# CHILDREN'S SERVICES COMMITTEE

# AGENDA



#### Tuesday 17 October 2017

#### at 4.30 pm

#### in the Council Chamber, Civic Centre, Hartlepool

#### MEMBERS: CHILDREN'S SERVICES COMMITTEE

Councillors Clark, Harrison, Lauderdale, Moore, Morris, Robinson and Sirs.

Co-opted Members: Jo Heaton, C of E Diocese and Stephen Hammond, RC Diocese representatives.

School Heads Representatives: Mark Tilling (Secondary), David Turner (Primary), Alan Chapman (Special).

Six Young Peoples Representatives

Observer: Councillor Thomas, Chair of Adult Services Committee

#### 1. APOLOGIES FOR ABSENCE

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

#### 3. MINUTES

3.1 Minutes of the meeting held on date 12 September 2017 (previously circulated and published).

#### 4. BUDGET AND POLICY FRAMEWORK ITEMS

4.1 Youth Justice Strategic Plan 2017-2019 – Director of Children's and Joint Commissioning Services



#### 5. KEY DECISIONS

- 5.1 Commissioned Placements Review for the Pupil Referral Unit *Director of Children's and Joint Commissioning Services*
- 5.2 Adoption Tees Valley Full Business Case Director of Children's and Joint Commission Services

#### 6. OTHER ITEMS REQUIRING DECISION

- 6.1 Refugee Resettlement Programme Education *Director of Children's and Joint Commissioning Services*
- 6.2 Pupil Performance 2017: Indicative Data Director of Children's and Joint Commissioning Services
- 6.3 Childcare Sufficiency Assessment 2016/17 Director of Children's and Joint Commissioning Services
- 6.4 Update of the Work of the Junior and Young Inspectors Director of Children's and Joint Commissioning Services
- 6.5 Review of Additionally Resourced Provision (ARP) Director of Children's and Joint Commissioning Services

#### 7. **ITEMS FOR INFORMATION**

- 7.1 Annual Complaints Report 1 April 2016 31 March 2017 *Director of Children's and Joint Commissioning Services*
- 7.2 Review of Hartlepool Agreed Syllabus for Religious Education *Director of Children's and Joint Commissioning Services*

#### 8. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT

#### FOR INFORMATION

Date of next meeting – Tuesday 14 November 2017 at 4.30pm in the Civic Centre, Hartlepool.



# **CHILDREN'S SERVICES COMMITTEE**

17 October 2017

Report of:	Director of Children's and Joint Commissioning Services

### Subject: YOUTH JUSTICE STRATEGIC PLAN 2017-2019

#### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Budget and Policy Framework

#### 2. PURPOSE OF REPORT

- 2.1 To consult with members of the Children's Services Committee on the Youth Justice Strategic Plan 2017-2019 (Appendix A)
- 2.2 Full council will be asked to ratify the plan on 14<sup>th</sup> December 2017. Recommendations made by Children's Services Committee will be incorporated into the final plan presented to Council.
- 2.3 The Strategic Plan will also be sent to the National Youth Justice Board.

#### 3. BACKGROUND

- 3.1 The National Youth Justice System primarily exists to ensure that children and young people between the age of 10 and 17 do not engage in offending or reoffending behaviour. It also ensures that where a young person is arrested and charged with a criminal offence, they are dealt with differently to adult offenders to reflect their particular welfare needs as children.
- 3.2 Local Youth Offending Services were established under the Crime and Disorder Act 1998 to develop, deliver, commission and co-ordinate the provision of Youth Justice Services within each local authority.
- 3.3 Hartlepool Youth Justice Service was established in April 2000 and is responsible for youth justice services locally. It is a multi agency service and is made up of representatives from the council's children's services, health nurse, police, probation, education, community safety.



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- 3.4 There is a statutory requirement for all Youth offending Services to annually prepare a local Youth Justice Plan for submission to the national Youth Justice Board.
- 3.5 The Youth Justice Strategic Plan provides an overview of how the Youth Justice Service, the Youth Justice Strategic Management Board and wider partnership ensure that the service has sufficient resources and infrastructure to deliver youth justice services in its area in line with the requirements of the national Standards for Youth Justice Services to:
  - Promote performance improvement;
  - Shape youth justice system improvement;
  - Improve outcomes for young people, victims and the broader community.

#### 4. PROPOSALS

- 4.1 It is proposed that the Youth Justice Service and broader Youth Justice Partnership focus on the following key strategic objectives during 2017-2019:
  - **Re-offending** reduce further offending by young people who have committed crime with a particular emphasis in the development of Service interventions that are structured, responsive, tailored to meet identified individual need and evaluated. (Both within Youth Justice Service and provided by external agencies).
  - Early Intervention and Prevention sustain the reduction of first time entrants to the youth justice system by ensuring that strategies and services remain in place locally to prevent children and young people from becoming involved in crime and anti-social behaviour.
  - **Remand and Custody** demonstrate that there are robust and comprehensive alternatives in place to support reductions in the use of remands and custody.
  - Risk and Safety & Wellbeing (ASSETplus) ensure all children and young people entering or at risk of entering the youth justice system benefit from a structured needs assessment to identify risk of harm and safety and well being concerns, to inform effective intervention and risk management.
  - **Restorative Justice –** ensure all victims of youth crime have the opportunity to participate in restorative justice approaches and restorative justice is central to work undertaken with young people who offend.
  - Effective Governance ensure that the Youth Justice Strategic Management Board is a well constituted, committed and knowledgeable Board which scrutinises Youth Justice Service performance.

- Voice of the Young People ensure that all young people are actively involved in developing their own plans and interventions and have the opportunity to develop and inform current and future service delivery
- Extremism and PREVENT Strