number of service areas were identified where potential savings could be made. As part of the process for the budget for 2014/15 it has been agreed that individual Policy Committees will consider these savings proposals prior to consideration by Finance and Policy Committee and then Council.

- 3.2 Details are provided in this report in relation to the:-

- i) Proposals identified to make the savings;
- ii) Risks associated with the proposed savings; and
- iii) Financial considerations taken into account in developing the proposals.

- 3.3 In further developing the information provided to Members to assist them in consideration of budget proposals, experience gained through the implementation of a Social Return on Investment (SROI) process by the Regeneration and Planning Services Scrutiny Forum is to be utilised. Key to the SROI process was the provision of additional information in relation to the aim and scope of the service, its service users and engagement, inputs, outputs and outcomes. On this basis, information in relation to Children's Services is also provided below.

3.4 The Children's Services division of Child and Adult Services has a range of statutory and non statutory responsibilities. It is responsible for the delivery of:

- Social care services for children in accordance with the Children Act 1989, this includes provision for children in need (including those in need of protection) children looked after and care leavers;
- The Youth Offending Service in accordance with the Crime and Disorder Act 1998;
- Early intervention services for children, young people and their families including the provision of children's centres, family support and the families information service;
- The Youth Support Service including the provision of youth clubs and services for young people not in education, employment or training;
- Hartlepool Safeguarding Children Board;
- Strategic commissioning for children.

AIM

3.5 The division is structured to provide support services to children, young people and their families across the continuum of need from early help through to specialist services such as social care or the Youth Offending Service. The aim of this is to ensure that families receive the right services at the right time and where a child is identified as having needs that cannot be met through universal services alone, a range of responsive tailored services are available to the child and his/her family to prevent need from escalating and becoming more acute. Children's Services support vulnerable children and their families throughout Hartlepool with a particular focus on identified 'hotspot' areas and work in partnership with other services such as health and education to provide a Team Around the Child/Family approach.

SCOPE

3.6 The following areas of service are within the scope of this proposal:

- Social work services for children in need (including those in need of protection);
- Family Resource team;
- Services for looked after children including provision of residential and foster care, services for care leavers and the adoption service;
- Youth Support Service;
- Review and development unit and Independent Reviewing Officer service;
- Hartlepool Safeguarding Children Board;
- Commissioned services for children.

3.7 Due to significant cuts that were announced in September 2012 in relation to the Early Intervention Grant, budget reductions within these service areas

were the subject of a separate report that was considered by Children's Services Committee on 1 October 2013 and are therefore not within the scope of this report.

- 3.8 Over recent years, significant divisional savings have been achieved from the Youth Offending Service. Parallel to this, there have been changes to the way the service is funded over recent year with changes to the grant arrangements from Government Departments and the Youth Justice Board as well as the transfer of funding to the Police and Crime Commissioner for the commissioning of Youth Offending Services in the local area. It is expected that in 2014/15 a revised funding formula will be implemented in relation to Youth Offending Services. At this stage the funding formula has not been publically announced but it is anticipated that Hartlepool will lose rather than gain in any new formula. Therefore, this service is not within the scope of this report as it will be necessary, once the 2014/15 grant is known, to separately manage any income reductions and deliver the service within the revised cost envelope.

SERVICE USERS

- 3.9 Children's Services provide services to children and young people between the ages of 0 – 18 where there is an arising need and services are required to safeguard and/or promote their welfare. For some specific groups, for example young people with disabilities, those leaving care and those not in education employment or training, services are extended beyond childhood up to the age of 25. In responding to the needs of children and young people, the service works with the child's parents, carers and significant others to ensure that family members have their needs met wherever possible to enable them to provide safe and effective care for their children and promote their wellbeing.

ENGAGEMENT

- 3.10 The service undertakes regular engagement activity with service users across the breadth of the service and within each service area. The service has a Participation Strategy which outlines how children, young people and their families are engaged in shaping and influencing the delivery of services they receive individually as well as the wider development of policy and services provided by the division. In 2012, the service was awarded the Gold 'Hear by Right' Award in recognition of the work in putting young people's voices at the heart of service delivery and development.
- 3.11 There are a number of engagement and consultation groups which inform the development of services, these include, amongst others, the Children in Care Council, Friends of Exmoor Grove, One Hart, One Mind One Future, (parents Forum), Young Inspectors, Youth Parliament and Children's Centre Forums. Feedback from services users is also sought through satisfaction surveys, which are sent out at the point of case closure for all social care cases, exit interviews, comments, compliments and complaints received and focus groups to consult on particular proposals or developments.

- 3.12 The information received through consultation and participation activity informs the remodelling and development of services and policies and procedures that govern how services are to be provided.

INPUTS

- 3.13 The total expenditure for Children and Education Services (excluding the Dedicated Schools Grant) is £22.7m of which £18.9m is allocated to Children's Services. The table below provides a summary of the budget commitment in 2013/14 for the Children's Services division.

<u>Children's Services</u>	Budget
Children & Families	11,698
Early Intervention Grant	6,270
Information, Sharing and Assessment	58
Youth Offending	463
Integrated Youth Service	423
<u>Sub-Total Child</u>	18,912

OUTPUTS/OUTCOMES

- 3.14 Children's Services deliver services to children, young people and their families to enhance their quality of life and achieve key outcomes in terms of safety, health, education, wellbeing and supporting successful transitions to adulthood. Services are provided across the universal, targeted and specialist services continuum.
- 3.15 The Children's Services Division provides service to children in Hartlepool in accordance with their needs and includes the delivery of universal, targeted and specialist services. Children's social care is responsible for ensuring that children are protected from harm, receive services to meet any assessed needs they may have and their welfare is promoted to achieve improved outcomes. For children who are looked after and leaving care, the service fulfils a statutory and corporate parent responsibility providing children with appropriate care placements to meet their needs, promoting their education, health and social and emotional wellbeing and supporting young people into independence. Children's social care services are regulated via various inspections undertaken by Ofsted. The current judgments of regulated services are as follows:
- Announced Inspection of Safeguarding and Services for Looked After Children – GOOD (June 2010);
 - Adoption Service – SATISFACTORY (May 2011);
 - Fostering Service – GOOD (July 2012);
 - Residential Care Exmoor Grove – GOOD (September 2013).
- 3.16 Performance of the service is monitored via statutory returns to the Department for Education on an annual basis. The service performs well with the majority of indicators achieving or exceeding their target and when compared with the national average and regional and statistical neighbours.

4. PROPOSALS

- 4.1 The savings target for Children's Services is £268,000; £40,000 of this saving has already been identified in the earlier report delivering savings of £1.52m from the Early Intervention Grant in the area of Youth Services. This report therefore puts forwards proposals to deliver savings of £228,000

DIVISIONAL MANAGEMENT STRUCTURE

- 4.2 The division currently covers a broad portfolio of services for children, young people and their families. Each service is managed by a Head of Service and the management structure is regularly reviewed to ensure that seamless services are delivered and the structure does not result in unnecessary barriers to services.
- 4.3 In delivering the service going forward, it is proposed that the management team is reduced by one Head of Service and the management structure is remodelled to deliver integrated services either through a single head of service for all locality based early intervention provision or through integrated teams (early intervention and social care) based on the two north and south locality models. The Management team are holding a development session later in October to consider the merits of these options and which proposal will best meet the needs of children and young people in Hartlepool, maximising the skills of the management team. The reduction of one Band 15 Head of Service post will achieve a saving of £60,000. The impact of removing this post will mean that the remaining Heads of Service and the Assistant Director will need to pick up the additional work that still needs to be delivered to support children and young people. This will increase the workload of the remaining staff who already have significant portfolios and will increase their spans of control. The primary focus will remain the delivery of safe and effective services for children but there will be reduced capacity to undertake, for example, development work or work on new initiatives. Increasing spans of control and reducing capacity brings an inherent risk that gaps may appear and children are at increased risk with a consequent reputational risk to the Council.
- 4.4 The services currently benefits from one Review and Development Officer post. This post supports best practice in relation to the Integrated Children's System (ICS), the electronic case management system which underpins children's social care work. This includes, amongst other things, working with social workers and managers on maximising the potential of the system, ensuring that the system supports best social work practice, working with suppliers to improve and develop the system and respond to national changes in policy and problem solving any issues which emerge. The role also includes working closely with other supporting the e-CAF system, the management information system which underpins early intervention work to ensure that systems are compatible and transfer information. It is proposed that this post is deleted from the structure in 2014/15 achieving a saving of £48,000. The impact of removing this post will mean that there is significantly less capacity within the service to support the continuing development of ICS

and resolve emerging issues and difficulties from a social work practice perspective. The risk is that we will have limited capacity to engage with suppliers on the service requirements from the system and will have a much more 'off the shelf' model which limits scope for innovation and achieving a system that supports local arrangements.

- 4.5 In preparation for the development of the 2014/15 savings proposals, a review has been undertaken of the staffing complement of the Hartlepool Safeguarding Children Board (HSCB). The Board is a statutory partnership under Section 14 of the Children Act 2004 set up to coordinate what is done by each organisation or body represented on the Board to safeguard and promote the welfare of children and ensure the effectiveness of these arrangements. Funding for HSCB is made up of a partnership budget which includes contributions from partner agencies and is managed and administered by the local authority. The local authority is the largest contributor to HSCB. Having reviewed the staffing arrangements in the light of budget pressures, it is proposed that the 0.5 support worker post is deleted. This will generate a saving to children's services of £10,000 with a corresponding saving also achieved within adult's services. The deletion of this post will reduce the capacity of the business unit which supports the work of HSCB, particularly in the context of the recently announced Ofsted inspection of Local Safeguarding Children Boards. However it is considered that the work of the Board can still be effectively supported going forward.

RESOURCE TEAM

- 4.6 The Resource Team is made up of family support workers who support the social work intervention with children and their families. The resource team provides a contact service where children are looked after, parenting assessments to inform decision making about the safeguarding and welfare of a child and packages of support to individual children and families to prevent family breakdown. It is proposed that a vacant post within this service is deleted to contribute to the savings generating a saving of £30,000. The reduction of one post will reduce the capacity of the service, however the team has managed demand effectively whilst carrying this vacancy.
- 4.7 It is further proposed that an additional £30,000 from the non pay budget is removed from this service. The service carries a budget to enable it to deliver responsive, intensive support packages to children; this budget has underspent in recent years due to prudent financial management and creative practice involving low costs activities. Therefore it is proposed that this budget is removed.

WORKFORCE DEVELOPMENT

- 4.8 The budget for Children's workforce development is £93,000. This commissions training and development activity for all staff within the division. In addition to the allocated budget, the service also receives an income from the government for the training and development of newly qualified social workers during their Assessed and Supported Year in Employment which is

used to commission and/or deliver workforce development. The amount of income is dependent upon the numbers of ASYE staff with the department each year; £2,000 is paid per social worker. This year, children's services have received £12,000 ASYE funding.

- 4.9 It is proposed that the workforce development budget is reduced by £50,000. The impact of this will be that children's services workforce development will be focussed on the delivery of essential training to meet statutory requirements. Each year a training needs analysis is completed by managers and this will inform what workforce development will be delivered in the forthcoming year. There will be a priority placed on safeguarding training and the development of core social work skills. Desirable training and attendance at higher cost regional and national training events will only be considered where funding permits. Within the whole department it has been proposed that all workforce development budgets are merged into a single budget to allow for greater resilience and flexibility.

YOUTH SUPPORT SERVICE

- 4.10 The Youth Support Service is funded by both the Early Intervention Grant and base budget and a target saving of £40,000 is proposed from the base budget funding to the Youth Support Service. This saving has been achieved through the review of the Early Intervention Strategy and savings proposals previously considered by Committee.

5. OPTIONS ANALYSIS

- 5.1 A number of other savings options have been considered within Children's Services, however these have been discounted primarily due to the potential impact they have on service delivery and the risks associated with realising the savings. These include:
- Freezing foster care allowances. HBC currently pays the Fostering Network recommended allowance rates to foster carers and has, year on year, uplifted its rates in accordance with the recommended rate. This has ensured that the Council competes well in the fostering market and continues to attract prospective foster carers to the Council. Not uplifting foster carers rates on an annual basis will have an impact upon our ability to continue to recruit foster carers and may result in existing carers moving to the independent sector. The loss or slowing of recruitment of foster carers will increase the Council's dependence upon the provision of foster placements from the independent sector which are higher cost as an agency fee is paid in addition to the carers allowance for the child. In the long term, this shift will result in substantially higher placement costs for the local authority and therefore would be a false economy.
 - Reduce capacity within social work teams. There has, over the past two years, been an increasing demand for services for children and young people and their families as demonstrated by the increasing

numbers of referrals to social care and increase in children subject to a child protection plan and looked after. Staff caseloads are high in comparison with other local authorities across the region and are currently under review. Any reduction in the number of social workers in the teams will increase caseloads to an unmanageable and unsafe level and result in unacceptable risks in terms of child protection, staff well being and achievement of performance indicators.

- Reduce budget committed to supporting adoption placements and purchasing placements for children who cannot be placed within our own resources. In 2012/13 this budget underspent as the council was able to recruit adopters to provide placements for children awaiting adoption. In 2013/14 the government announced one year ring fenced grant for local authorities to improve adoption services which also places additional resources into adoption. However, this is a volatile budget which is demand led. There are also significant policy and legislative changes underway in relation to adoption such as equalisation of fees leading to the cost of placements increasing in the future. Therefore without the continued commitment from grant funding, it is likely that this budget will be fully spent in future years.
- Further reduction in prevention and early intervention services. In 2014/15, £1.5m will be removed from early help services for children and young people. Further budget cuts in this area make the strategy and services delivered unsustainable. It is also anticipated that reducing the capacity of early intervention services will very likely increase pressure on specialist services for example youth offending and children's social care which are higher cost.
- Further reductions in the Youth Offending Service – there are plans to revise the funding formula for the Youth Offending Service and in the future, some or all of these services will be commissioned by the Police and Crime Commissioner. The uncertainty of future funding of the Youth Offending Service means that cuts should not be considered until the future arrangements and their impact on the local service becomes clear.

- 5.2 The above options have not been proposed for savings for the reasons outlined. The proposals outlined in this report in the view of officers are the most efficient and effective options as they have the lowest risks associated with them in terms of impact upon children and young people and service delivery.

6. RISK IMPLICATIONS

- 6.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- Reduced management capacity and increased spans of control to effectively manage children's services. There will be additional

demands on managers and the risk that gaps may arise in services and children not receive appropriate and timely services as a result. In addition, there will be less management capacity to deliver service development and innovation. The existing management team however is strong and cohesive and will work hard to manage and mitigate these risks.

- Reduced capacity to engage with ICS suppliers on the service requirements from the system and will have a much more 'off the shelf' model which limits scope for innovation and achieving a system that supports local arrangements.
- Capacity pressures within resource team to deliver the breadth of services currently offered to families. The priority will be to provide a high quality contact service and family support to families in crisis.
- Reduced opportunity for staff to undertake desirable workforce development activity.

7. FINANCIAL CONSIDERATIONS

7.1 It has been highlighted in previous reports that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

7.2 From the perspective of the service, the proposals outlined in this report are sustainable and deliverable, whilst taking into account the impact and risks detailed in this report.

7.3 The proposals deliver the following proposed savings:-

Service	Proposed Savings
Review of Management Structure	£118,000
Resource Team	£60,000
Workforce Development	£50,000
Total Proposed Savings	£228,000

N.B. £40k saving from Youth Support Service to be taken from base budget has been identified and included in Early Intervention Savings report to Committee on 01/10/13

7.4 The savings proposed have staffing implications with potential redundancy costs attached. The exact costs can't be determined until redeployment opportunities are fully explored and the relevant redundancy selection processes are undertaken.

8. EQUALITY AND DIVERSITY CONSIDERATIONS

- 8.1 An Impact Assessment has been undertaken and is attached as **Appendix 1**.
- 8.2 The vast majority of children who receive services from the division are vulnerable children and their lives are affected by issues such as poverty, abuse and neglect, poor parenting and deprivation. The savings proposals will affect vulnerable children through the reduction in funding to the services they receive. However, in identifying these savings proposals, every effort has been made to minimise the impact on vulnerable children by identifying the least disruptive options and where capacity remains within the service to mitigate the impact.

9. STAFF CONSIDERATIONS

- 9.1 There are staffing implications arising from the savings proposed in relation to the review of the divisional management structure. Preliminary discussion has taken place with the Trade Unions on the impact of the proposed savings on staffing. Staff affected by these proposals have been informally notified by managers that these proposals are being put forward.
- 9.2 If the proposals are accepted by the Committee, a full consultation process will be undertaken with staff and trade unions and redeployment opportunities identified wherever possible. Should suitable alternative employment not be available there are redundancy costs associated with this proposal. Within these proposals it is anticipated there will be one voluntary redundancy offer accepted.

10. RECOMMENDATIONS

- 10.1 That Members of the Committee note the content and formulate a response to be presented to Finance and Policy Committee on 29th November 2013.

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Hartlepool Borough Council
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Email: sally.robinson@hartlepool.gov.uk

BACKGROUND PAPERS

The following background paper was used in the preparation of this report:-

Children's Services Committee: Savings Proposals for Early Intervention
Services 1 October 2013

Impact Assessment Form

Department	Division	Section	Owner/Officer
Child and Adult Services	Children's Services		Sally Robinson
Function/Service	Children's Services division of Child and Adult Services		
Information Available	<p>Children receiving services from Children's Services are amongst the most vulnerable children in the town and their lives are affected by issues such as poverty, abuse and neglect, poor parenting and deprivation. As a consequence, they are vulnerable to poor outcomes in terms of their health, education and social and emotional development. Within this group of vulnerable children, the division provides services to children looked after, children at risk of significant harm and children and young people in the Youth Offending Services. These children are especially vulnerable and have significantly poorer outcomes when compared to their peers for example in areas such as educational achievement, mental health and wellbeing and engagement in education, employment and training.</p> <p>The division provides services to children, young people and their families across the continuum of need including universal services e.g. youth clubs; targeted services e.g. children's centres and prevention teams; and specialist services e.g. children's social care and youth offending service.</p> <p>Services are delivered in accordance with the statutory framework through the Children Act 1989 and 2004 and the Crime and Disorder Act 1998. As at 31 August 2013, there were 1,159 children were active to social care, of whom, 196 were looked after, 130 were subject to a child protection plan and 833 were children in need.</p> <p>Demand for services is high and the service has seen an increase in the numbers of referrals for both prevention and social care services. The delivery of the savings will impact upon the services provided as there will be less funding within the budget to manage resources flexibly. There will be reduced management capacity within the service with managers having greater spans of control. This will reduce opportunity for service development and innovation.</p> <p>The removal of a post which supports the integrated children's system will not impact directly on people who receive the service but will mean that the system may be less responsive to local practice and there will be limited</p>		

APPENDIX 1

	<p>capacity for development of the system in response to local changes.</p> <p>Reduction in funding for workforce development will mean that only essential training can be delivered for staff. It is essential that this focuses on safeguarding and core social work skills to ensure that the workforce remains responsive in their practice and continue to provide high quality services to children and their families.</p> <p>Reduction in the staffing complement of the Resource team will directly impact upon the support provided by that team to children and young people. This will affect all children who receive services. The reduction in funding to support tailored support packages will mean that activity will need to be well targeted and low cost.</p> <p>There are staffing implications to the proposed savings. If the proposals are accepted by the Committee, a full consultation process will be undertaken with staff and trade unions and redeployment opportunities identified wherever possible. Should suitable alternative employment not be available there are redundancy costs associated with this proposal. Within these proposals it is anticipated there will be one voluntary redundancy offer accepted.</p>																																				
Relevance <i>Identify which strands are relevant to the area you are reviewing or changing</i>	<table> <tr> <td>Age</td><td>J</td></tr> <tr> <td></td><td></td></tr> <tr> <td>Disability</td><td>J</td></tr> <tr> <td></td><td></td></tr> <tr> <td>Gender Re-assignment</td><td>J</td></tr> <tr> <td></td><td></td></tr> <tr> <td>Race</td><td>J</td></tr> <tr> <td></td><td></td></tr> <tr> <td>Religion</td><td>J</td></tr> <tr> <td></td><td></td></tr> <tr> <td>Sex</td><td>J</td></tr> <tr> <td></td><td></td></tr> <tr> <td>Sexual Orientation</td><td>J</td></tr> <tr> <td></td><td></td></tr> <tr> <td>Marriage & Civil Partnership</td><td>J</td></tr> <tr> <td></td><td></td></tr> <tr> <td>Pregnancy & Maternity</td><td>J</td></tr> <tr> <td></td><td></td></tr> </table>	Age	J			Disability	J			Gender Re-assignment	J			Race	J			Religion	J			Sex	J			Sexual Orientation	J			Marriage & Civil Partnership	J			Pregnancy & Maternity	J		
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Sex	J																																				
Sexual Orientation	J																																				
Marriage & Civil Partnership	J																																				
Pregnancy & Maternity	J																																				
Information Gaps	No gaps in information identified. The savings proposals have been developed over a six month period allowing sufficient time for all of the relevant information to be taken into consideration.																																				
What is the	The proposed changes support the three aims of the																																				

APPENDIX 1

Impact	Equality Act to ensure services provided are appropriate to the needs of children and young people.		
Aim 1: Eliminate unlawful discrimination, harassment, victimisation, and any other conduct prohibited by the act.			
Aim 2: Advance Equality of opportunity, between people who share protected characteristics and those who don't.			
Services for vulnerable children aim to improve life chances, opportunities and outcomes.			
Aim 3: Foster good relations between people who share a protected characteristic and those who do not share it.			
Services for vulnerable children and young people, promote their needs and improving outcomes lead to improved community cohesion.			
Addressing the impact	1. No Major Change		
	2. Adjust/Change		
	3. Continue as is		
	4. Stop/Remove		
Action identified	Responsible Officer	By When	How will this be evaluated?
Date sent to Equality Rep for publishing		11/10/13	

CHILDREN'S SERVICES COMMITTEE

5 November 2013



Report of: Assistant Director, Children's Services

Subject: OUTCOME OF RECENT OFSTED INSPECTION OF EXMOOR GROVE CHILDREN'S HOME

1. TYPE OF DECISION/APPLICABLE CATEGORY

For information.

2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to present to Children's Services Committee feedback regarding the recent inspection of Exmoor Grove Children's Home by OFSTED.

3. BACKGROUND

- 3.1 OFSTED has a duty to inspect children's homes twice a year. Usually there will be a full inspection followed by an interim inspection. The scheduling of inspections takes account of: legal requirements, previous inspection findings, complaints and concerns about the service and notifications and monitoring reports provided to Ofsted under regulations 33 and 34 of the Children's Homes Regulations 2001, as amended by The Children's Homes (Amendment) Regulations 2011.
- 3.2 A full inspection of Exmoor Grove was undertaken in August 2013 and the inspection report was received on 27th September 2013. The Report of the inspection is attached at **Appendix 1**

4. SUMMARY OF FINDINGS

- 4.1 The overall effectiveness of the home was judged to be **Good**. The inspector found overall the home provides a good quality of care for children, staff are good at seeking and taking in to account children's wishes and feelings about how they should be cared for, creating a caring atmosphere which enables children to relax and feel comfortable during their time at the home.

Very good staffing levels help ensure children benefit from having individual care plans, risk assessments and receive good personalised support.

- 4.2 Overall the management team ensures the home is managed efficiently and effectively, they understand the homes strengths and areas for development, professionals who work with the home said the services it provides are either excellent or good and they all agreed improving outcomes for children is a clear priority for staff. The inspector stated that most of the shortfalls relate to weaknesses in record keeping and the report stipulated one requirement which related to ensuring an appropriate reference for a staff member is in place, this requirement has been actioned.

Outcomes for Children

- 4.3 Outcomes for children were judged as good, the inspector found children benefited from being supported by staff who maintain good links with their families, schools and health professionals, there are very good arrangements for assessing children's needs, children receive consistency and continuity of care because the home has a collaborative approach to care planning, ensuring parents and professionals are actively involved in this process.
- 4.4 The inspector found the children receive good, personalised support that meets their needs and wishes; they are able to pursue individual hobbies and interests and take part in a good range of activities within the home and local community.

Quality of Care

- 4.5 The quality of care was judged to be **Good**. The inspector reported that the staff are good at developing positive relationships with the children, they ensure a warm, secure and caring environment within which children are able to feel safe and relax, professionals all confirmed staff provide a safe and comfortable environment that meets children's needs.
- 4.6 The inspector found that staff try to ensure the diverse needs of the young people are clearly and comprehensively recorded in the individuals plan, however plans do not always identify clear measurable outcomes for each child, which make it difficult to evaluate the effectiveness of the plan and progress made in meetings each child's individual needs.
- 4.7 The inspector found the home to be comfortable, spacious and a pleasant environment and that there are good arrangements for ensuring the home is well maintained, furnished and decorated to a good standard.

Safeguarding children and young people

- 4.8 The service is judged adequate at keeping children and young people safe and feeling safe. The inspection advised that children said they feel safe living at the home and there are adequate arrangements in place to keep them safe, staff try hard to protect and promote children's welfare and they are clear about their roles and responsibilities in doing so. They take prompt and appropriate action when children are at risk and ensure the home's safeguarding procedures and risk assessments are implemented.
- 4.9 There have been no occasions when a child has gone missing from the home. Staff's vigilance and the very good levels of supervision they provide children help ensure this does not happen. Staff have a good understanding of the potentially harmful effect of bullying behaviour and there is a clear policy of zero tolerance of bullying. There are no recorded incidents of bullying having occurred.
- 4.10 There was evidence of staff implementing positive behavior strategies to support children to manage their emotions and anxieties. Children are rewarded and praised for positive behavior and staff try to enable them to understand the impact of their behaviour on others. When staff do use sanctions for behavior these are relevant and appropriate. The inspector found the use of restraint on children resulted as a last resort and after they had used de-escalation techniques that they had been trained for use. However staff did not always keep an appropriate record of incidents where they have used physical restraint on children.
- 4.11 The inspector commented that the council has clear staff recruitment and selection procedures. However, these have not always been fully implemented when vetting checks have been carried out on new staff. For example, although two written references were obtained for staff prior to their appointment, these did not always include one from the person's most recent employer, as required by the Children's Homes Regulations 2001 and advised that failing to carry out robust recruitment and vetting checks makes it more difficult to ensure only suitable people are employed to care for children.

Leadership and Management

- 4.12 The inspection judged leadership and management of Exmoor Grove as **Good**. The inspector judged that the manager of the home is skilled, experienced and appropriately qualified. They ensure they keep up-to-date with developments in legislation and care practice and use forums such as team meetings to share these with staff. The manager provides effective leadership for the staff team to enable them to provide good outcomes for children. They ensure the home has a clear ethos and staff work with commonly understood objectives.
- 4.13 The inspector advised that the majority of staff are skilled and experienced and all either have a relevant qualification or are undertaking training to achieve one. Staff demonstrate a commitment to meeting the complex and

diverse needs of the children who stay at the home. They receive good support and supervision which enables them to have a good understanding of children's needs and how to support them and keep them safe. Staff also have access to good training opportunities in caring for children and young people. However, records of staff training have not been kept up-to-date, which makes it more difficult to monitor when staff training has to be updated. All the staff who completed a survey confirmed their training needs are identified and met, and the supervision they receive helps them to do their job.

Statutory Requirements and Recommendations

- 4.14 One statutory requirement was received in relation to ensuring that no person is employed to work at the home, unless full and satisfactory information is available in relation to item in respect of each of the matters specified in Schedule 2 (Regulation 26 (3) (D)).
- 4.15 The inspector recommended that to improve the quality and standards of care further the service should take account of the following recommendations:
- Ensure young people's placement plans focus on clear measurable outcomes and address children's individual needs, in particular their health care needs (NMS 2.3).
 - Ensure if any staff in the home resort to any measure of control or restraint this is carefully and clearly recorded with full details by the staff involved within 24 hours in a record kept for this purpose (Volume 5, statutory guidance, paragraph 2.91).
 - Ensure where the use of physical intervention is part of a child's individual behavior management plan, this plan is in line with relevant government guidance on restraint and physical intervention, specifically Guidance for Restrictive Physical Interventions (DH/DfES 2002) (NMS 3.14).
 - Ensure reports completed in respect of any review of the matters set out in Schedule 6 and the quality of care provided in the home, are sent to HMCI within 28 days of completion. It will be good practice for these reports to be completed at six monthly intervals (Volume 5, statutory guidance, paragraph 3.14).
 - Ensure the home's records are kept up to date, specifically the records of staff training (NMS 22).

5. ACTION TAKEN

- 5.1 In response to the findings and recommendations of the report, the following action is underway:
- The actions detailed in the requirement was in relation to two references, these actions have been implemented, we are awaiting the return of one reference but are pursuing this vigorously.

- The manager and deputy have reviewed the placement plans and are amending current placement plans accordingly.
- The Registered Manager will complete a report in relation to the quality of care provide in the home.
- The unit have restructured staffing arrangements and rotas to provide more staff to undertake recording, assessment and care plans.

6. RECOMMENDATION

- 6.1 Children's Services Committee is asked to note the inspection report. Exmoor Grove has consistently been judged as a good provision over 4 inspections which demonstrates the hard work and commitment of the staff team as a whole and positive management and leadership of the Registered Manager.

7. REASONS FOR RECOMMENDATIONS

Exmoor Grove is a statutory service providing care for children and young people and as such Childrens Service Committee should take in consideration OFSTED's inspection report (**Appendix 1**) and endorse any recommendations arising from this report.

8. BACKGROUND PAPERS

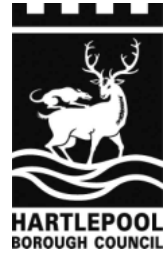
Ofsted Exmoor Grove Inspection Report for Children's Home

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CHILDREN'S SERVICES COMMITTEE

5 November 2013



Report of: Director Child and Adult Services

Subject: FRAMEWORK AND EVALUATION SCHEDULE FOR THE INSPECTION OF SERVICES FOR CHILDREN IN NEED OF HELP AND PROTECTION, CHILDREN LOOKED AFTER AND CARE LEAVERS

1. TYPE OF DECISION/APPLICABLE CATEGORY

For Information.

2. PURPOSE OF REPORT

- 2.1 To inform Children's Services Committee of the revised inspection framework for local authority children's services.

3. BACKGROUND

- 3.1 The inspection of services for children has been in place for several years and the framework which governs these inspections is periodically updated in line with learning and developments in practice.
- 3.2 Inspections are carried out under section 136(2) of the Education and Inspection Act 2006. Hartlepool was last inspected in June 2010 and it is, therefore, expected that an early inspection under this framework is likely.
- 3.3 The revised framework is attached at **Appendix 1** to this report. This framework is a three year programme commencing in November 2013 and all local authorities will be inspected during that period. The inspection will involve 7 inspectors, 6 from a social care background and one with an education background. Local authorities will receive notice of the inspection the day before it is due to commence. The inspectors will be on site for 11 working days but there will also be time whilst the inspection is underway when inspectors will be working off site. The scope of the inspection is as follows:

- Children receiving preventative services and early help;
 - Children referred to the local authority for social care services including urgent protective action;
 - Children subject to a child protection plan;
 - Children who have ceased to be subject to a child protection plan but still receiving services;
 - Children in need;
 - Children looked after and care leavers;
 - Children missing from education or in alternative provision; and
 - Children who have left care either through returning home, or through Special Guardianship, Residence or Adoption Orders.
- 3.4 Inspectors will evaluate and explore a sample of cases to judge the quality of front line practice, testing out decision making at all stages of the child's journey as well as meeting with children, young people, parents and carers, shadowing staff and observing multi agency meetings. Annex A to the Inspection Framework details specific information the inspectors will require from the local authority within the first week of the inspection to inform the judgments.
- 3.5 The inspectors will make judgments on the **overall effectiveness** of services and arrangements for children looked after, care leavers and those in need of help and protection which will be a cumulative judgment derived from:
- The experiences and progress of children who need help and protection;
 - The experiences and progress of children looked after and achieving permanence including graded judgments on:
 - Adoption performance;
 - The experiences and progress of care leavers;
 - Leadership, management and governance.
- 3.6 Inspectors will make their judgments on a four point scale:
- Outstanding;
 - Good;
 - Requires improvement; and
 - Inadequate.
- In addition they will identify areas of outstanding practice and priorities for improvement.
- 3.7 The Government is currently consulting on a Framework for the Inspection of Local Safeguarding Children Boards (LSCB) which closes on 23 October 2013. It is anticipated that the final document will be published ready for the start of this inspection framework in November and inspections of LSCB's will take place parallel to the inspection of services for children.

4. PROPOSALS

- 4.1 As noted previously, it is anticipated that Hartlepool will receive an early inspection given the length of time since the authority was last inspected. Ofsted has made it clear these inspections will not be proportionate with a focus on those previously judged adequate and inadequate as was the case during the past year.
- 4.2 Children's Services has established a continuous improvement group which meets regularly to review performance management and the implementation of priorities to develop and continuously improve services. This group will review the services in line with the inspection framework and continue to prepare the service for inspection.

5. RECOMMENDATIONS

- 5.1 Children's Services Committee is asked to note the revised framework for the inspection of children's services and the work of officers to prepare for this inspection visit.

6. REASONS FOR RECOMMENDATIONS

- 6.1 Children's Services Committee has responsibility for the delivery of Children's Services and its regulation and needs to be reassured that it is fully prepared for future inspection.

7. BACKGROUND PAPERS

Ofsted (2013) 'Framework and evaluation schedule for the inspection of services for children in need of help and protection, children looked after and care leavers.'

8. CONTACT OFFICER

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Framework and evaluation schedule for the inspection of services for children in need of help and protection, children looked after and care leavers

This document sets out the framework for the inspection of services for children in need of help and protection, children looked after and care leavers.

These inspections are conducted under section 136 of the Education and Inspections Act 2006. They focus on the effectiveness of local authority services and arrangements to help and protect children, the experiences and progress of children looked after, including adoption, fostering, the use of residential care, and children who return home. The framework also focuses on the arrangements for permanence for children who are looked after and the experiences and progress of care leavers. The leadership, management and governance judgement addresses the effectiveness of leaders and managers and the impact they have on the lives of children and young people and the quality of professional practice locally.

Age group:

Published: 1 October 2013

Reference no: 130216



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Section 1. Inspection of local authority children's services

Introduction

1. This document sets out the framework for the inspection of local authority children's services.
2. Her Majesty's Inspectors (HMI)¹ will carry out the inspections under section 136 (2) of the Education and Inspections Act 2006 (EIA). Her Majesty's Chief Inspector (HMCI) has the power to carry out inspections of certain local authority children's services functions as listed in section 135 of the EIA if he deems it appropriate. These inspections focus on the local authority functions with regard to the help, care and protection of children and young people.
3. This evaluation schedule remains subject to periodic review.

Frequency of inspection

4. All local authorities will be inspected under this framework within a three-year period.
5. Where a local authority is judged to be inadequate for overall effectiveness, a full inspection will take place within 12 to 18 months, unless otherwise directed by the Secretary of State for Education.
6. Where a Director of Children's Services holds the statutory responsibility as set out in the Children Act 2004 for more than one authority, the inspection of each authority will be concurrent wherever possible.

Notice period

7. All inspections will be announced at short notice.² The local authority will be notified that the lead inspector and a small team of inspectors will be arriving on site the following day to begin the inspection. The remainder of the team will arrive on site at the beginning of the week following the local authority case auditing of files. Further details can be found in the *Inspection handbook: inspection of services for children in need of help and protection, children looked after and care leavers*. The local authority will be asked to prepare the list of information included at Annex A.

¹ Or suitable qualified and approved associate or seconded inspectors.

² To plan inspections, Ofsted will maintain a list of the number and location of office addresses where arrangements for dealing with contacts, referrals and assessments are undertaken.

8. Inspections will only be deferred in exceptional circumstances. Staff absence, including the absence of the Director of Children's Services, is not a reason for deferral.

Report

9. We will publish a report on our website within 30 working days³ of the end of the on-site inspection. Where a review of the Local Safeguarding Children Board⁴ has been undertaken at the same time, this review will be part of the final report.⁵

Action plan

10. The local authority is required to prepare and publish a written statement of the action it intends to take in response to the report. It should send a copy of this statement to Ofsted at ProtectionOfChildren@ofsted.gov.uk within 70 working days of receiving the final report.⁶

Inspection team

11. Normally, seven suitably qualified and experienced HMI will carry out the inspection. Six inspectors will be experienced in both the delivery and inspection of social care; one will be experienced in the inspection of education provision. The inspection team will normally be on site for 11 working days. The size of the inspection team may be adjusted, for example to take account of the geography and demography of the local authority being inspected.

Sharing information with other inspectorates

12. Where inspection evidence suggests that there are weaknesses in multi-agency practice, the relevant inspectorates will be notified and may decide to inspect in accordance with their statutory powers. This will be clearly identified in the report and shared with the relevant inspectorate at pre-publication stage using section 149 and schedule 13, paragraph 8 of the EIA. If an authority is judged to be inadequate, the relevant inspectorate will be invited to attend the Ofsted-led improvement challenge seminar.

³ A full timeline can be found in the *Inspection handbook: inspection of services for children in need of help and protection, children looked after and care leavers*, Ofsted, 2013; www.ofsted.gov.uk/resources/120218.

⁴ Section 2, with details of the review of the Local Safeguarding Children Board, will be published in this framework in November.

⁵ Ofsted's power to combine reports is in section 152 of the Education and Inspections Act 2006; www.legislation.gov.uk/ukpga/2006/40.

⁶ The Education and Inspections Act 2006 (Inspection of Local Authorities) Regulations 2007; www.legislation.gov.uk/uksi/2007/462/contents/made.

The scope of the inspection

13. The children and young people⁷ within the scope of this inspection are:

- those children and young people at risk of harm (but who have not yet reached the 'significant harm' threshold) and for whom a preventative service would provide the help that they and their family need to reduce the likelihood of that risk of harm escalating and reduce the need for statutory intervention⁸
- those children and young people referred to the local authority, including those for whom urgent action has to be taken to protect them; those subject to further assessment;⁹ and those subject to child protection enquiries
- those who become the subject of a multi-agency child protection plan setting out the help that will be provided for them and their families to keep them safe and to promote their welfare
- those children and young people who have been assessed as no longer needing a child protection plan, but who may have continuing needs for help and support
- those children and young people who are receiving (or whose families are receiving) social work services where there are significant levels of concern about children's safety and welfare, but these have not reached the significant harm threshold or the threshold to become looked after
- those children and young people who are missing from education or being offered alternative provision
- those children and young people looked after either by being accommodated¹⁰ under section 20 or those 'in care' during or as a result of proceedings under section 31 of the Children Act 1989 and those accommodated through the police powers of protection and emergency protection orders
- those children aged 16 or 17 who are preparing to leave care and qualify as 'eligible';¹¹ those aged 16 or 17 who have left care and qualify as

⁷ This includes unborn children.

⁸ These children may be known by any person with a duty under section 11 of the Children Act 2004; section 40 of the Childcare Act 2006; section 175 or 157 of the Education Act 2002; section 55 of the Borders, Citizenship and Immigration Act 2009; a member of the Local Safeguarding Children Board; a person associated with a commissioned service, including local voluntary services.

⁹ This includes children subject to private fostering arrangements.

¹⁰ This includes children and young people who are detained; unaccompanied child migrants or asylum seekers.

¹¹ Defined in paragraph 19B of Schedule 2 to the Children Act 1989;

www.legislation.gov.uk/ukpga/1989/41/schedule/2, and regulation 40 of the Care Planning, Placement and Case Review (England) Regulations 2010; www.legislation.gov.uk/uksi/2010/959/contents/made.

'relevant';¹² those young people aged 18 and above and qualify as 'former relevant';¹³ and those young people aged 18 to 25 who qualify as 'former relevant children pursuing further education or training'¹⁴ including those children living in homes of multiple occupation

- those children and young people who have left care to return home, or are living with families under a special guardianship order, residence order or adoption order.

Inspection activity¹⁵

14. Inspectors will:

- evaluate and explore a sample of children's cases in order to judge the quality of front-line practice and management and the difference this makes to the lives of children, young people, their families and carers – this will include discussions with social work staff, including their managers and other professionals working with the child or young person
- test the decision-making at all stages of a child's journey: early help; referral and assessment; children in need; child protection planning; continuing support; the decision to remove a child from home; permanence planning; placement decisions, including work to support return home; leaving care
- meet with children, young people, parents and carers
- shadow staff in their day-to-day work, for example observing practice in the duty team, the work of social workers with children and families and the work of independent reviewing officers
- observe practice in multi-agency meetings such as child protection strategy meetings, child protection conferences, looked after children reviews and resource panels.

15. We will request specific information from the local authority to inform the inspection and inspection judgements as outlined in Annex A. Full details of the inspection methodology are available in the *Inspection handbook: inspection of*

¹² Defined in section 23A(2) of the Children Act 1989; www.legislation.gov.uk/ukpga/1989/41/section/23A.

¹³ Defined in section 23C(1) of the Children Act 1989; www.legislation.gov.uk/ukpga/1989/41/section/23C.

¹⁴ Defined in section 23CA(1) of the Children Act 1989 as a former relevant child in relation to whom the duties in 23C(2)(3) and (4) no longer apply, and s/he has informed the local authority that he wants to pursue or is pursuing a programme of education or training.

¹⁵ Full details of the inspection methodology can be found in the *Inspection handbook: inspection of services for children in need of help and protection, children looked after and care leavers*, Ofsted, 2013; www.ofsted.gov.uk/resources/120218.

services for children in need of help and protection, children looked after and care leavers.

The judgements inspectors will make

16. Inspectors will make the following judgements:

- the **overall effectiveness** of services and arrangements for children looked after, care leavers and children who need help and protection.

The overall effectiveness judgement is a cumulative judgement derived from:

- the experiences and progress of children who need help and protection
- the experiences and progress of children looked after and achieving permanence including graded judgements on:
 - ☐ adoption performance
 - ☐ the experiences and progress of care leavers
- leadership, management and governance.

Making judgements

17. The following paragraphs set out the characteristics of a good service for all judgements. Inspectors will use these criteria to evaluate the experiences of children, young people and families and the services they receive. Inspectors will make a judgement of 'good' where the characteristics set out are widespread and common practice and are demonstrably leading to improved outcomes. Inspectors will use professional judgement to determine the weight and significance of their findings. When considering the effectiveness and impact of arrangements to help, protect and care for children and young people, inspectors will use the descriptors of 'good' as the benchmark against which to grade performance. A judgement of 'good' will be made, where the inspection team concludes that the evidence overall sits most appropriately with a finding of 'good'. This is what Ofsted describes as 'best fit'.

18. Inspectors will make their judgements on a four-point scale:

- ☐ outstanding
- ☐ good
- ☐ requires improvement
- ☐ inadequate

19. In addition, they will identify areas of outstanding practice and priorities for improvement. For all children and young people the expectation is that help, care and protection are sensitive and responsive to age, disability, ethnicity, faith or belief, gender, gender identity, language, race and sexual orientation.

Grading judgements

20. One of the four performance grades described above will be assigned to each of the three key judgements and the three graded judgements. The overall effectiveness judgement is derived from performance in each of the three key judgements, taking account of performance in each of the graded judgements. Inspectors will use both evidence and their professional judgement to award the overall effectiveness grade. The experiences of children, young people, their families and carers, the extent to which their lives improve and the quality of professional practice, management and leadership will provide the most significant evidence for the judgements to be made.
21. Widespread or serious failure resulting in harm or continued risk of harm to children and young people, in either the arrangements to protect or look after them, will always result in an overall effectiveness judgement of inadequate. In most cases it is also likely that if either the effectiveness of child protection or the effectiveness of provision for looked after children is inadequate, the leadership judgement is likely to be judged inadequate.
22. In exceptional cases it may be possible for an overall judgement of inadequacy to be given where inspectors judge the quality of leadership, management and governance to be good or requiring improvement. In these instances, leaders and managers will have demonstrated sufficient understanding of the widespread or serious failure and will have also been effective in prioritising, challenging and making sustained improvement. This will be acknowledged and reported by inspectors, though the overall judgement will remain inadequate because of the limiting nature of inadequacy in protecting or looking after children. In these instances, Her Majesty's Chief Inspector will consider the evidence and moderate the leadership judgement accordingly.
23. The graded judgements describe significant and statutory aspects of provision for looked after children, care leavers and leadership. The performance and effectiveness of these services heavily influence the key judgement of which they are a part. For these judgements, however, inadequate performance, while unacceptable and serious, will not automatically limit (as is the case for the key judgements) the local authority to overall inadequacy. They will influence the key judgement to which they relate and in some instances where they are judged inadequate, the significance may be such that the key judgement is held at inadequate, thereby limiting the overall effectiveness judgement to inadequate.
24. Again in these instances, inspectors will use their professional judgement to determine the significance of inadequacy in the context of local authority performance across its span of responsibility for children, young people, carers and families. The factors that they will take into account will include the seriousness and extent of concerns and the number of children and young people on whom the poor performance has a direct and negative impact.

Overall effectiveness

25. In an **outstanding**¹⁶ local authority:

- Direct work with children, young people and families is of the highest quality and is delivering measurably improved outcomes. For some children and families, their progress exceeds expectations.
- Inspirational, confident, ambitious and influential leadership changes the lives of local children, young people and families, including children who are looked after and those who have left or who are leaving care. Leaders are visible and effective. They innovate and promote creative ideas to sustain the highest-quality services, including early help services, for all children and young people.
- Professional relationships between the local authority and partner organisations and commissioned service providers are mature and well developed. Accountabilities are embedded and result in confident, regular evaluation and improvement in the quality of help, care and protection that is provided.
- The local authority is proactive and accurate in identifying and responding to the changing needs of its local communities and the performance of its services and staff. Change and improvement are consistently and effectively implemented and reviewed for their impact. Children, young people and families clearly benefit from improvements that are made and the impact of their feedback is well evidenced.
- Effective and continuous learning improves professional practice. This is sustained over time. Professional challenge and leadership ambition inspire high-quality work with families that helps, protects and promotes the welfare of all children and young people, particularly those who are most vulnerable.
- The views and experiences of children, young people and their families are at the centre of service design and influence development and strategic thinking.

26. In a **good** local authority:

- Children and young people are protected, the risks to them are identified and managed through timely decisions and the help provided reduces the risk of, or actual, harm to them.
- Children and young people looked after, those returning home and those moving to or living in permanent placements outside of their immediate

¹⁶ The characteristics of a good local authority must be met **in addition** to those describing an outstanding one.

birth family have their welfare safeguarded and promoted.¹⁷ Children and young people are helped to live in permanent homes or families without unnecessary delay. The development of safe, stable and secure relationships with adults is central to planning for their futures and this supports the development of secure attachments that persist over time and wherever they are living.

- Young people leaving care or who have left care receive help and support tailored to their individual needs and comparable with that which their peers would receive from a reasonable parent. They are provided with opportunities, support and help to enable them to move successfully to adulthood.
- Leadership, management and governance arrangements deliver strong, strategic local leadership that measurably improves outcomes for vulnerable children. The local authority works with partners to plan and deliver early help, to protect children and young people, to improve educational attainment and narrow the gap for the most disadvantaged and it acts as a strong and effective corporate parent for children looked after and those leaving or who have left care.
- There is a clear and up-to-date strategy for commissioning and developing services and there are sufficient resources to meet the needs of children and young people in the local authority area. Leaders, both professional and political, drive continuous improvement so that the local authority is consistently effective as both the lead agency for the protection and care of children and as a corporate parent.

27. In a local authority that **requires improvement**:

- There are no widespread or serious failures that create or leave children being harmed or at risk of harm. The welfare of looked after children is safeguarded and promoted. However, the authority is not yet delivering good protection, help and care for children, young people and families.

28. In a local authority that is **inadequate**:

- There are widespread or serious failures that create or leave children being harmed or at risk of harm and/or the welfare of looked after children is not safeguarded and promoted.
- A judgement of inadequate is likely to be made if **any of the following are judged inadequate**:
 - the experiences and progress of children who need help and protection

¹⁷ Children Act 1989, section 17; www.legislation.gov.uk/ukpga/1989/41/section/17.

- ☐ the experiences and progress of children looked after and achieving permanence
- ☐ leadership, management and governance.

Key judgement: The experiences and progress of children who need help and protection

Children and young people who are, or who are likely to be, at risk of harm or who are the subject of concern are identified and protected. Help is provided early in the emergence of a problem and is well coordinated and recorded through multi-agency arrangements. Thresholds between early help and statutory child protection work are appropriate, understood and operate effectively. Records of action and decision are clear and up to date. Children and young people are listened to and heard. Social workers build effective relationships with them and their families in order to assess the likelihood of, and capacity for, change. Risk is well understood, managed and regularly reviewed. Children and young people experience timely and effective multi-agency help and protection through risk-based assessment, authoritative practice, planning and review that secures change.

29. A local authority is likely to be judged good if:

- Children and young people are listened to, practice is focused on their needs and experiences and influenced by their wishes and feelings or, where they cannot represent their view themselves, those advocated on their behalf. They are consistently seen and seen alone by social workers where statutory guidance requires that this should happen and it is professionally judged to be in the best interests of the child.
- Children, young people and families benefit from stable and meaningful relationships with social workers. They are engaged in all actions and decisions and understand the intentions of the help they receive. Where families refuse to engage there are continued attempts to help them to do so. However, where there are concerns about the safety and protection of children and parents do not engage, there is a full risk assessment and urgent involvement of a senior manager in all decisions about next steps.
- Children, young people and families are offered help when needs and/or concerns are first identified and, as a consequence of the early help offered, children's circumstances improve and, in some cases, the need for targeted services is lessened or avoided. The interface between early help and statutory child protection work is clearly and effectively differentiated.
- Information-sharing between agencies and professionals is timely, specific and effective and takes full account of the requirements set out in legislation and guidance about the need to obtain parental consent for enquiries to be made, except where in seeking that consent a child is likely to suffer significant harm or further harm.

- Children and young people in need of help and protection are identified by professionals, including those in adult services, and appropriate referrals are made to children's social care. Social work expertise and advice is available to support other professionals in determining the best steps to take next. There is a timely and effective response to referrals,¹⁸ including out of normal office hours.
- Thresholds¹⁹ for intervention accord with the requirements of legislation, are appropriate, understood by partners, consistently applied, well embedded, reviewed and updated regularly. Drift and delay are avoided.
- Children and young people receive help that is proportionate to risk; children and families are not routinely subjected to formal child protection investigations if these are not necessary.
- Child protection enquiries are thorough and timely, informed by a decision made in a strategy meeting, except in emergencies where there must be evidence of immediate risk of harm to a child, and always led by a suitably qualified and experienced registered social worker. Findings in relation to significant harm are clear and result in urgent action to protect children and young people.
- Decision-making is undertaken by suitably qualified and experienced social workers and managers, with decisions, all actions and engagement with the family and other professionals clearly recorded.
- For children who need help and protection, assessments (including common or early help assessments) are timely, proportionate to risk, and informed by research and by the historical context and significant events for each case. They result in direct work with families, develop in response to that direct work, and they address all domains of the local framework for assessment. Senior managers have responsibility for authorising the recommended next steps.
- Assessments²⁰ (including children in need assessments) result in a direct offer of help to address any identified needs. Assessments and plans are dynamic and change in the light of emerging issues and risks. Authoritative action is taken where change is not secured and the risk to children intensifies or remains.
- Children in need have a plan setting out the help that is offered. Children and young people who need protection are subject to a child protection plan that clearly identifies the work that will be offered to help the family

¹⁸ This includes referrals to the Local Authority Designated Officer.

¹⁹ Children Act 1989; www.legislation.gov.uk/ukpga/1989/41/contents and *Working together to safeguard children*, Department for Education, 2013; www.education.gov.uk/aboutdfe/statutory/g00213160/working-together-to-safeguard-children. This includes children covered by the Southwark Judgement.

²⁰ Assessments and local protocols for assessments should be in line with *Working together to safeguard children*.

and the necessary changes to be achieved within appropriate timescales for the child or young person. Social workers engage with the family who understand the help they will receive, what has to change and the options for the future.

- Plans and decisions are reviewed and alternative authoritative action is taken where the circumstances for children do not change and the risk of harm or actual harm remains or intensifies.
- Children and young people are protected through effective multi-agency arrangements. Case conferences, strategy meetings, core groups and multi-agency risk assessment conferences (MARAC)²¹ are attended by key participants and are effective forums for timely information-sharing, planning and risk-based decision-making.
- Children and young people who live in households where at least one parent or carer misuses substances or suffers from mental ill-health, or where there is domestic violence, are helped and protected. Incidents are monitored and multi-agency responses are effective and coordinated between agencies, including management through MARAC.
- Children and young people who are missing from home, care²² or full-time school education²³ and those at risk of sexual exploitation and trafficking receive well-coordinated responses that reduce the harm or risk of harm to them. Risks are well understood and minimised. Local authorities, schools and local police are aware of, and implement in full, the requirements of the statutory guidance for children and young people who are missing.²⁴ Comprehensive records are held and shared between agencies to help and protect children and young people. Together they take steps to ensure that all children, including those who are excluded from school, are safe and that for those who are missing or often missing there is a clear plan of urgent action in place to protect them and to reduce the risk of harm or further harm.²⁵

²¹ Multi-agency risk assessment conferences (MARACs) are meetings where information about high-risk domestic abuse victims (those at risk of murder or serious harm) is shared between local agencies. By bringing all agencies together at a MARAC, a risk-focused, coordinated safety plan can be drawn up to support the victim and their child/ren.

²² This refers both to local authorities' responsibility for all of their own looked after children, whether they live within or out of the local area, **and** their responsibility as a host authority with a duty to safeguard and promote welfare for children and young people living in the local area.

²³ The authority has arrangements in place to identify the number of children not in full-time school education and to respond where there are concerns about their welfare.

²⁴ *Interim guidance on the management, recording and investigation of missing persons*, Association of Chief Police Officers, 2013; www.safecic.co.uk/news/348-misper and statutory guidance once published.

²⁵ Inspectors will make enquiries about local practice in respect of responses to children who are absent as well as those who are missing. Where this is not robust, consistent or focused on the need to protect children and young people, this will be evidenced in the inspection report and will directly influence the judgement.

- Children and young people who are privately fostered are identified by the local authority, in conjunction with partners. Once they are identified, the local authority discharges in full its statutory responsibility to ensure that they are safe and that their health and well-being are properly promoted.
- Allegations of abuse, mistreatment or poor practice by professionals and carers are taken seriously. Steps are taken to protect children and young people and the management of allegations is robust and effective.
- Practice is informed by feedback from children and their families about the effectiveness of the help, care or support they receive from the time it is first needed until it ends.
- Children, young people and families have timely access to, and use the services of, an advocate where appropriate.
- Help and protection for children and young people is sensitive and responsive to age, disability, ethnicity, faith or belief, gender, gender identity, language, race and sexual orientation.

Outstanding

- 'The experiences and progress of children who need help and protection' is likely to be judged outstanding if, in addition to meeting the requirements of a 'good' judgement, there is evidence that professional practice exceeds the standard of 'good' and results in sustained improvement to the lives of children, young people and their families. Research-informed practice, some of which will be innovative, continues to develop from a strong and confident base, making an exceptional difference to the lives and experiences of children and young people.

Requires improvement

- 'The experiences and progress of children who need help and protection' is likely to 'require improvement' if there are no widespread or serious failures that create or leave children being harmed or at risk of harm. However, the authority is not yet delivering good help and protection for children, young people and families.

Inadequate

- 'The experiences and progress of children who need help and protection' is likely to be inadequate if there are widespread or serious failures which leave children being harmed or at risk of harm.

Key judgement: The experiences and progress of children looked after and achieving permanence

Decisions about children and young people becoming looked after are made using high-quality assessments about the risk of harm or actual harm to them and the likelihood of change in their family. Thresholds are clear and applied appropriately. Children and young people are listened to by social workers who know them well. Adults working with children and young people help them to understand and manage their early childhood experiences, to progress well and achieve educationally, and to influence decisions about their future. They return home with the support they need and when it is safe for them. If this is not possible, they live in stable placements where they are helped to build positive relationships and maintain contact with their family and friends where this remains in their best interests. Care plans are regularly reviewed to ensure that the child or young person's current and developing needs continue to be met. Permanent homes and families are found for children and young people without unnecessary delay. Their needs are met and they live with their brothers and sisters if that is assessed as being in their best interests. They do not experience placement moves unless they are part of a planned return home or in accordance with plans for their future. Their education is not disrupted unless it is their best interests and plans for their schooling provide any extra help they need to make up time and learning that has been missed. They develop safe and secure relationships with adults that persist over time. When support is needed, children, young people and families are able to access it for as long as it is needed, throughout their childhood and beyond.

30. In making the 'children looked after and achieving permanence' judgement, inspectors will take into account their judgement on adoption performance and their judgement on the experiences and progress of care leavers.
31. A local authority is likely to be judged good if:
 - Decisions to look after children and young people are timely and made only when it is in their best interests. Those decisions are based on clear, effective, comprehensive and risk-based assessments involving other professionals working with the family where appropriate.
 - There is evidence of the effective use of the Public Law Outline, including letters before proceedings, family group conferences and parallel planning. Care is used only if this is in the child's best interests. Children and young people are safely and successfully returned home; where this is not possible for them, permanent plans are made for them to live away from the family home. Families are made aware of, and encouraged to access, legal advice and advocacy.

- Where the plan for a child or young person is to return home, there is evidence of purposeful work to help the family to change so it is safe for the child to return. Further episodes of being looked after are avoided unless they are provided as a part of a plan of support.
- Applications and assessments for care or other orders are accepted by the courts, minimise the appointment of experts and avoid unnecessary delay. The wishes and feelings of children and young people, and those of their parents, are clearly set out and contemporary. Viability assessments of members of the family are carried out promptly to a good standard and sequential assessments are avoided.
- Children and young people are seen by their social worker alone and understand what is happening to them. Professionals and carers, who know them well, develop positive relationships with them and are committed to protecting them and promoting their welfare. Children and young people are helped to understand their rights and the responsibilities that accompany those rights and legal entitlements. They understand how to complain and have access to an advocate and independent visitor. Complaints are treated seriously and result in a clear response, urgent action and improved services where that is required. Senior managers regularly review and act upon complaints from looked after children.
- Children and young people are protected or helped to keep themselves safe from bullying, homophobic behaviour and other forms of discrimination.
- Any risks associated with children and young people offending, misusing drugs or alcohol, going missing or being sexually exploited are known by the local authority and by adults who care for them. There are plans and help in place that are reducing the risk of harm or actual harm and these are kept under regular review by senior managers.
- Children and young people are in good health or are being helped to improve their health and their health needs are identified. Child and adolescent mental health provision, therapeutic help and services for learning or physically disabled children and young people are available when needed and for as long as they are required.
- Children and young people attend school or other educational provision and they learn. Accurate and timely assessments of their needs, as well as specialist support where it is needed, help them to make good progress in their learning and development wherever they live. They receive the same support from their carers as they would from a good parent. The attainment gap between them and their peers is narrowing. The local authority maintains accurate and up-to-date information about how looked after children are progressing at school and takes urgent and individual action when they are not achieving well. All looked after children and young people attend a good school.

- Children and young people who do not attend school have access to 25 hours per week of good-quality registered alternative provision. They are encouraged and supported to attend the provision and there is regular review of their progress. Urgent action to protect children is taken where they are missing from school or their attendance noticeably reduces.
- The local authority holds clear records in respect of the numbers of children receiving alternative education and for those missing from education.
- Social workers, residential staff and carers support children and young people to enjoy what they do and to access a range of social, educational and recreational opportunities. Those adults have delegated authority to make decisions about children's access to recreation and leisure activities.
- Children and young people live in safe, stable and appropriate homes or families with their brothers and sisters when this is in their best interests. They move only in accordance with care plans, when they are at risk of harm or are being harmed. They do not live in homes that fail to meet their needs and they do not move frequently.
- Care plans comprehensively address the needs and experiences of children and young people. They are regularly and independently reviewed, involving as appropriate the child or young person's parents, kinship carers (connected persons), foster carers, residential staff and other adults who know them. This helps ensure that the placement and plans for their future continue to be appropriate as well as ambitious.
- Children and young people have appropriate, carefully assessed and supported contact with family and friends and other people who are important to them (*applies to adoption judgement*).
- Children and young people who live away from their 'home' authority have immediate access to education and health services that meet their needs as soon as they begin to live outside of their 'home' area. Placing authorities adhere to the requirements of the placement regulations including notifying the 'receiving' authority that a child is moving to the area and assessing the adequacy of resources to meet the child's need before the placement is made (*applies to adoption judgement*).
- The placement of children and young people into homes and families that meet their needs is effective because there is a comprehensive range and choice available (*applies to adoption judgement*).
- Family-finding strategies are informed by the assessed needs of children and young people. There is decisive action to find families and the avoidance of drift and delay is a priority. Respite care is only used when this is in the best interests of children and young people (*applies to adoption judgement*).

- The recruitment, assessment, training, support, supervision, review and retention of foster carers including kinship carers (connected persons) and, as appropriate, special guardians, ensures that families approved are safe and sufficient in number to care for children and young people with a wide range of needs. This enables children to be placed with their brothers and sisters and have contact with their birth family and friends when this is in their best interests.²⁶
- Children and young people whose care and support is provided through a 'social work practice' service receive the same high-quality help that they could expect from the social work service provided directly by a local authority.
- Early planning and case management results in appropriate permanent placements, including Special Guardianship or Residence Orders, that meet the needs of children and young people without delay or unnecessary moves (*applies to adoption judgement*).
- Well-trained and supported social workers engage effectively with the Children and Family Court Advisory Support Service (Cafcass), courts and other partners, including health professionals, to reduce any unnecessary delay in proceedings or in achieving permanence and to support arrangements once they are made (*applies to adoption judgement*).
- Children and young people are effectively prepared for, and carefully matched with, a permanent placement. Their wishes and feelings are understood and influence the decisions about where they live (*applies to adoption judgement*).
- Children and young people are helped to develop secure primary attachments with the adults caring for them. Social workers help them to understand their lives and their identities through life history work that is effective and provided when they need it. Therapeutic materials are made available to the child and their family when and wherever the child is placed (*applies to adoption judgement*).
- Plans to make permanent arrangements for children and young people are effectively and regularly reviewed by independent reviewing officers (IROs). IROs bring rigour and challenge to the care planning and monitor the performance of the local authority as a corporate parent, escalating issues as appropriate. They enable timely plans to be agreed to meet the needs of children and to ensure that their best interests remain paramount. IROs engage with children's guardians and there is evidence that this is focused on what children need and how the plans for them can be properly progressed (*applies to adoption judgement*).
- Case records reflect the work that is undertaken with children and clearly relate to the plans for their futures. The style and clarity of records

²⁶ Services should be delivered in accordance with the national minimum standards and regulations.

enhances the understanding that children and young people have about their histories and experiences.

- Children and young people are represented by a Children in Care Council or similar body which is regularly consulted on how to improve the support they receive.
- Children and young people receive care that is sensitive and responsive to age, disability, ethnicity, faith or belief, gender, gender identity, language, race and sexual orientation (applies to adoption judgement).

Outstanding

- 'The experiences and progress of children looked after and achieving permanence' is likely to be judged outstanding if, in addition to meeting the requirements of a 'good' judgement, there is evidence that professional practice exceeds the standard of 'good' and results in sustained improvement to the lives of children, young people and their families. Research-informed practice, some of which will be innovative, continues to develop from a strong and confident base, making an exceptional difference to the lives and experiences of children and young people.

Requires improvement

- 'The experiences and progress of children and young people looked after and achieving permanence' requires improvement when there are no widespread or serious failures or unnecessary delays that result in the welfare of looked after children not being safeguarded and promoted. However, the authority is not yet delivering good help and care for looked after children and young people and families.

Inadequate

- 'The experiences and progress of children and young people looked after and achieving permanence' is likely to be inadequate if there are widespread or serious failures, including unnecessary delay in identifying permanent solutions for them and which result in their welfare not being safeguarded and promoted.

Adoption performance

Suitable adoptive families are identified without delay for all children for whom adoption is in their best interests. The recruitment and assessment arrangements are aligned with national systems and enable potential adopters to consider and to be considered for a wide range of children for whom they may provide a home. Children are able to develop safe and secure relationships with their adoptive family that persist over time. When support is needed, children, young people, families and carers are able to access it for as long as it is needed, throughout their childhood and beyond.

32. Adoption is likely to be judged good if the criteria identified in the earlier judgement for looked after children (where adoption is being considered or is the plan) are met²⁷ and in addition:
- Adoption is considered for all children who are unable to return home or to their birth families and who need a permanent alternative home.
 - The local authority demonstrates a sense of urgency and care in all adoption work including the appropriate use of concurrent and parallel planning, the Adoption Register and Fostering for adoption, resulting in children being able to live at the earliest opportunity with an adoptive family who are able to meet their needs.
 - Recruitment, preparation, prompt assessment, training and support of adopters enables them to meet the needs of children and young people and to keep them safe. Those arrangements support the placement of children with their brothers and sisters where this is in their best interests and sufficient families are available to accommodate sibling groups, older children and children with complex needs.
 - The panel and agency decision-maker ensure that children are effectively matched with the most appropriate families and the panel promotes good practice through its work and regular reports to the local authority.
 - Children who are adopted, their adoptive families, their birth relatives and adopted adults are informed of their entitlement to receive an assessment of their adoption support needs. When support is needed, it is provided quickly, effectively and leads to improved circumstances for the children, young people, families and carers involved.

²⁷ These criteria are located in the looked after children judgement and are clearly labelled as applying to children where adoption is being considered or is planned.

Outstanding

- Adoption performance is likely to be judged outstanding if, in addition to meeting the requirements of a 'good' judgement, there is evidence that professional practice is creative, innovative and leads to success in finding permanent adoptive families for children, including those with complex needs. The adoption agency uses nationally available systems to help maintain the interest and availability of potential adopters. Sustained improvement in the lives of children, young people and their families is supported through highly effective adoption support.

Requires improvement

- Adoption performance requires improvement when there are no widespread or serious failures that result in children looked after who should be adopted not being adopted by a family who can meet their needs or within appropriate timescales. However, the characteristics of good are not in place.

Inadequate

- Adoption performance is likely to be inadequate if there are widespread or serious failures that result in children looked after who should be adopted not being adopted by a family who can meet their needs in a timescale that meets their best interests.

The experiences and progress of care leavers

Young people leaving care and preparing to leave care receive support and help to assist them in making a successful transition to adulthood. Plans for them to leave care are effective and address their individual needs. They are safe and feel safe, particularly where they live. Young people acquire the necessary level of skill and emotional resilience to successfully move towards independence. They are able to successfully access education, employment, training and safe housing. They enjoy stable and enduring relationships with staff and carers who meet their needs.

33. When evaluating the experience and progress of care leavers, such as their successful transition to adulthood, inspectors will take into account the young person's development and achievements at the point they became looked after, the age they became looked after and the age they were when they became the responsibility of the authority being inspected.
34. The experiences and progress of care leavers is likely to be judged to be good if:
 - Care leavers are safe and feel safe, particularly where they are living, and are helped to understand how their life choices will affect their safety and well-being. Any risks associated with offending, drug or alcohol misuse, going missing or with sexual exploitation are known by adults who have a responsibility for them and effective plans are in place to reduce the risk of or actual harm to them. Care leavers are supported to take responsibility for their behaviour.
 - Pathway planning is effective and plans (including transition planning for looked after children with learning difficulties and/or disabilities) address all young people's needs and are updated as circumstances change.
 - The health needs of care leavers are clearly assessed, prioritised and met. Child and adolescent mental health services, adult mental health provision, therapeutic help and services for learning or physically disabled young people and adults are available when they are needed.
 - Care leavers have access to and understand their full health history and are provided with all key documents they need to begin their lives as young adults, for example national insurance numbers, birth certificates and passports.
 - Care leavers develop the skills and confidence they need to maximise their chances of successful maturity to adulthood, including parenthood. This includes learning to budget, to live independently and to manage safe relationships and behaviour. Care leavers form and maintain relationships with carers and staff from the local authority and develop supportive relationships within the community, including where

appropriate contact with family and friends. They are confident that the local authority will act as a reasonable parent in supporting their transition into adulthood and providing practical, emotional and financial support until they are at least 21 and, where necessary, until they are 25. This will include the availability of a trusted and known adult (for example, the allocated personal adviser or their social worker) to support them.

- Care leavers succeed in their transition to greater independence and adulthood at a time that is right for them. Young people aged 16 and 17 are encouraged to remain looked after until their 18th birthday where (and this will usually be the case) this is in their best interest. They can remain in placements beyond their 18th birthday or, where more appropriate, live in permanent and affordable accommodation that meets their needs and those of their children, where relevant.
- Care leavers have access to appropriate education and employment opportunities, including work experience and apprenticeships. They are encouraged and supported to continue their education and training, including those aged 21 to 24 years. Care leavers are progressing well and achieving their full potential through life choices, either in their attainment in further and higher education or in their chosen career/occupation.
- Care leavers are positive about themselves. Their achievements are celebrated and the local authority shows they are positive and proud of their care leavers.
- Care leavers are helped to find housing solutions that best meet their needs. Risks of tenancy breakdown are identified and alternative plans are in place.
- Accommodation for care leavers is appropriate for each young person to safely develop their independence skills. Houses of multiple occupancy are only used when it is a young person's preferred option and it can demonstrably be shown to be in their best interests.
- Care leavers are provided with information (including through the care leaver's pledge) about their legal entitlements such as access to their records, assistance to find employment (including work experience), training, financial support and how to complain where necessary supported by an advocate.

Outstanding

- 'The experiences and progress of care leavers' is likely to be judged outstanding if, in addition to meeting the requirements of a 'good' judgement, there is evidence that professional practice exceeds the standard of 'good' and results in sustained improvement to the lives of children, young people and their families. The local authority is ambitious and aspirational for its young people as they mature to adulthood. The

authority is assertive and proactive in keeping in touch with all young people who have left care and, as a result, young people have a sense of security and connection with adults who they know well. Research-informed practice, some of which will be innovative, continues to develop from a strong and confident base, making an exceptional difference to the lives and experiences of children and young people.

Requires improvement

- 'The experiences and progress of care leavers' requires improvement when there is no widespread or serious failure that results in care leavers not having their welfare safeguarded and promoted but the characteristics of a 'good' judgement are not in place.

Inadequate

'The experiences and progress of care leavers' is likely to be inadequate if there is widespread or serious failure that results in care leavers not having their welfare safeguarded and promoted.

Key judgement: Leadership, management and governance

Leadership, management and governance arrangements comply with statutory guidance²⁸ and together establish an effective strategy and good-quality services for children, young people and their families. There is a clear and up-to-date strategy for commissioning and developing services delivered by a suitably qualified and experienced workforce that meets the needs of local children and young people and families. The Director of Children's Services (DCS), the lead elected member and the senior management team have a comprehensive knowledge about what is happening at the 'front line' to enable them to discharge their responsibilities effectively. They know and understand the difference that help, care and protection are making. They oversee systematic performance management and monitoring that demonstrate rigorous and timely action in response to service deficiencies or new demands. The local authority works with partners to deliver early help, protect children and young people, improve educational attainment and narrow the gap for the children looked after and care leavers. It acts as a strong and effective corporate parent for children looked after and those leaving or who have left care. Leaders, both professional and political, drive continuous improvement so that the local authority is consistently effective as the lead agency for the protection and care of children and young people and as a corporate parent. Partnerships are supported by transparent and rigorous governance between the local authority and key statutory, private and voluntary organisations. Shared priorities are clear and resourced. There is effective engagement with the relevant local partnerships including the Health and Well-being Board. The DCS works closely with the LSCB chair and the chief executive holds the LSCB chair to account for the effectiveness of the LSCB.

35. Leadership, management and governance are likely to be judged good if:

- Local authority senior managers, leaders and elected members discharge their individual and collective statutory responsibilities. There are clear lines of accountability and governance with a clear distinction between political, strategic and operational roles. Leaders, including elected members and managers, have a comprehensive and current knowledge of what is happening at the 'front line' and how well children and young people are helped, cared for and protected.

²⁸ *Statutory guidance on the roles and responsibilities of the Director of Children's Services and the lead member for children's services*, Department for Education, 2012;
www.education.gov.uk/publications/standard/publicationDetail/Page1/DFE-00034-2012.

- The local authority has detailed and relevant knowledge of its local communities, including looked after children and care leavers. Commissioned and in-house services respond to and meet the needs of local children, young people and families in need of help, care and protection. The local authority works effectively with other strategic bodies such as the Local Safeguarding Children Board, the Health and Well-being Board and Clinical Commissioning Groups to promote and secure a sufficient range of good-quality provision to meet local need. This should include services, placements and adoptive families for children and young people for whom the authority has a statutory responsibility and where necessary for vulnerable adults who are also parents.
- The joint strategic needs assessment and the sufficiency statements are aligned and set out clear local priorities and the range of available services that respond to and meet the needs of local children, young people and families in need of help, care and protection.
- The local authority is an active, strong and committed corporate parent that knows the children and young people it looks after well. It is an effective and successful champion of their progress (particularly in education and learning) and an ambitious corporate parent, ensuring that each child has every opportunity to succeed. It actively challenges and engages partners where appropriate to support children and young people, such as engaging the local authority strategic housing function.
- The DCS works closely with the LSCB chair and the chief executive, working closely with LSCB partners and, where appropriate, the lead member, holds the LSCB chair to account for the effective working of the LSCB.
- The local authority, through performance management and monitoring, has an accurate and systematically updated understanding of its effectiveness. It demonstrates a track record of dealing rigorously and effectively with areas for development. Leaders, including elected members and managers, have a comprehensive and current knowledge of what is happening at the 'front line' and a track record of responding appropriately and quickly to service deficiencies or new demands
- Management oversight of practice, including practice scrutiny by senior managers, is established, systematic and demonstrably used to improve the quality of decisions and the provision of help to children and young people.
- The local authority knows itself well, is a learning organisation and can demonstrate evidence of practice that is informed, modified and sustainably improved by feedback, research and intelligence about the quality of services and the experiences of children, young people and families who use them. This may, for example, include feedback from the children in care council, change that arises from complaints that

children and families make about their experiences or from successful or disrupted placements or adoption breakdown.

- Effective relationships with Cafcass, the health community, the family courts and the local Family Justice Board ensure that avoidable delay in care proceedings is reduced and children, young people and their families benefit from efficient and effective progress through legal proceedings.
- The local authority social care workforce is sufficient, stable, suitably qualified and competent to deliver high-quality services to children and their families. Managers and practitioners are experienced, effectively trained and supervised and the quality of their practice improves the lives of vulnerable children, young people and families. There is effective organisational support for the professional development of social workers with reference to the employer standards,²⁹ and leaders provide the right environment for good social work to take place.
- Where a local authority delegates any of its statutory functions to a 'social work practice', commissioning and contract compliance ensures those children and young people receiving this service progress at least as well as those served by a good local authority.

Outstanding

- Leadership, management and governance are likely to be outstanding if, in addition to meeting the requirements of a 'good' judgement, there is evidence that leaders (both professional and political) and managers are inspirational, confident, ambitious and influential in changing the lives of local children, young people and families, including children who are looked after and those who have left or who are leaving care. They innovate and generate creative ideas to sustain the highest-quality services, including early help services, for all children and young people. They know their strengths and weaknesses well and can provide evidence of improvement over a sustained period of time. Professional relationships between the local authority and partner organisations are mature and well developed. Accountabilities are embedded and result in confident, regular evaluation and improvement of the quality of help, care and protection that is provided.

Requires improvement

- Leadership, management and governance require improvement when any widespread or serious failures have been identified by the local

²⁹ *Standards for employers and supervision framework*, Department for Education, 2012; www.education.gov.uk/swrb/a0074263/standards-for-employers-and-supervision-framework.

authority **and** are being effectively addressed, but the characteristics of good leadership are not in place.

Inadequate

- Leadership, management and governance are likely to be inadequate if either of the two main judgements is inadequate and leaders and managers have not been able to demonstrate sufficient understanding of the failure. They have been ineffective in prioritising, challenging and making improvements.

Annex A. Identifying cases for tracking and sampling, including management and performance information

Introduction

This annex sets out a number of requirements for local authorities in respect of the inspection. It includes a request to provide child-level data so that the lead inspector can establish those that will be tracked and sampled.

In addition, the lead inspector will also require the most up-to-date performance information used by the local authority to manage services for looked after children and child protection (including early help for families).

Details of planned multi-agency meetings

The details of multi-agency meetings planned to take place during the fieldwork period – including initial and review child protection conferences, looked after children reviews, multi-agency risk assessment conferences (MARAC), core groups, planned strategy discussions and legal planning meetings – should be provided to the lead inspector, who may specify the geographical areas to be covered. These will be reviewed on a regular basis between the lead inspector and the local authority during the inspection.

Child-level data for the case sample and case tracking

When the lead inspector makes contact with the local authority, she/he will ask for a series of lists containing child-level data. These lists should be provided in an Excel spreadsheet format that is clearly set out with the agreed field names and provided to the lead inspector in accordance with the target date for each list. The lead inspector will confirm details of how the lists will be provided to them for their use.

Table 1 below provides details of the time period to be covered for each list and the submission date(s) required for each of the lists. Table 2, also below, confirms the information required within each list. This is supported by detailed guidance at field level for each list. The detailed guidance document is available at www.ofsted.gov.uk/resources/130216.

When providing the required lists please note that:

- It is accepted that some children will appear on several lists. The consistent use of the child ID and the unique pupil number (UPN) across the various lists will enable the lead inspector to recognise where this occurs.
- Please ensure that within each list there is only one row for each unique child ID.
- The data may also be provided in hard copy, but this should be in addition to the Excel spreadsheets, which should be considered as the primary source for inspectors.

- Many of the child-level data fields are in line with current statutory data returns to the Department for Education, but we are aware that some of the fields are not and, therefore, may take longer to complete. To allow for this we have provided the option of a two-stage submission for several of the lists. Stage 1 is for the reporting of those fields that should more readily available. It is anticipated that the majority of data will be provided in line with stage 1. Where the local authority cannot meet this timescale, there is a Stage 2 submission date. Within the detailed guidance for each of the lists, we have indicated which fields are aligned with the statutory returns and where we are requesting information that is not currently part of the statutory returns.
- Queries in respect of the child-level data should be sent to the social care data team mailbox (socialcaredata@ofsted.gov.uk). However, if you have any queries once you have been notified that an inspection is to take place, please contact the lead inspector rather than the social care data team mailbox.
- Some of the requested data – particularly in relation to ‘contacts’ and ‘early help assessments’ – are not necessarily recorded on the main ICT systems and, consequently, the local authority is free to use the solution that suits it best and enables it to provide the data in the timeframe requested. Whatever the format, the data should be clearly identifiable.

Table 1		
Child protection		
List	Submission date – stage 1	Submission date – stage 2
1. All those who have been the subject of a contact in the three months prior to inspection	Week 1 (Wednesday am)	Not applicable
2. All those who have been the subject of an early help assessment, a common assessment or a targeted intervention in the six months prior to inspection	Week 1 (Friday am)	Not applicable
3. All those who have been the subject of a referral in the three months prior to inspection	Week 1 (Wednesday am)	Not applicable
4. All those who have been the subject of a statutory assessment in accordance with section 17 or section 47 of the Children Act 1989 in the six months prior to inspection	Week 1 (Wednesday am)	Week 1 (end of Friday)
5. All those who have been the subject of a section 47 enquiry in the six months prior to inspection	Week 1 (Wednesday am)	Week 1 (end of Friday)
6. All those in receipt of services as a child in need at the point of inspection and those who ceased to receive services as a child in need in the three months prior to inspection	Week 1 (Wednesday am)	Week 1 (end of Friday)
7. All those who are the subject of a child protection plan at the point of inspection and those who ceased to be the subject of a child	Week 1 (Wednesday am)	Week 1 (end of Friday)

protection plan in the three months prior to inspection		
Children looked after and care leavers		
List	Submission date – stage 1	Submission date – stage 2
8. All those children looked after as at the point of inspection and all those children who ceased to be looked after in the six months prior to inspection	Week 1 (end of Thursday)	Week 2 (end of Tuesday)
9. All those care leavers who are eligible for leaving care services as at the point of inspection	Week 1 (end of Thursday)	Week 2 (end of Tuesday)
10. All those children who have been adopted in the 12 months prior to inspection, and those where the decision that the child should be placed for adoption has been made but they have not yet been adopted	Week 1 (end of Thursday)	Week 2 (end of Tuesday)
11. All those individuals who in the last 12 months have had contact with the local authority adoption agency by having: (a) made an enquiry, received an information pack and attended a follow-up interview; and/or (b) had an enquiry or application in progress 12 months ago and have subsequently been approved/rejected; and/or (c) had a child placed with them in the last 12 months	Week 1 (end of Thursday)	Week 2 (end of Tuesday)

TABLE 2	
Child protection	
List	Detail required
1. All those who have been the subject of a contact in the three months prior to inspection	<ul style="list-style-type: none"> ■ Child unique ID ■ Gender ■ Ethnicity ■ Date of birth ■ If unborn: expected date of birth ■ Age of child (years) ■ Date of contact ■ Contact source
2. All those who have been the subject of an early help assessment, a common assessment or a targeted intervention in the six months prior to inspection	<ul style="list-style-type: none"> ■ Child unique ID ■ Gender ■ Ethnicity ■ Date of birth ■ If unborn: expected date of birth

	<ul style="list-style-type: none"> ■ Age of child (years) ■ Assessment completion date ■ Organisation completing assessment
3. All those who have been the subject of a referral in the three months prior to inspection	<ul style="list-style-type: none"> ■ Child unique ID ■ Unique pupil number (UPN) ■ Gender ■ Ethnicity ■ Date of birth ■ If unborn: expected date of birth ■ Age of child (years) ■ Unaccompanied asylum-seeking child (UASC) within the last 12 months (Y/N) ■ Privately fostered (Y/N) ■ Does the child have a disability (Y/N) ■ Does the child have a SEN (SAP/S) ■ Is the child receiving suitable education? (Y/N) ■ Child's average school attendance ■ Date of the most recent referral ■ Referral source ■ Referral NFA? (Y/N) ■ Number of referrals in last 12 months ■ Date of the child's first referral ■ Allocated team ■ Allocated worker
4. All those who have been the subject of a statutory assessment in accordance with section 17 or section 47 of the Children Act 1989 in the six months prior to inspection	<ul style="list-style-type: none"> ■ Child unique ID ■ Unique pupil number (UPN) ■ Gender ■ Ethnicity ■ Date of birth ■ If unborn: expected date of birth ■ Age of child (Years) ■ UASC within the last 12 months (Y/N) ■ Privately fostered (Y/N) ■ Does the child have a disability? (Y/N) ■ Does the child have a SEN? (SAP/S) ■ Is the child receiving suitable education? (Y/N) ■ Child's average school attendance ■ Continuous assessment start date ■ Child seen during continuous assessment (Y/N) ■ Continuous assessment date of authorisation ■ Initial assessment start date

	<ul style="list-style-type: none"> ■ Child seen during initial assessment (Y/N) ■ Initial assessment date of authorisation ■ Core assessment start date ■ Child seen during core assessment (Y/N) ■ Core assessment date of authorisation ■ Allocated team ■ Allocated worker
5. All those who have been the subject of a section 47 enquiry in the six months prior to inspection	<ul style="list-style-type: none"> ■ Child unique ID ■ Unique pupil number (UPN) ■ Gender ■ Ethnicity ■ Date of birth ■ If unborn: expected date of birth ■ Age of child (years) ■ UASC within the last 12 months (Y/N) ■ Privately fostered (Y/N) ■ Does the child have a disability? (Y/N) ■ Does the child have an SEN? (SAP/S) ■ Is the child receiving suitable education? (Y/N) ■ Child's average school attendance ■ Section 47 enquiry start date ■ Number of section 47 enquiries ■ Initial child protection conference not required (Y/N) ■ Date of initial child protection conference ■ Did the initial child protection conference result in a child protection plan? (Y/N) ■ Allocated team ■ Allocated worker
6. All those in receipt of services as a child in need at the point of inspection and those who ceased to receive services as a child in need in the three months prior to inspection	<ul style="list-style-type: none"> ■ Child unique ID ■ Unique pupil number (UPN) ■ Gender ■ Ethnicity ■ Date of birth ■ If unborn: expected date of birth ■ Age of child (years) ■ UASC within the last 12 months (Y/N) ■ Privately fostered (Y/N) ■ Does the child have a disability? (Y/N) ■ Does the child have an SEN? (SAP/S) ■ Is the child receiving suitable education? (Y/N) ■ Child's average school attendance

	<ul style="list-style-type: none"> ■ CIN start date ■ Primary need code ■ Date child was last seen ■ CIN closure date ■ Reason for closure ■ Allocated team ■ Allocated worker
7. All those who are the subject of a child protection plan at the point of inspection and those who ceased to be the subject of a child protection plan in the three months prior to inspection	<ul style="list-style-type: none"> ■ Child unique ID ■ Unique pupil number (UPN) ■ Gender ■ Ethnicity ■ Date of birth ■ If unborn: expected date of birth ■ Age of child (Years) ■ UASC within the last 12 months (Y/N) ■ Privately fostered (Y/N) ■ Does the child have a disability? (Y/N) ■ Does the child have an SEN? (SAP/S) ■ Is the child receiving suitable education? (Y/N) ■ Child's average school attendance ■ Child protection plan start date ■ Initial category of abuse ■ Latest category of abuse ■ Date of the last statutory visit ■ Child seen in accordance with the timescales specified within their plan, by the lead social worker? (Y/N) ■ Was the child seen alone? ■ Child protection plan end date ■ Subject to emergency protection/care/supervision order or protected under police powers in last six months (Y/N) ■ Number of previous child protection plans ■ Allocated team ■ Allocated worker
Children looked after and care leavers	
List	Detail required
8. All those children looked after as at the point of inspection and all those children who ceased to be looked after in the six months prior to inspection	<ul style="list-style-type: none"> ■ Child unique ID ■ Unique pupil number (UPN) ■ Gender ■ Ethnicity ■ Date of birth

	<ul style="list-style-type: none"> ■ Age of child (Years) ■ UASC within the last 12 months (Y/N) ■ Does the child have a disability? (Y/N) ■ Does the child have a SEN? (SAP/S) ■ Is the child receiving suitable education? (Y/N) ■ Child's average school attendance ■ Reason not attending school (if applicable) ■ Date of admission to current school ■ Number of schools attended in the last two years ■ Is the child making the 'expected level of progress' at school? (Y/N) ■ Date started to be looked after ■ Child's category of need ■ Second or subsequent episode of being a looked after child within the last 12 months? (Y/N) ■ Child's legal status ■ Date of latest statutory review ■ Statutory review in time (Y/N) ■ Date of last social work visit ■ Date of latest care plan on record ■ Plan for child to be reunified with their family? (Y/N) ■ Does the child's plan include planned short-term breaks? (Y/N) ■ Date of last IRO visit to the child ■ Date of last health assessment ■ Date of last dental check ■ Number of placement changes in the last 12 months ■ Date ceased to be looked after ■ Reason ceased to be looked after ■ Start date of most recent placement ■ Placement type ■ Placement provider ■ Name of provider ■ Placement name ■ Placement address ■ Placement postcode ■ Placement location ■ Latest Ofsted 'overall effectiveness' judgement for the provider ■ Date of authorisation by the DCS or AD for placements out of local authority area ■ LA of placement ■ Number of episodes the child has been 'missing'
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	<p>from their placement</p> <ul style="list-style-type: none"> ■ Number of episodes the child has been 'absent' from their placement ■ Allocated team ■ Allocated worker
9. All those care leavers who are eligible for leaving care services as at the point of inspection	<ul style="list-style-type: none"> ■ Child unique ID ■ Gender ■ Ethnicity ■ Date of birth ■ Age of child (years) ■ Does the child have a disability? (Y/N) ■ Allocated team ■ Allocated worker ■ Eligibility category (relevant/former relevant/qualifying/other) ■ LA in touch ■ Type of accommodation ■ Suitability of accommodation ■ Activity status ■ Living in housing of multiple occupancy? (Y/N)
10. All those children who have been adopted in the 12 months prior to inspection, and those where the decision that the child should be placed for adoption has been made but they have not yet been adopted	<ul style="list-style-type: none"> ■ Child unique ID ■ Unique pupil number (UPN) ■ Gender ■ Ethnicity ■ Date of birth ■ Age of child (years) ■ UASC within the last 12 months (Y/N) ■ Does the child have a disability? (Y/N) ■ Does the child have a SEN? (SAP/S) ■ Date of decision that child should be placed for adoption ■ Date of matching child and prospective adopters ■ Date placed for adoption ■ Date of placement order ■ Date of adoption order ■ Date of decision that child should no longer be placed for adoption ■ Reason why child no longer placed for adoption ■ Date of fostering to adopt placement ■ Date of latest adoption support assessment
11. All those individuals who in the last 12 months have	<ul style="list-style-type: none"> ■ Reference ■ Type of individual

<p>had contact with the local authority adoption agency by having: (a) made an enquiry, received an information pack and attended a follow up interview; and/or (b) had an enquiry or application in progress 12 months ago and have subsequently been approved/rejected; and/or (c) had a child placed with them in the last 12 months</p>	<ul style="list-style-type: none"> ■ Date of first contact ■ Date of application ■ Date assessment started ■ Date assessment completed ■ Date of approval or refusal ■ Date referred to adoption register ■ Date placement made ■ Date order granted
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Performance information required to support the inspection

The lead inspector will also ask for the local authority's best evidence outlining:

- **organisational structure** showing lines of reporting and accountability
- arrangements for **decision-making, workflow and case management**
- **monthly management information reports** for child protection and looked after children, at **both** team (locality) and departmental level
- the **workforce profile** for social care staff working with children in need, children subject to child protection plans, children looked after and care leavers (including: the number of qualified social workers and their post-qualifying experience; the number of vacancies for permanent staff; the number of locum/agency staff; the extent of staff turnover/stability and sickness levels; and average caseloads of staff by team)
- the **training and development strategy** for the workforce, including arrangements to accommodate **feedback from children and families** and **learning from case and serious case reviews**
- **social work caseload and supervision** policy
- **assessment and threshold criteria** for helping families, protecting children and looking after them
- **annual report, business plan, minutes** from the last three meetings and the **training strategy** from the **Local Safeguarding Children Board**
- number of **complaints and follow-up** activity
- **local strategic needs analysis**, including the number of children living in homes where there is a **parent/carer** known to be receiving treatment for **drug or alcohol misuse, known to be suffering from mental ill health and/or experiencing domestic abuse**. This should also include details of any commissioned services in support of children and families living in these circumstances. The number and needs of looked after children and care leavers

should also be included in respect of the provision of **sufficient placements and choices** for care leavers.

- details of findings from any **peer review** type activity of child protection or services for looked after children within the last 12 months

Children in need of help and/or protection

- **early help strategy and impact analysis**, including management information on **availability of services** (family support), **numbers of families receiving help** following an early help assessment or similar (CAF) in the last 12 months
- **sample practice audits, including some that are multi-agency** over the six months prior to inspection and associated **improvement/action plans**
- **number of privately fostered children** known to the authority
- **number of young people placed under secure accommodation welfare orders** (section 25 of the Children Act 1989)
- **number of children who are electively home educated** known to the authority
- a report on children, for whom the local authority is responsible, who are of school age and **who are not in receipt of full-time school education** at the time of inspection. This report should include for each child:
 - ☐ child unique ID, date of birth, UPN
 - ☐ type of educational provision that they are receiving, including home tuition
 - ☐ number of hours provision per week (in particular whether they are receiving more or less than 25 hours per week)
 - ☐ type of exclusion (if the child has been excluded)
 - ☐ date when alternative provision commenced.

Children looked after and care leavers

- **strategic plan for looked after children, including corporate parenting objectives, education and housing priorities, planning for permanence and children's futures**
- **Child and Adolescent Mental Health Service (CAMHS) strategy**, including length of waiting time and average length of help offered
- **commissioning and sufficiency** strategy
- annual report of the **Virtual Head Teacher**
- **sample practice audits, including some that are multi-agency** over the six months prior to inspection and associated **improvement/action plans**
- management report of the **independent reviewing officer service**

- evidence from **complaints and feedback** from **children and families**
- evidence on **educational progress and outcomes**, including data on attainment, progress, attendance, exclusion, personal education plans, alternative educational provision, employment and training at age 16
- the local family justice board minutes from the last six months
- evidence of children's health, including data on health (physical, psychological and emotional) assessments and dental checks.

CHILDREN'S SERVICES COMMITTEE

5 November 2013



Report of: Assistant Director, Children's Services

Subject: ANNUAL COMPLAINTS REPORT
1st April 2012 – 31st March 2013

1. TYPE OF DECISION/APPLICABLE CATEGORY

For information.

2. PURPOSE OF REPORT

- 2.1 To present the Annual Complaints Report of the Child and Adult Services Department on complaints and representations for the period 1 April 2012 to 31 March 2013.
- 2.2 The Annual Report is attached as **APPENDIX A** to this report.

3. BACKGROUND

- 3.1 The Annual Report provides information on the complaints and representation frameworks appropriate in the department. It draws together information in relation to complaints that have been received and dealt with during the reporting period.
- 3.2 The report includes details of complaints relating to Children's Services. These come within either a statutory framework or the Authority's Corporate Complaints Framework and are reported to their respective Policy Committees.

4. PROPOSALS

- 4.1 The report offers an opportunity to demonstrate learning that has occurred from complaints and also consideration of trends emerging through the year's activity within the Complaints Framework.

4.2 The content of the Report includes the following areas:

- Types of complaints and representations received 2012/13;
- Profile data on service users;
- Outcomes of complaints;
- Compliance with timescales;
- Learning lessons and service improvement.

4.3 The Report provides an analysis of recorded complaints, compliments and representations and draws comparisons with the previous year. Performance is highlighted in a range of areas so that practice issues may be considered.

4.4 It is a legal requirement in both adult and children's social care that an Annual Report be published on complaints, presented to the relevant Policy Committees and made available to staff, the Care Quality Commission (CQC), Ofsted and general public.

5. RECOMMENDATIONS

5.1 That the Annual Report is noted.

6. REASONS FOR RECOMMENDATIONS

6.1. For information.

7. BACKGROUND PAPERS

7.1 Non applicable.

8. CONTACT OFFICER

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Complaints, compliments and representations report 1 April 2012 - 31 March 2013

Hartlepool Borough Council
Child and Adult Services



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1. Introduction

Welcome to Hartlepool Borough Council's Child and Adult Services Department's Complaints, Compliments and Representations Annual Report. The report covers the period 1 April 2012 to 31 March 2013 and is for adult social care, children's social care and community services.

The report will be presented to the appropriate Committees: the Adult Services Committee; the Children's Services Committee; and Regeneration Services Committee. It will also be provided to the Care Quality Commission (CQC), Ofsted, and made available to members of the public and Child and Adult Services staff on the Internet at www.hartlepool.gov.uk.

The report outlines:

- Details of the complaints and compliments received over the reporting period;
- Lessons learned and resulting improvements following enquiry into complaints;
- Performance in relation to our handling of complaints.

2. Background

Complaints and compliments are valued as an important source of feedback on the quality of services. Each complaint is investigated and, where appropriate, redress made. Equally important is the work to learn lessons to prevent a repeat of failure in service quality and continually improve services.

2.1. What is a complaint?

A complaint is any expression of dissatisfaction about a service that is being delivered, or the failure to deliver a service. The Local Government Ombudsman defines a complaint as *"an expression of dissatisfaction about a council service (whether that service is provided directly by the council or on its behalf by a contractor or partner) that requires a response."*

A complaint can be made in person, in writing, by telephone or email or through the council's website. It can be made at any office. Every effort is made to assist people in making their complaint and any member of staff can take a complaint.

2.2. Who can complain?

A complaint can be made by:

- A person who uses services
- A carer on their own behalf
- Someone who has been refused a service for which they think they are eligible
- The representative of someone who uses services or a carer acting on their behalf. This could be with the consent of the service user or carer or in the case of someone who does not have the capacity to give consent, where they are seen to be acting in the best interests of that person.

- Anyone who is or is likely to be affected by the actions, decisions or omissions of the service that is subject to a complaint.

3. Child and Adult Services complaints frameworks

Hartlepool Borough Council's Adult and Children's Social Care, Children's Services and Community Services complaints framework is derived from the statutory procedure for complaints relating to Adults and Children's social care and the corporate complaints procedure for those relating to Community Services. The overall responsibility for the three areas rests with the Department's Complaints Manager/Assistant Director (Community Services). The remit of the Complaints Manager is:

- Managing, developing and administering the complaints procedures.
- Providing assistance and advice to those who wish to complain.
- Overseeing the investigation of complaints that cannot be managed at source.
- Supporting and training staff.
- Monitoring and reporting on complaints activity.

The framework covers situations where there is dissatisfaction about actions, decisions or apparent failings of services within the department.

3.1. Adult Social Care complaints framework

A single level integrated complaints process was introduced on 1 April 2009 with the implementation of the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009.

These regulations place a duty on NHS bodies and adult social care organisations to coordinate handling of complaints and to advise and support complainants through the procedure.

A joint protocol for the handling of complaints that span more than one health or social care organisation had been developed to ensure a comprehensive response is provided to complaints that cross more than one organisation.

The complaints procedure aims to be as accessible as possible. The policy is flexible to ensure that the needs of the complainant are paramount and allows the Department and the complainant to agree on the best way to reach a satisfactory outcome. Full details of the complaints policy and procedure are available on the council's website. Briefly, on receipt of a complaint the level of impact is determined and complaints screened according to their content as being red (high impact), amber (moderate impact) or green (low impact). The process for handling the complaint is dependant on the impact.

3.1.1. Timescales for the resolution of complaints

Staff will always try to resolve problems or concerns before they escalate into complaints and this ensures that, wherever possible, complaints are kept to a minimum.

Since the introduction of the 2009 regulations the only mandatory timescale is that the complainant receives an acknowledgement within 3 working days. The legislation allows for a more flexible approach to the amount of time in which complaints should be dealt with. In our policy, we aim for even the most complex of complaints to be completed within 65 working days of the complaint plan being agreed. If timescales cannot be met, a new timescale should be discussed with the complainant. Locally, timescales have been introduced for amber and green complaints of 40 and 20 working days respectively.

There is a time limit of 12 months from when the matter being complained about occurred to when a complaint may be made. After this time, a complaint will not normally be considered. However, the 12 month time limit does not apply where the local authority is satisfied that the complainant had good reasons for not making the complaint within that time and where it is still possible to investigate the complaint effectively and fairly.

3.2. Children's Social Care complaints framework

The Children Act 1989 Representations Procedure (England) Regulations 2006 came into force from 1 September 2006. This procedure is for all representations received from children and young people, their parents, foster carers or other qualifying adults about social care services provided or commissioned by children's social care.

The Regulations are now fully embedded into the children's social care complaints system and information derived from complaints is included in the annual monitoring of children's social care and reported to Ofsted.

All children, young people or their families who make a representation are offered the services of an Advocate to enable their views to be effectively promoted.

There are three stages to the procedure.

» Stage 1

Local Resolution: The aim of stage 1 is to sort out the matter as quickly as possible. The complaint will be allocated to a manager who will contact the complainant to discuss the complaint. Stage 1 of the complaints procedure should be completed within 10 working days but if there are a number of issues to look into, this can be extended up to 20 working days. The complainant will receive a response to the complaint in writing.

» Stage 2

Investigation: This part of the procedure is used when the complainant remains unhappy after their complaint has been responded to at Stage 1 or the

complaint is sufficiently serious enough to warrant a more formal investigation. Investigations are conducted by an officer independent of the operational service being complained about. An Independent Person is also appointed at Stage 2. This is a statutory role and the Independent Person (who is external to the council) works alongside the Investigating Officer with a remit is to ensure that the process is open, transparent and fair.

Reports completed by the Investigating Officer and Independent Person are submitted to an Adjudicating Officer (usually Assistant Director level).

The investigation and adjudication process should be concluded within 65 working days.

» Stage 3

Complaint Review Panel: If the complainant is dissatisfied with the outcome at Stage 2, they may request that the issues are taken to a Complaint Review Panel (Stage 3). The Panel consists of an Independent Chair and two independent panel members. The Panel considers the complaint and can make recommendations to the Director of Child and Adult Services.

The Director is required to make a formal response to any findings and recommendations of the Review Panel within 15 working days of receiving the Panel's report.

3.3. Corporate complaints

Where complaints are received in to the Department that do not come under the jurisdiction of the statutory social care complaints procedures, the Corporate Complaints policy provides the framework for resolution. This includes complaints in relation to community services but also includes any complaints relating to services provided by the Department not covered in statutory processes such as: special educational needs and the integrated youth service. Complaints in relation to schools are dealt with by individual schools and their governing bodies. Local authorities have no legal obligation to investigate the substance of a complaint regarding an individual child and have no powers of direction in this regard.

Aspects of the corporate complaints procedure are currently under review to bring in line with the new democratic governance arrangements of the Council. The complaints discussed in this report relate to those received under the old system and that procedure is described below:

3.3.1. Formal complaint

Where a person remained dissatisfied with the service they had received or a decision made, they had the right to take their complaint to a formal stage. The complaint would have usually been investigated by a Senior Officer. A written response to the complaint should have been concluded within 15 working days.

3.3.2. Portfolio Holder

If a person remained dissatisfied with the response to their formal complaint, they had the right for the matter to be referred to the relevant Portfolio Holder who would have reviewed the documentation and the response to the complaint to determine whether or not an appeal should have been heard by the General Purposes (Appeals) Committee.

3.3.3. Appeal

If the Portfolio Holder agreed to an appeal, the complaint would have been heard by the General Purposes Appeals Committee which was made up of five councillors.

3.4. Referral to the Local Government Ombudsman

If, at the end of the relevant complaints procedure, the complainant remains dissatisfied with the outcome or the way in which their complaint has been handled under any of the procedures, they may ask the Local Government Ombudsman (LGO) to investigate their complaint. Complainants may also approach the LGO directly without accessing the complaints process. In those cases it is usual for the LGO to refer them back to the council for their complaint to be examined through the relevant complaints process before they intervene.

4. Principles and outcomes

Good handling of complaints and representations involves:

- Keeping the complainant at the centre of the complaints process;
- Being open and accountable;
- Responding to complainants in a way that is fair;
- Being committed to try to get things right when they go wrong;
- Seeking to continually improve services.

Statutory complaints are underpinned by the following:

- A procedure that aims to be fair, clear, robust and accessible;
- Support being available to those wishing to make a complaint;
- Timely resolution following enquiry into complaints/representations;
- Lessons learnt following complaints and services improved;
- Monitoring being used as a means of improving performance.

5. Public information

Information about the complaints and representations framework is accessible via the council's public access points and also the council's website. Carers and service users of children's and adults social care are provided with leaflets explaining the procedure when they take up a new service and when care plans are agreed and reviewed.

Information in other formats such as large print or Braille or translation in languages other than English are made available upon request.

6. Summary of representations

6.1. Adult Social Care

6.1.1. Compliments

Compliments are generally recognised to be an indicator of good outcomes for service user and carers. They also serve to provide wider lessons regarding the quality of services.

During 2012/13, 48 compliments have been received relating to Adult Social Care. Appendix 1 provides some examples of compliments received during the period.

6.1.2. Complaints received in 2012/13

A total of 14 complaints were received. One complaint received was first considered under safeguarding adults procedures but following the conclusion of those enquiries, the matter was investigated as a complaint. The number of complaints received has decreased by 3 from last year.

Of the 14 complaints investigated, 13 of these have been concluded and one remains ongoing. Details of the complaints concluded are outlined in Appendix 2.

6.1.3. Client groups

Adult Social Care			
Client group	2012/13	2011/2012	2010/2011
Older Persons	9	9	14
Learning Disabilities	0	3	1
Physical Disabilities and Sensory Loss	4	3	2
Adult Mental Health (Integrated Service)	1	2	0
HIV/Aids	0	0	0
Substance misuse	0	0	0
Carers	0	0	0
Total number of complaints received	14	17	17

The service users who were the focus of the complaints were 5 (36%) male and 9 (64%) females.

Eleven of the service users were White British, one was White Irish and the remaining 2 were Asian/British – Indian. They were aged as follows:

Age range (years)	Number of service users
18 – 25	0
26 – 35	2
36 – 45	2
46 – 55	1
56 – 65	0
66 – 75	1
76 – 85	5
86 +	3

Complaints which are considered either complex or have a number of elements are usually investigated by someone independent of the council. In 2012/13, Independent Investigating Officers were appointed to 9 of the 14 complaints investigated. The remaining 5 complaints were investigated and responded to internally.

6.1.4. Advocacy services

Of the 14 complaints investigated, none of the complainants chose to have an advocate to assist them with their complaints.

6.1.5. Timescales and the Grading of Complaints

There is no statutory timescale for investigating and responding to a complaint relating to adult social care. However, the overall aim is to respond to complaints in a timely manner. The likely timescales for investigation are discussed with the complainant at the outset of a complaint investigation and updates on progress of the investigation are provided by the Investigating Officer at regular intervals. There are a range of factors that can impact upon timescales such as:

- Whether the complaint has been considered low, moderate or high impact;
- The number of points of complaint for investigation;
- The availability of the complainant and other key people the Investigating Officer needs to interview;
- The time taken to conduct interviews with key people which can range from one person to, in one complaint, 11 interviews;
- Seeking appropriate consent for obtaining information from partner agencies and awaiting the necessary information to inform the complaint investigation;
- Reading case files and records and obtaining copies of local policies and procedures;

- Consideration all available information and the drafting of a complaint investigation report;
- Carrying out factual accuracy checks on the draft report and providing feedback to the complainant before finalising and submitting the final report.

6.1.6. Complaints carried forward to 2013/14

One of the 14 complaints received in 2012/13 has been carried forward and is being investigated in 2013/14.

6.1.7. Complaints considered by the Local Government Ombudsman in 2012/13

One complainant, whose complaints were considered by the council in 2011/12, approached the Local Government Ombudsman (LGO) on 3 separate occasions in 2011/12. In relation to 2 elements of complaint, the LGO recorded these in their statistics for the year ending 31 March 2012 as “insufficient evidence of maladministration” and with regard to the remaining element of complaint, the LGO decided it was “not in jurisdiction” to investigate. The same complainant then approached the LGO in 2012/13 with a further complaint. The LGO decided “*not to initiate an investigation*” and set out the reason why. However, the LGO have since asked the Council to respond to a particular letter sent by the complainant.

6.2. Children’s Social Care

6.2.1. Compliments

During 2012/13, 14 compliments have been received relating to Children’s Social Care. Appendix 3 provides some examples of compliments received.

6.2.2. Complaints received in 2012/13

A total of 21 complaints were received. Two complaints were withdrawn by the complainants and the Council decided not to accept a complaint where nearly 6 years had elapsed since the grounds for making the complaint arose. A total of 18 complaints were investigated. The number of complaints received has increased by 5 from 2011/12. Details of the complaints concluded are outlined in appendix 4.

- Of the 18 complaints investigated, 16 of these have been concluded and 2 remain ongoing.
- All 18 complaints investigated were responded to at Stage 1 in the first instance. Of these, 15 complaints (83%) were concluded at Stage 1.
- Of the 3 complaints (17%) that progressed to Stage 2, one of these has been resolved whilst the other 2 remain ongoing.
- There were no Stage 3 Complaint Review Panels held in 2012/13.
- Complaints were received from 4 males (19%), 16 females (76%) and 1 complaint (5%) was made jointly by a couple.

6.2.3. Advocacy services

One of the 18 complainants were assisted and supported by an Advocate during the complaints process.

6.2.4. Complaints considered by the Local Government Ombudsman in 2012/13

There were no complaints in relation to children's social care that progressed to the Local Government Ombudsman in 2012/13.

6.3. Corporate procedure

6.3.1. Compliments

During 2012/13, 14 compliments have been received relating to Community Services. Appendix 5 provides some examples of compliments received during 2012/13.

6.3.2. Complaints received in 2012/13

A total of 7 complaints were received during 2012/13 (further details are contained in appendix 6), 5 of which related to services delivered within **Community Services Division**. The remaining 2 complaints related to social care which fell outside the scope of the Statutory Complaint Procedures for social care. All complaints have been concluded and resolved.

Complaints were received from 6 females (86%) and 1 male (14%).

6.3.3. Time taken to respond to complaints

The Corporate Complaints Procedure is required to operate within a timescale of 15 working days. Of the 7 complaints, 4 (57%) were responded to within the 15 working day timescale. The remaining 3 (43%) complaints have taken longer to fully investigate and respond to the issues raised. The extra time taken in these complaints was as a result of their complexity and as well as the time taken to await a response from a provider to fully respond to all points of complaint.

6.3.4. Complaints considered by the Local Government Ombudsman in 2012/13

There were no corporate complaints that progressed to the Local Government Ombudsman in 2012/13.

7. Lessons learned

Lessons learned are an important aspect of the complaints framework. Appendix 2, 4 and 6 respectively outline the context of some improvements that have been put in place as a direct result of complaints and representations received in adult social care, children's social care and community services.

8. Conclusions and way forward

8.1. Going forward

We continue to ensure that a person-centred approach is adopted for the handling and investigation of each complaint. We will continue to focus on ensuring that we monitor that: complainants receive appropriate and timely feedback on complaints; appropriate apologies are offered; and any service improvement recommendations are delivered.

8.2. Action plan

- We will continue to promote the complaints procedure for children's social care services to a range of networks to ensure that children and young people feel confident and able to approach the department with any particular concerns.
- We will deliver complaints training to the workforce at new Hartlepool Children's Home based at 302 Stockton Road.
- We will ensure that Healthwatch are aware of the different social care complaints procedures so they are able to inform members of the public of what they can do if they are unhappy with local social care services.
- We will liaise with Independent Complaints Advocacy (ICA), the organisation commissioned by the Council to deliver an advocacy service for NHS complaints, to ensure that the service is meeting the needs of the local population.
- We will await the outcome of the NHS Complaints Review initiated in March 2013 following Robert Francis's report into failings at Mid Staffordshire NHS Foundation Trust and monitor any implications this might have on a review of statutory complaint regulations and social care complaint procedures.

Appendix 1: Examples of compliments received across Adult Social Care services

"... My reason for contacting you is to praise Social Services unreservedly for the care and support I have received from the service, especially the Reablement Workers without whom I wouldn't have made a wonderful recovery"

From a service user about the support received from the Reablement Team.

"I am writing to proffer some well-deserved praise for your Social Worker. I would like to formally place, on record, the sincere thanks of my mother, my family and myself, for the manner in which AL has dealt with the holistic health issues which have been affecting my mother in recent months."

From the son of a service user about a Social Worker.

"Your kindness to my mother-in-law was above and beyond what we could have expected. It has been a very stressful time we could not of managed all the paperwork without you."

From the daughter-in-law of a service user about a User Property and Finance Officer.

"My wife and I have been most impressed by the high professional level of care we have been given by your staff. They are truly professional in their approach to their work and it has been a pleasure having every one of them visiting our home."

From a service user about Direct Care and Support Team Workers.

"I am full of admiration and gratitude for the care I have received and value it tremendously. As you would perhaps expect my gratitude is as much for the presence of the carers as for the tasks they accomplished for me. What could have been a grim and lonely time proved to be anything but. Thank you. "

From a service user about Direct Care and Support Team Workers.

".... My wife and I would like to express our gratitude for the way her Social Worker managed her case and indeed the understanding he showed to each one of us during this trying time. In the media there are constant criticisms of social care and many social workers come under severe pressure themselves in a very testing environment. I wish to put on record that my wife and I were very impressed and wish to take the opportunity to highlight to you the professionalism, compassion and understanding he displayed on each and every occasion we met to discuss my mother's situation."

From the son of a service user about a Social Worker.

Appendix 2: Details of complaints and lessons learned in Adult Services

Details of complaint/Outcomes	Lessons learned and where appropriate, actions taken
<p>The complainant, (JC), the daughter of a service user, expressed her mother was admitted to a care home inappropriately. Further, the contract was not ended as it should have been resulting in the complainant's mother being charged for a service she didn't receive. (Partly upheld)</p> <ul style="list-style-type: none"> ▪ LOW IMPACT ▪ OLDER PERSONS 	<p>An explanation was given to each element raised and the complainant's mother reimbursed her financial contribution of 5 days' care home fees.</p>
<p>The complainant, (DH), the son of a service user alleges that:</p> <ul style="list-style-type: none"> ▪ The User Property and Finance Officer did not carry out a financial assessment in a professional manner (Not upheld) and ▪ had an unsatisfactory attitude; (Unable to reach a finding – there was no evidence either way to support or deny the allegation) ▪ He was told his father's care fees would be free of charge up to a period of 12 weeks. (Not upheld) ▪ LOW IMPACT ▪ OLDER PERSONS 	<p>None identified.</p>

<p>The complainant, (JB), the daughter of a service user in a residential care home, alleged that:</p> <ul style="list-style-type: none"> ▪ No full explanation has been given to Mrs B and her family of how it was that her mother suffered a fall which resulted in a re-fracture of hip. (Not upheld) ▪ The attitude of the Care Home Manager after her mother's fall was unprofessional and unacceptable. (Not upheld) ▪ Despite having been reassured by the Manager of the Care Home that a full investigation would be carried out into the circumstances which resulted in her mother's fall and that they would receive a report of this investigation, to date, no information had been received by the family relating to this. (Not upheld) <p>Independent Investigating Officer external to the Council appointed to investigate the complaint.</p> <ul style="list-style-type: none"> ▪ MODERATE IMPACT ▪ OLDER PERSONS 	<p>Reflecting upon events that occurred when a large family group arrived at a time when paramedics were in attendance, it has been agreed that should a similar situation arise, one family member will be asked if they wish to remain whilst paramedics are in attendance and the remaining family members will be shown to a private room.</p> <p>Managers and Senior Care staff who have not undertaken assertiveness training as part of 'e' learning supervisory management will do so.</p>
<p>The complainant, (AB), the wife of a service user, alleged that:</p> <ul style="list-style-type: none"> ▪ Her husband did not have the mental capacity, memory ability or concentration levels to attend meetings connected with the financial assessment process and no financial reassessment took place until some 3 years later. (Not upheld) ▪ The Social Worker did not listen to or action any of her concerns around the mobility difficulties she expressed her husband was experiencing. (Unable to reach a finding - there was no evidence wither way to support or deny the allegation) <ul style="list-style-type: none"> ▪ LOW IMPACT ▪ PHYSICAL DISABILITIES 	<p>Carried out a Carer's Assessment to ensure the complainant's needs were being met in her caring role and support provided to help her to continue to care for her husband.</p>
<p>The complainant, (AH), the wife of a service user whose husband received respite care in a residential care home, alleged that:</p> <ul style="list-style-type: none"> ▪ Her husband did not receive consistent and regular personal care during a period of respite care at the Care Home. (Partly upheld) ▪ Her husband did not receive his medication as prescribed. (Upheld) ▪ The letter to the complainant from the Care Home Acting Manager does not reflect the extent 	<p>The Care Home wrote to the complainant expressing their apologies for the disappointing service the service user and his family received and reimbursed the service user the financial contribution he paid towards the cost of his care.</p> <p>The Care Home also agreed to record greater detail of the personal care given to a resident.</p>

<p>of the failure to care nor does it contain an apology. (Upheld)</p> <p>Independent Investigating Officer external to the Council appointed to investigate the complaint.</p> <ul style="list-style-type: none"> ▪ MODERATE IMPACT ▪ OLDER PERSONS 	
<p>The complainants, (RC and JA), the son and daughter of a service user, alleged that:</p> <ul style="list-style-type: none"> ▪ The Council mis-sold them a property. (Not upheld) ▪ Their mother's care needs were not adequately assessed. (Not upheld) <p>Independent Investigating Officer external to the Council appointed to investigate the complaint.</p> <ul style="list-style-type: none"> ▪ MODERATE IMPACT ▪ OLDER PERSONS 	<p>A recommendation was forwarded to a Registered Social Landlord that they consider a review of their information about their extra-care housing provision and encourage them to include a point that social care needs assessments are required to be carried out to determine a person's eligibility to receive publicly-funded services.</p>
<p>The complainant, (PM), the son-in-law of a service user, alleges that a member of the User Property and Finance Team:</p> <ul style="list-style-type: none"> ▪ assumed a "moralistic attitude" in responding to his enquiries regarding his mother-in-law's possible entitlement to financial assistance with her care home fees. (Not upheld) ▪ "went behind their backs" and visited his mother-in-law. (Not upheld) <p>Independent Investigating Officer external to the Council appointed to investigate the complaint.</p> <ul style="list-style-type: none"> ▪ LOW IMPACT ▪ OLDER PERSONS 	<p>No recommendations were made.</p>

<p>The complainants, (JC and SR), who provided a care and support to a service user in receipt of a direct payment, alleged that:</p> <ul style="list-style-type: none"> ▪ The Council have not paid them for the additional hours they have worked on behalf of the service user. (Not upheld) ▪ They feel their professional expertise as carers had been called into question. (Not upheld) ▪ They feel that the Council have a negative view of the service they provide. (Not upheld) <p>Independent Investigating Officer external to the Council appointed to investigate the complaint.</p> <ul style="list-style-type: none"> ▪ LOW IMPACT ▪ PHYSICAL DISABILITIES 	<p>A full review of the direct payments policy, procedure and documentation was already underway but issues which emerged during this complaint investigation will be fed into the review.</p>
<p>The complainants, (B & SJ), the son and daughter-in-law of the service user in a care home, alleged that:</p> <ul style="list-style-type: none"> ▪ The complainant was made to feel inadequate as a result of the comments made by the EDT worker to whom she spoke when making the referral. The complainant made the EDT worker aware of the injury to her mother-in-law which she suggested could have been caused by force feeding and believed her mother in law had a UTI. Allegedly, the EDT worker asked “who did she think she was” to make such a statement and that only a GP could arrive at such a conclusion. The complainant alleged she was then advised if she wished she could get the Care Home to contact the Out-of-Hours GP service (Not upheld) ▪ The complainant referred her concerns to the Social Worker on the Monday morning who advised she would visit the Care Home and investigate. The complainant alleges that no one from adult social care actually visited her mother-in-law (Upheld) ▪ The Social Worker informed the complainant that the Care Home informed her of how the injury to the service user’s lip occurred. The complainant refuted the reason for the injury and alleges no further investigation into the cause of the injury occurred (Upheld) ▪ Staff at the Care Home failed to record the injury, the complainants were not advised of the injury, no safeguarding adults referral was made (Upheld) ▪ The Social Worker failed to communicate effectively with them following their contact with her on 1.4.12 (Upheld) ▪ the Care Home failed to communicate effectively with them from 1.4.12 until 22.4.12, They failed to inform the complainants of the injury and her deteriorating health whilst they were away despite leaving numbers to be contacted in the event of any concerns (Partly upheld) 	<p>Recommendations were made including:</p> <ul style="list-style-type: none"> ▪ A referral taken by EDT which refers to a possible safeguarding incident should be written on a Safeguarding Alert Form. ▪ The Care Home should review their care planning and safeguarding training. ▪ When procedures are reviewed, the relationship between Duty Team and Multi-Link workers with regard to safeguarding alerts and investigations is clarified. ▪ An apology is offered by the Care Home for the failure to maximise the service user’s independence by use of her flash cards; failing to pursue the possible cause for the injury and failing to inform the family of the injury and subsequent outcome of the GP visit. ▪ An apology is offered by adult social care for the confusion suffered by the complainants as a result of failing to follow safeguarding procedures.

<ul style="list-style-type: none"> the service user's GP was not advised of their concerns when he visited the service user on 4.4.12. (Partly upheld) the service user was not consulted regarding her lip injury. Whilst recognising the service user had lost her speech, the use of cards with pictures and words on to express her needs were not used by staff at the Care Home (Partly upheld) <p>Independent Investigating Officer external to the Council appointed to investigate the complaint.</p> <ul style="list-style-type: none"> MODERATE IMPACT OLDER PERSONS 	
<p>The complainant, (GM), the daughter of a deceased service user, alleges that:</p> <ul style="list-style-type: none"> It was not made clear to the family by social care staff about what Level 3 medication support entailed, who had responsibility for administering medication or for the safe storage of the large number of tablets her father returned home with on his discharge from hospital (Partly upheld) Social care staff were made fully aware by the family of the late service user's home circumstances and his limited family support before his discharge from hospital. The District Nurse involved in assessing the late service user after his discharge from hospital was not aware of her father's home circumstances or his limited family support (Not upheld) The Carers involved in her late father's care did not appear to be aware of his home circumstances accepting his word about taking medication, eating meals and the support he was receiving (Upheld) It was not made clear to the family by social care staff of who was undertaking the overall management and administration of the level 3 medication support following her late father's discharge from hospital (Upheld) The family were not involved in any safeguarding referral meeting that took place, nor were they asked to contribute to any reports or discussions (Not upheld) The family have not been formally informed of the outcome of the referral nor have they received minutes of any meetings or discussions (Not upheld) The family are unclear as to whether the 'unsafe discharge' comment made by staff at hospital has been fully examined (Not upheld) The family do not understand why social care staff used her late father's mental capacity as a reason to allow him to refuse hospital admission and the care and support that he needed. A formal assessment of her late father's mental capacity was not suggested to the family until after his hospitalisation following his overdose (Not upheld) 	<p>Recommendations were made including:</p> <ul style="list-style-type: none"> Apologies were expressed for those points of complaint that were either upheld or partly upheld. Informing Hartlepool Adult Safeguarding of the circumstances of the case. Reminding Social Workers of what is included within the minimum data set as well as obtaining signed agreement and acceptance of services where necessary. Reminding Home Care Supervisors that copies of any changes or additions to MAR sheets should be scanned and stored on the service user's electronic record to ensure traceability. A review of Medication Procedures.

<ul style="list-style-type: none"> ▪ The family are not aware if social care staff separately verified the accuracy of her late father's own statements about his home and personal circumstances which were then used in decisions about his care although the family did make social care staff and others aware of his actual circumstances (Not upheld) <p>Independent Investigating Officer external to the Council appointed to investigate the complaint.</p> <ul style="list-style-type: none"> ▪ MODERATE IMPACT ▪ OLDER PERSONS 	
<p>The complainant, (VG), alleged that a member of staff breached confidentiality and divulged information about her to a third party. (Unable to reach a finding - there was no evidence either way to support or deny the allegation)</p> <ul style="list-style-type: none"> ▪ LOW IMPACT ▪ MENTAL HEALTH 	<p>None identified.</p>
<p>The complainant, (JC), a service user, alleges that:</p> <ul style="list-style-type: none"> ▪ A review of the Telecare service has not been undertaken since it was installed in 2009 (upheld). ▪ An assessment of social care needs had not been undertaken (not upheld). ▪ LOW IMPACT ▪ PHYSICAL DISABILITIES 	<ul style="list-style-type: none"> ▪ Explanation provided to the service user that annual telecare reviews should have been undertaken and this situation will be addressed and a review scheduled. ▪ Explanation provided to the service user that the referral information related to an OT assessment and there was no detail to suggest a social care needs assessment was required. A referral for a social care needs assessment has now been made.
<p>The complainant, (SS), the niece of a service user, alleges that adult social care, through the actions or inactions of its staff, failed to act in the best interests of her aunt (Not upheld).</p> <p>Independent Investigating Officer external to the Council appointed to investigate the complaint. This complaint was suspended whilst the case was being considered with the safeguarding adult arena. Once the safeguarding process was concluded, the complaint was investigated.</p> <ul style="list-style-type: none"> ▪ LOW IMPACT ▪ OLDER PERSONS 	<p>The Independent Investigating Officer commended the Council for its safeguarding adult process by taking control of the situation and ensuring the necessary protection for the service user when there was doubt surrounding whether her best interest were being met.</p> <p>No recommendations were made.</p>

<p>The complainant, (AW), a proprietor of a residential care home, alleged that:</p> <ul style="list-style-type: none"> ▪ The Council misrepresented the care home on its website and public information material. ▪ Funded placements were banned from the care home and the Council has effectively placed a 6 year moratorium on the care home without a legal precedent to do so. <p>Complaint considered under Corporate Complaint Procedure.</p>	<p>Complaint: 1 element partly upheld 1 element not upheld</p> <p>Response: 18 Working days</p>	<p>Apology provided for the element of complaint that was partly upheld.</p>
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Appendix 3: Examples of compliments received across Children's Social Care services

"My husband and I would like to thank you for your reassurance that this authority (Hartlepool Borough Council) will continue to support us and N in the aim to facilitate N's return home in a safe and appropriate manner."

From the mother of a service user about Disability Services.

"Well, thank you for everything you have done in the time you looked after us, I felt you did an amazing job and you have left some "big boots" for N to fill."

From a child's grandparent to a Social Worker in Safeguarding, Assessment and Support Services.

"The older girls were initially placed with me and they advocated venomously to be all placed together. This included speaking to a wide range of professionals, it has been incredible to observe how the team have handled this and were able to facilitate their needs ..."

From a Foster Carer about social workers in Safeguarding, Assessment and Support Services.

"Our new social worker from the children's disability team has been brilliant. She has been very friendly and very understanding of J's individuality and it is very evident that she genuinely likes J and he had engaged very well with her. She had also been a good source of advice and support to me."

From the mother of a service user about Disability Services.

"The initial assessment was very thorough and L certainly went above and beyond in this piece of work. I know that L was 'just doing her job' but actually I feel she has added value to this case and that this should be recognised."

From a Family Court Advisor about a Social Worker in Safeguarding, Assessment and Support Services.

Appendix 4: Details of complaints and lessons learned in Children's Services

Details of complaint	Outcomes	Lessons learned and where appropriate, actions taken
The complainant, (EB), the mother of child who was under Police Protection, expressed her dissatisfaction in relation to the Emergency Duty Social Worker refusal for her to return to home with the child to collect some personal belongings en route to University Hospital of North Tees.	<p>Response: 10 Working days</p> <p>Resolved at Stage 1</p> <p>Note: This complaint related to the service provided by the Emergency Duty Team (EDT). As part of the arrangements in place with the EDT service, complaints at Stage 1 are looked into and responded to by the EDT service (Stockton Borough Council).</p>	Reinforce with the EDT Social Workers that the request for collection of personal items could have been relayed to the EDT and collection organised by the EDT via a taxi for example.
The complainants, (CB and MJ), the grandmother and the sister of a service user, expressed their dissatisfaction about an alleged lack of financial support as well as a decision regarding the closure of the case.	<p>Response: 26 Working days</p> <p>Resolved at Stage 1</p> <p>Note: The complainant met the Investigating Officer within 13 working days of the complaint being received and verbally resolved the complaint. The written letter outlining what was agreed was sent 13 working days after the meeting.</p>	Agreement was reached for the case to remain open and Child-in-Need support offered both financially and practically.
The complainant, (CH), the mother of a service user, was dissatisfied with attitude of a Social Worker and expressed disappointment that her Support Worker did not accompany the Social Worker on the visit.	<p>Response: 18 Working days</p> <p>Resolved at Stage 1</p>	None identified.

<p>The complainant, (KG), the mother of a service user, alleged that:</p> <ul style="list-style-type: none"> ▪ The Social Worker recorded an inaccurate description about her (Unable to reach a finding - there was no evidence wither way to support or deny the allegation). ▪ There was a lack of written documentation provided with regard to the involvement of Child & Adult Services (Upheld). ▪ The behaviour of the Social Worker was unprofessional and the process of the complaint investigation at Stage 1 had not effectively addressed this issue (Not upheld). 	<p>Response: 62 Working days</p> <p>Resolved at Stage 2</p>	<ul style="list-style-type: none"> ▪ Complainant offered the opportunity to write her own account of the incident which would be added to her son's social care record next to that of the Social Workers. ▪ Apology offered to the complainant for the lack of written documentation provided. ▪ A reminder sent to Social Workers about the need to ensure appropriate and timely written information being provided to children and their families. ▪ A reminder sent to Social Workers about the availability of training around professional skills and dealing with complex situations.
<p>The complainant, (CA), the paternal grandfather of a child, alleges that the Social Worker shared confidential information with his parents.</p>	<p>Response: 20 Working days</p> <p>Resolved at Stage 1</p>	<p>None identified.</p>
<p>The complainant, (CD), the father of an unborn baby, was dissatisfied with a delay in carrying out an assessment as well as Department's position around the mother's ability to protect her baby after its birth.</p>	<p>Response: 28 Working days</p> <p>Resolved at Stage 1</p> <p>Note: It was agreed that as it was so close to the birth of the baby, the complaint would be put on hold until after the baby was born.</p>	<p>Steps taken to ensure tighter arrangements are in place for the transfer of cases between teams.</p>

<p>The complainant, (LB), the mother of an unborn baby, was dissatisfied with a delay in carrying out an assessment as well as the Department's view on her as potential carer for her baby.</p>	<p>Response: 31 Working days</p> <p>Resolved at Stage 1</p> <p>Note: It was agreed that as it was so close to the birth of the baby, the complaint would be put on hold until after the baby was born.</p>	<p>Steps taken to ensure tighter arrangements are in place for the transfer of cases between teams.</p>
<p>The complainant, (RH), the father of a child, alleged that:</p> <ul style="list-style-type: none"> ▪ the mother dictated the supervised contact arrangements; ▪ the Social Worker took sides with the mother; ▪ the Social Worker did not visit the complainant at his home or the home of his grandparents; ▪ the Social Worker did not provide the complainant with a copy of the Section 7 Report. 	<p>Response: 19 Working days</p> <p>Resolved at Stage 1</p>	<p>Head of Service to address issue of visits to the child's home when undertaking assessments.</p>
<p>The complainant, (PH), the mother of a child, was dissatisfied with the events that took place around her son going to live with his father.</p>	<p>Response: 36 Working days</p> <p>Resolved at Stage 1</p> <p>Note: Christmas and New Year holidays impacted on the timescale.</p>	<p>None identified.</p>

<p>The complainant, (BW), the mother of a child, alleged that:</p> <ul style="list-style-type: none"> there were difficulties in accessing appropriate services for her son; her son experiencing a significant amount of difficulty whilst residing in supported accommodation; there is a lack of support one day per week for her son. 	<p>Response: 24 Working days</p> <p>Resolved at Stage 1</p> <p>Note: Christmas and New Year holidays impacted on the timescale.</p>	<p>None identified.</p>
<p>The complainant, (CC), the father of 2 children, alleged that:</p> <ul style="list-style-type: none"> the Social Worker failed to contact him in a timely way to introduce himself; the Social Worker was rude, arrogant and treated him with no respect; the Social Worker's attitude around his contact with the children was inappropriate and not within the Social Worker's remit. 	<p>Response: 10 Working days</p> <p>Resolved at Stage 1</p>	<p>Case transfer process reviewed to ensure robust arrangements are in place for introductions to family members.</p>
<p>The complainant, (LW), the mother of 2 children, alleged that:</p> <ul style="list-style-type: none"> the Social Worker wrote things in reports for Court that were incorrect. the Social Worker had said she would leave her some photographs of the children but failed to do so. 	<p>Response: 41 Working days</p> <p>Resolved at Stage 1</p> <p>Note: Annual leave arrangements as well as the complainant initially failing to engage with the complaints process delayed the investigation of the issues raised.</p>	<p>Apology provided for forgetting to leave the photographs at reception as had been arranged. The Social Worker provided the complainant with the photographs of the children at a later date.</p>

<p>The complainant, (ML), the mother of 2 children, alleged that:</p> <ul style="list-style-type: none"> the Social Worker only appeared to be interested in her husband's previous alcohol problem. the Social Worker had not read the notes taken by the previous Social Worker. the Social Worker failed to present her ID and did not leave a card with her contact details on. 	<p>Response: 17 Working days</p> <p>Resolved at Stage 1</p>	<p>None identified.</p>
<p>The complainant, (DC), the mother of 3 children, expressed her dissatisfaction around:</p> <ul style="list-style-type: none"> one of her son's not being allocated a Social Worker from the Disability Team. transport arrangements around getting 3 children to 3 different schools. the number of Social Workers allocated to the case over a short time period. core group meeting minutes allegedly going 'missing'. 	<p>Response: 18 Working days</p> <p>Resolved at Stage 1</p>	<ul style="list-style-type: none"> Liaised with the Disabilities Team Manager to discuss and clarify the process and procedure about the service the Team may provide and provided feedback to the complainant. Explanation provided with regard to the change of Social Workers allocated to the case. Explanation provided about the Core Group Minutes and that a further set would be created and distributed.

<p>The complainant, (RL), the mother of 2 children, alleged that:</p> <ul style="list-style-type: none"> the Social Worker stopped the contact with her children going ahead as a punishment towards her. the Social Worker failed to contact her to advise that a health appointment with regard to her daughter had been cancelled which left her waiting around for 40 minutes before finding out it has been cancelled. 	<p>Response: 19 Working days at Stage 1</p> <p>The complainant was dissatisfied with her response at Stage 1 and requested progression to Stage 2. After numerous attempts by both the Investigating Officer and Complaints Officer asking the complainant to get in touch about arrangements to meet, the complainant did not response and her complaint at Stage 2 was withdrawn and the investigation abandoned.</p>	<ul style="list-style-type: none"> Explanations provided and an apology was given for any confusion caused by the arrangements.
<p>The complainant, (PH), the mother of a child, expressed her dissatisfaction that a Social Worker and Police Officer visited her home, allegedly on the insistence of her adult son, over concerns that her younger son's safety was at risk.</p>	<p>Response: 14 Working days</p> <p>Resolved at Stage 1</p>	<p>None identified.</p>
<p>The complainant, (SN), expressed that she had booked to attend courses at 2 different Children's Centres and was disappointed that one of the courses was cancelled by a member of staff who allegedly indicated that it was not permissible to attend different Children's Centres. The complainant alleges that there are no such limitations outlined in publicity material.</p> <p>Complaint considered under Corporate Complaint Procedure.</p>	<p>Complaint: Upheld</p> <p>Response: 15 Working days</p>	<ul style="list-style-type: none"> Ensured the complainant's bookings at both Children's Centres were honoured. Booking policy, procedures and marketing material to be reviewed in light of the complaint.

Appendix 5: Examples of compliments received across Community Services

“Absolutely brilliant, nothing too much trouble, excellent organisation, will definitely go back, have never been before – what a fab price for kids to explore, excellent staff, kids loved it, kids still talking about it....”

From a family group visiting Hartlepool’s Maritime Experience.

“Having missed the IT revolution by a number of years I required assistance to scan and email important information to my daughter in France and tried Throston library as my first port of call. The staff could not have been more helpful As an infrequent visitor, I was struck by how relevant the library is to the local community with so much local information in a variety of media on offer Library services has never come particularly high on my list of priorities, however with staff and services like those offered to me this morning, I am beginning to see how places such as Throston are a vital hub of community activity”

From a visitor about Throston Library Service.

“... Every time I have been in the centre, it is always really busy and I put this down to all the hard work that all the staff obviously put in. To me it seems like people who visit or use the centre have a really good and fun time in a nice and friendly atmosphere. I would recommend Brierton Sports Centre to anyone. All I can say is keep up the hard and brilliant work, as it is a pleasure to visit and use the centre.”

From a leisure centre user about Brierton Sports Centre.

“... may I express my thanks for a most interesting and informative day out, when we visited the Hartlepool Maritime Experience. all in all we are of the opinion that the above visit far outweighs other options/venues we have visited in the last 5 years and I look forward to returning with the younger members of the family. ”

From a group visiting Hartlepool’s Maritime Experience.

“My wife and I would like to take this opportunity of expressing our gratitude for the excellent service and care given by your employees at the Mill House gym. These young ladies have turned our lives around. We both feel and look better than we have for years. We are now living a more active life and feel so much younger. I am 82 years old this year and wife will be 71 years old this year and we are both looking forward to a much healthier old age, thanks mainly to your gym and your training staff. With our most sincere thanks.”

From leisure centre users about Mill House Gym.

Appendix 6: Details of Community Services complaints and lessons learned

Details of complaint	Outcomes	Lessons learned and where appropriate, actions taken
The complainant, (LD), a leisure centre user, expressed her dissatisfaction with the school holiday opening arrangements at the leisure facility.	Complaint: Not upheld Response: 3 Working days	None identified.
The complainant, (AB), a leisure centre user, is dissatisfied with other users not adhering to the booking arrangements.	Complaint: Partly upheld Response: 18 Working days Note: The Investigating Officer wished to observe the practice on site for 2 consecutive weeks before concluding enquiries into the complaint.	Reminder issued to all parties about the booking arrangements and agreements in place.
The complainant, (OJ), alleged that: <ul style="list-style-type: none"> ▪ No receipt or guarantee was provided for works carried out by a contractor from an agency whose leaflet was displayed by the Council; ▪ Additional leaflets were put on display advertising the agency despite the complainant advising the Council that the agency were no longer providing the service; ▪ She was signposted to a service by the Council when there were other less costly alternatives available to her. 	Complaint: Not upheld Response: 42 Working days Note: The Council needed to obtain information from a third-party before being in a position to respond to all elements of the complaint.	None identified.

<p>The complainant, (HC), a theatre user, alleged that on a number of occasions she had been given the wrong seat/date/time for show booked and feel that staff are taking down information incorrectly which is not acceptable.</p>	<p>Complaint: Unable to reach a finding</p> <p>Response: 10 Working days</p>	<p>A courtesy call would be made to complainant (if booking made at least 2 weeks prior to the show) to ensure all booking details were correct. This would be monitored over a for a 6 month period.</p>
<p>The complainant, (HC), a theatre user, alleged that she booked for a 1.30 pm performance and when she arrived she found other people in the allocated seats. Upon checking, she was advised that she had booked for the 3.30 pm performance (which she disputes) and expressed her disappointment at the different seats she was shown to for the 1.30 performance.</p>	<p>Complaint: Unable to reach a finding - there was no evidence either way to support or deny the allegation.</p> <p>Response: 2 Working days</p>	<p>As a gesture of goodwill, the complainant was provided with tickets to attend another show of her choice within a set time period.</p>

CHILDREN'S SERVICES COMMITTEE

5 November 2013



Report of: Director of Child & Adult Services and Chief Finance Officer

Subject: STRATEGIC FINANCIAL MANAGEMENT REPORT – AS AT 31ST AUGUST, 2013

1. TYPE OF DECISION/APPLICABLE CATEGORY

For Information.

2. PURPOSE OF REPORT

- 2.1 The purpose of the report is to inform Members of the 2013/14 Forecast General Fund Outturn; 2013/14 Capital Programme Monitoring, and provide details for the specific budget areas that this Committee is responsible for.

3. BACKGROUND AND REPORTING ARRANGEMENTS 2013/14

- 3.1 The availability and reporting of accurate and up to date financial information will become increasingly important as future budget cuts are implemented and one-off resources are used up.
- 3.2 The Finance and Policy Committee will continue to receive regular reports which will provide a comprehensive analysis of departmental and corporate forecast outturns, including an explanation of the significant budget variances. This will enable the Finance and Policy Committee to approve a strategy for addressing the financial issues and challenges facing the Council.
- 3.3 To enable a wider number of Members to understand the financial position of the Council and their service specific areas each Policy Committee will receive a separate bi-monthly report providing:
- A brief summary of the overall financial position of the Council as reported to the Finance and Policy Committee;
 - The specific budget areas for their Committee; and
 - The total departmental budget where this is split across more than one Committee. This information will ensure Members can see the whole position for the departmental budget.

- 3.4 The latest report submitted to the Finance and Policy Committee on 18th October 2013 advised Members that there will be an overall underspend in the current year. The report also advised Members that this position reflects action taken by the Corporate Management Team to achieve underspends to help address the significant financial challenges facing the Council over the next few years and to fund one-off commitments not provided for in the approved 2013/14 budget as these items were not known at the time. The Corporate Management Team will seek to achieve budget underspends through a combination of robust management actions, including;
- holding posts vacant, which will help reduce the number of compulsory redundancies required to balance the 2014/15 budget;
 - achieving planned 2014/15 savings earlier;
 - careful management of budgets to avoid expenditure where this does not have an adverse impact on services; and
 - savings in interest costs by taking advantage of current interest rates structures. As reported previously a comprehensive review of this area has been completed which secured a permanent budget saving of £1m from 2014/15 in interest and loan repayment costs.
- 3.5 The report advised Members that there is a net forecast uncommitted underspend at the year end of between £807,000 and £1,482,000. As previously reported the forecast underspend range reflects seasonal and demand led budgets, which will not be certain until later in the year. Therefore it was previously recommended that these forecast resources should not be committed until the position is more certain.
- 3.6 In addition, Finance and Policy have previously determined that a decision will not be taken on the use of these forecast resources until the actual grant cuts for 2014/15 and 2015/16 are known. Consultation proposal issued by the Government over the summer indicated the grant cuts for 2014/15 and 2015/16 will be higher than indicated in the 2013 Spending Review and higher than the planning assumptions included in the Medium Term Financial Strategy, particularly for 2015/16. The availability of one-off resources from the 2013/14 outturn will not provide a permanent solution to higher grant cuts over the next two years. However, they will provide temporary funding and therefore provide a longer lead time to address higher grant cuts, if as expected these are confirmed by the Government in the Local Government Finance Settlement for the next two years, which is expected in November/December 2013.

4. 2013/14 FORECAST GENERAL FUND OUTTURN – Children's Services Committee

- 4.1 The following table sets out the overall budget position for the Child and Adult Services department budget broken down by Committee, together with a brief comment on the reasons for the forecast outturn.

Budget £'000	Description of Expenditure	August Projected Outturn Adverse/ (Favourable) Worst Case £'000	August Projected Outturn Adverse/ (Favourable) Best Case £'000	Comments
31,530	Adult Committee	(329)	(354)	Reason for forecast outturn - predominantly owing to staffing costs and management of contracted services offset by demographic pressures for services. Reason for change in forecast outturn - The favourable outturn projection has increased by between £95k and £120k since June owing to further underspends on staffing budgets and managed contract reductions, reducing the demographic pressures within this area.
21,199	Child Committee	95	(13)	Reason for forecast outturn - predominantly relates to Children and Families pressures. The range reflects the highly unpredictable and differing care needs within this area. This has been significantly offset by a favourable variance in relation to Education Psychology arising from increased income generation. Reason for change in forecast outturn - overall the Children's Committee outturn has not significantly changed since previously reported.
52,729	Total Child & Adult	(234)	(367)	
Creation of Reserves				
0	Children's - Education Psychology	100	100	From within the departmental underspend it is proposed to create a reserve to provide some certainty of funding for the service as schools convert to Academy status.
0	Creation of Reserves Total	100	100	
52,729	Total Child & Adult - Net of Reserves	(134)	(267)	

- 4.2 Further details of the specific budget areas this Committee is responsible for are provided in **Appendix A**.

5. CAPITAL MONITORING 2013/14

- 5.1 The 2013/14 MTFS set out planned capital expenditure for the period 2013/14 to 2015/16.
- 5.2 Expenditure against budget to the 30th August, 2013 for this Committee can be summarised in the table below and further details are provided in **Appendix B**.

Department	2013/14 Budget £'000	2013/14 Actual to 31/08/2013 £'000	2013/14 Remaining Expenditure £'000	2014/15 Rephased Expenditure £'000	2013/14 Variance from Budget Adverse/ (Favourable) £'000
Children's Committee	9,484	1,312	3,804	4,368	0
Total	9,484	1,312	3,804	4,368	0

- 5.3 As indicated in previous reports there is a longer lead in time for capital schemes and therefore it is not unusual for expenditure to be low in the first few months of the year, as the profile of expenditure for many of the schemes is in the second half of the year.
- 5.4 As reported to Children's Services Committee on 2nd July 2013 and 30th July 2013 the announcement by the Education Funding Agency (EFA) relating to the earlier timeframe and advancement of the Priority Schools Building Programme has resulted in a number of the proposed works at Barnard Grove and Manor College of Technology being cancelled as they would no longer be required. These schemes are identified in Appendix B.
- 5.5 Funding originally allocated for these schemes will be transferred back into the 'Schools General - Unallocated' and schools devolved capital as appropriate.
- 5.6 On the 9th April 2013, the former Children's Services Portfolio Holder approved (in accordance with the authority delegated by full Council on 14th February 2013 to the relevant Portfolio holders) the 2013/14 schools capital programme to enable works to be programmed during 2013/14 and minimise any disruption within schools. The approved budget included a £0.2m 'contingency' fund and the former Children's Services Portfolio Holder delegated authority to Child and Adult Services Department to authorise works where a significant health and safety risk was exposed.
- 5.7 In accordance with this delegation the following schemes have been identified as meeting this definition. Members are asked to note the inclusion of these schemes totalling £0.142m in the Capital programme. The remaining contingency of £0.058m is currently uncommitted.
- | | |
|---|---------|
| Catcote - BESD Unit Essential Building Control | £0.017m |
| Hart Primary – Safeguarding Works re: Toilets | £0.021m |
| Lynnfield Primary – Repoint Walls & Make Safe | £0.011m |
| Rossmere Primary – Structural Works re: Lintels | £0.037m |
| Throston Primary – Boiler Replacement | £0.056m |
- 5.8 The 2013/14 schools capital programme approvals were based on initial cost estimates. Following approval more detailed costings have been undertaken and these will represent the final budgets for each scheme. The final budgets reflect a number of increases and decreases from the original estimates. The revised budgets for the following schemes are identified below and reflect a £0.112m cost reduction to be transferred into 'Schools General - Unallocated' Capital budget. A report on the proposed use of the 'Schools General – unallocated' Capital budget will be brought to a future Children's Services Committee meeting.

Clavering Primary – Window Replacement	£0.042m (was £0.030m)
Grange Primary – Window Replacement	£0.028m (was (£0.098m)
High Tunstall – Roofing Works	£0.037m (was £0.010m)
Owton Manor – Window Replacement	£0.041m (was £0.069m)
Rossmere – Window Replacement	£0.018m (was £0.030m)
Throston Primary – Roofing Works	£0.076m (was £0.060m)
Throston – Electrical Works Phase 1	£0.143m (was £0.200m)

- 5.9 Members are requested to note the final costings above as the final budgets against which actual costs will be monitored.

6. RECOMMENDATIONS

- 6.1 It is recommended that Members:

- i) note the report.
- ii) note the schemes at Barnard Grove and Manor College that have been cancelled (as identified in Appendix B) as a result of the earlier timeframe for the Priority Schools Building Programme.
- iii) note the health and safety works identified from the 'contingency' fund in paragraph 5.7.
- iv) note the final budgets for the schemes outlined in paragraph 5.9.

7. REASONS FOR RECOMMENDATIONS

- 7.1 To update the Members on the Committees forecast 2013/14 General Fund Revenue budget outturn and provide an update on the Capital Programme for 2013/14.

8. BACKGROUND PAPERS

Medium Term Financial Strategy Report referred to Finance and Policy Committee 31st May 2013 and 2nd August 2013.

Strategic Financial Management Report referred to Finance and Policy Committee 18th October 2013.

9. CONTACT OFFICERS

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REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2013/14 as at 31st AUGUST 2013

Overview:

Approved 2013/2014 Budget	Description of Service Area	August		Director's Explanation of Variance
		Projected Outturn Variance - Adverse/ (Favourable) Worst Case	Projected Outturn Variance - Adverse/ (Favourable) Best Case	
£'000		£'000	£'000	
Children's Services Committee				
11,618	Children & Families	169	69	The outturn projection range reflects the highly unpredictable and differering care needs for Children and Families. The increase in adverse outturn projection reflects new placements projected to the year end. This area is regularly reviewed to take into account the volatile nature of packages of care around individual children.
6,230	Early Intervention Services	0	0	
57	Information, Sharing & Assessment	0	0	
0	Play & Care	27	27	
455	Youth Offending Service	(76)	(76)	This favourable outturn relates to staffing underspends in this area.
541	Youth Service	0	0	
118	Access to Education	(25)	(33)	
733	Central Support Services	0	0	
520	Other School Related Expenditure	4	2	
504	Raising Educational Achievement	45	23	Children's Services Software Licence costs are greater than budgeted.
267	Special Educational Needs	(49)	(100)	Increased income generation within Education Psychology - Reserve to be created for any surplus
156	Strategic Management	4	2	
21,199	Children's Services Total (before Creation of Reserves)	95	(13)	
Creation of Reserves				
0	Children's - Education Psychology	100	100	Planned creation arising from external income generation to provide some certainty of funding for the service as schools convert to Academy status.
0	Creation of Reserves Total	100	100	
21,199	Children's Services Total - Net of Reserves	195	87	

PLANNED USE OF RESERVES

The above figures include the 2013/2014 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Approved 2013/2014 Budget £'000	Description of Service Area	Planned Usage 2013/2014 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Children's Services Committee				
247	Schools Transformation Team	201	(46)	
106	Education Psychology	0	(106)	External Income Generation means that the Reserve will not be required this year.
353	Total	201	(152)	

CHILDREN'S SERVICES COMMITTEE

APPENDIX B

CAPITAL MONITORING REPORT PERIOD ENDING 31st AUGUST 2013

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2013/2014 COMMENTS	
		B	C	D	E	F	G	H		
		2013/14 Budget £'000	2013/14 Actual as at 31/08/13 £'000	2013/14 Expenditure Remaining £'000	Expenditure Rephased 2014/15 £'000	C+D+E 2013/14 Total Expenditure £'000	F-B 2013/14 Variance from budget £'000	Type of financing		
Children's Committee										
7149	Children's Home	173	135	38	0	173	0	MIX		
7469	Children's Centre's Capital	23	0	23	0	23	0	MIX		
8282	Exmoor Grove Redevelopment / Change of Use	45	0	45	0	45	0	MIX		
8072	ICS Case Management Improvement	37	0	37	0	37	0	MIX		
8595	Miers Avenue Roofing Works	44	1	43	0	44	0	RCCO		
8218	Youth Service Portable MUGA (YCF)	7	0	7	0	7	0	GRANT		
8176	Barnard Grove School - Demolish Bungalow (was Replace Bungalow Floor)	15	1	16	0	17	2	GRANT	As reported to Children's Services Committee on 2nd July 2013 and 30th July 2013, the announcement by the Education Funding Agency (EFA) relating to the earlier timeframe and advancement of the Priority Schools Building Programme has resulted in a number of the proposed works at Barnard Grove school being cancelled as they would no longer be required. Funding will be	
8560	Barnard Grove School - Heat Source & Ventilation	81	0	0	0	0	(81)	GRANT		
8558	Barnard Grove School - Improve Drainage	3	4	0	0	4	1	GRANT		
8561	Barnard Grove School - Replace Windows/Doors & Cladding	38	4	28	0	32	(6)	GRANT		
8562	Barnard Grove School - Roofing Infant Block	102	0	0	0	0	(102)	GRANT		
7138	Barnard Grove School - Structural Modifications (Blocks A & B)	31	0	0	0	0	(31)	GRANT	This scheme is 100% funded by the school.	
8532	Catcote School - Catcote Future Relocation to Brierton Site	191	167	24	0	191	0	GRANT		
8635	Catcote School - Redevelop BESD Unit	17	12	5	0	17	0	GRANT	Children's Portfolio Holder approved on 9th April 2013 the creation of contingency funding which allowed the Child & Adult Services Department dispensation and discretion to authroise works where a significant health and safety risk existed. These works fall under this category.	
8602	Clavering School - Fire Detection System	30	0	30	0	30	0	MIX		
8593	Clavering School - Window Replacement	30	33	9	0	42	12	MIX	Portfolio Holder approval for scheme (April 13) was based on indicative costs; Following approval detailed cost estimates are determined and the budget will then need revising; Forecast outturn position reflects revised costings and impact of asbestos removal.	
7384	Devolved Schools Capital	439	140	299	42	481	42	GRANT		This is a devolved budget. The rephased amount is an estimate and is dependent on individual schools spending plans.
8056	Eldon Grove - Extension for Teaching Space	0	1	0	0	1	1	GRANT		Residual Payment of scheme completed in 2012/13.
8603	Fens School - Disabled Adaptations	20	0	0	20	20	0	MIX	Plans are still in the process of being developed, the nature of the work is such that it is normally done in school holidays, therefore it is likely that this scheme will be rephased into 2014/15.	
8522	Golden Flatts School - Mechanical Works	54	0	54	0	54	0	MIX		
8597	Golden Flatts School - Toilet / Roof Replacement	146	37	112	0	149	3	MIX		
8593	Grange School - Window Replacement	98	23	5	0	28	(70)	RCCO	Portfolio Holder approval for scheme (April 13) was based on indicative costs; Following approval detailed cost estimates are determined and the budget will then need revising; Forecast outturn position reflects revised costings and reduced specifications.	
8594	Greatham School - Boiler Replacement	21	17	5	0	22	1	MIX		
8455	Greatham School - Fire Detection System	13	0	0	13	13	0	GRANT		This is currently being held as a reserve scheme subject to pricing on other schemes, therefore it is likely that this scheme will be rephased into 2014/15.
8594	Hart School - Boiler Replacement	41	25	11	0	36	(5)	MIX		
new	Hart School - Safeguarding Works to create wall & 2 new toilets	21	0	18	0	18	(3)	MIX	Children's Portfolio Holder approved on 9th April 2013 the creation of contingency funding which allowed the Child & Adult Services Department dispensation and discretion to authroise works where a significant health and safety risk existed. These works fall under this category.	

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2013/2014 COMMENTS
		B 2013/14 Budget £'000	C 2013/14 Actual as at 31/08/13 £'000	D 2013/14 Expenditure Remaining £'000	E Expenditure Rephased 2014/15 £'000	F C+D+E 2013/14 Total Expenditure £'000	G F-B 2013/14 Variance from budget £'000	H Type of financing	
8599	High Tunstall School - Changing Rooms Replacement	33	13	24	0	37	4	MIX	
8458	High Tunstall School - Development of a Vocational Education Centre	224	154	70	0	224	0	MIX	
8596	High Tunstall School - Electrical Works - Block H	6	1	6	0	7	1	MIX	
8598	High Tunstall School - Heating Distribution - Block G	88	1	0	87	88	0	MIX	Plans are still in the process of being developed, the nature of the work is such that it is normally done in school holidays, therefore it is likely that this scheme will be rephased into 2014/15.
8523	High Tunstall School - Heating Distribution / Boiler	115	8	65	0	73	(42)	MIX	
8595	High Tunstall School - Roofing - Block A	10	4	33	0	37	27	MIX	Portfolio Holder approval for scheme (April 13) was based on indicative costs; Following approval detailed cost estimates are determined and the budget will then need revising; Forecast outturn position reflects revised costings and provisional sums for water ingress.
8600	Lynnfield - External Walls	11	5	6	0	11	0	MIX	
8566	Manor College of Technology - Boiler Renewal & Water Storage Block A	99	40	75	0	115	16	RCCO	
8568	Manor College of Technology - Hot & Cold Water Distribution & Heating Emitters	19	0	0	0	0	(19)	RCCO	As reported to Children's Services Committee on 2nd July 2013 and 30th July 2013, the announcement by the Education Funding Agency (EFA) relating to the earlier timeframe and advancement of the Priority Schools Building Programme has resulted in a number of the proposed works at Manor College being cancelled as they would no longer be required. Funding will be transferred back into 'Schools General - Unallocated' and schools 'devolved capital' as
8565	Manor College of Technology - Heating Emitters & Ventilation Fans Block A	95	0	0	0	0	(95)	RCCO	
7132	Manor College of Technology - Lighting Fittings / Wiring	65	0	0	0	0	(65)	GRANT	
8567	Manor College of Technology - Pool Hot & Cold Water Distribution	17	0	0	0	0	(17)	RCCO	
8563	Manor College of Technology - Replace Toilets & Renew Block D Windows	31	2	21		23	(8)	RCCO	
8564	Manor College of Technology - Rewire Drama & Science Block	114	29	0	0	29	(85)	RCCO	
8562	Manor College of Technology - Roof Renew Block A	110	15	95	0	110	0	RCCO	
8455	Owton Manor School - Fire Detection System	12	0	7	0	7	(5)	MIX	
8593	Owton Manor School - Window Replacement	69	35	6	0	41	(28)	MIX	Portfolio Holder approval for scheme (April 13) was based on indicative costs; Following approval detailed cost estimates are determined and the budget will then need revising; Forecast outturn position reflects revised costings.
7586	Purchase of Computer Equip - City Learning Centre Standards Fund	4	0	4	0	4	0	GRANT	
8060	Rift House School - Annexe 2 Heating	17	0	0	0	0	(17)	GRANT	Scheme not progressing - funding transferred back to 'Schools General - Unallocated'
8460	Rift House School - Development of Science Garden	11	6	0	0	6	(5)	RCCO	
8455	Rift House School - Fire Detection System	14	14	0	0	14	0	MIX	
TBC	Rift House School - Foundation Stage Outside Area	56	0	56	0	56	0	MIX	
8537	Rift House School - New Cold Water Distribution System	13	4	2	0	6	(7)	MIX	
8455	Rossmere School - Fire Detection System	8	0	0	0	0	(8)	MIX	Scheme completed in 12/13
8601	Rossmere School - Toilet Replacement	80	0	80	0	80	0	MIX	
8593	Rossmere School - Window Replacement	30	2	16	0	18	(12)	RCCO	Portfolio Holder approval for scheme (April 13) was based on indicative costs; Following approval detailed cost estimates are determined and the budget will then need revising; Forecast outturn position reflects revised costings.
8592	Rossmere School - Replace Concrete Lintels	37	26	11	0	37	0	GRANT	Children's Portfolio Holder approved on 9th April 2013 the creation of contingency funding which allowed the Child & Adult Services Department dispensation and discretion to authorise works where a significant health and safety risk existed. These works fall under this category.
7421	School Travel Plans	23	0	0	23	23	0	GRANT	This is a devolved budget. The rephased amount is an estimate and is dependent on individual schools spending plans.

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2013/2014 COMMENTS
		B 2013/14 Budget £'000	C 2013/14 Actual as at 31/08/13 £'000	D 2013/14 Expenditure Remaining £'000	E Expenditure Rephased 2014/15 £'000	F C+D+E 2013/14 Total Expenditure £'000	G F-B 2013/14 Variance from budget £'000	H Type of financing	
7521	Schools General - 2 year old FNE Capacity Building	218	0	218	0	218	0	GRANT	
8138	Schools General - BSF - ICT	3,703	190	1,353	2,160	3,703	0	GRANT	English Martyrs and the Pupil Referral
8139	Schools General - BSF - ICT Infrastructure Costs	145	2	0	143	145	0	GRANT	Unit are not due to join the BSF Managed Service until 2014/15.
9004	Schools General - Contingency	60	0	0	0	0	(60)	GRANT	Balance at year end to be transferred back into Schools General - Unallocated
9004	Schools General - Funding Currently Unallocated	833	0	0	1,564	1,564	731	MIX	This includes the transferred funding from the Barnard Grove School and Manor College schemes which are either not progressing or have been reduced owing to the earlier commencement of the PSBP. Over and Underspends shown against the other schemes are also transferred here. This funding has not yet been allocated to schemes and, given that the majority of work at schools take place during the summer school holidays, it is likely to be rephased into 2014/15.
8594	Springwell School - Boiler Replacement	50	15	34	0	49	(1)	MIX	
8593	Springwell School - Window Replacement - Block A	23	2	17	0	19	(4)	MIX	
8192	St Helens School - Replace KS1 and KS2 Corner posts	18	0	0	0	0	(18)	RCCO	Scheme complete - no further work required; Funding transferred back to 'Schools General - Unallocated'
8595	St Helens School - Roofing - Block B	26	0	29	0	29	3	MIX	
8461	Stranton School - Development of two existing school changing rooms into two 'Experience Rooms'	11	0	0	0	0	(11)	RCCO	Scheme completed in 12/13
8593	Stranton School - Window Replacement	6	0	9	0	9	3	MIX	
8462	Throston School - Create External Hall Corridor & Learning Space	34	0	34	0	34	0	RCCO	
8596	Throston School - Electrical Works inc Fire Detection	200	52	91	0	143	(57)	RCCO	Portfolio Holder approval for schemes (April 13) was based on indicative costs; Following approval detailed cost
8595	Throston School - Roofing - Block A	60	18	58	0	76	16	MIX	Children's Portfolio Holder approved on 9th April 2013 the creation of contingency funding which allowed the Child & Adult Services Department dispensation and discretion to authorise works where a significant health and safety risk existed. These works fall under this category.
new	Throston School - Boiler Replacement	56	0	56	0	56	0	GRANT	
8463	West Park School - Creation of Foundation Stage Unit	15	0	15	0	15	0	GRANT	
8596	West Park School - Electrical Works inc Fire Detection	239	15	224	0	239	0	MIX	
8526	West Park School - Heating / Hot & Cold Water Distribution	75	8	63	0	71	(4)	GRANT	
8593	West Park School - Window Replacement	90	10	83	0	93	3	MIX	
7136	West View School - Early Years Foundation Stage improvements	185	0	0	185	185	0	MIX	Design is underway, works are programmed for summer 2014, therefore this budget will be rephased into 2014/15.
8528	West View School - Roofing - Block A (Various Phases)	303	40	132	131	303	0	MIX	This scheme is being completed in phases, the first phase has been completed. However further phases are programmed for future years and therefore the remaining budget has been rephased into 2014/15.
	Carlton works	3	1	2	0	3	0		
	Total	9,484	1,312	3,804	4,368	9,484	0		

Key

RCCO Revenue Contribution towards Capital

MIX Combination of Funding Types

UCPB Unsupported Corporate Prudential Borrowing

SCE © Supported Capital Expenditure (Revenue)

GRANT

CAP REC

UDPB

SPB

Grant Funded

Capital Receipt

Unsupported Departmental Prudential Borrowing

Supported Prudential Borrowing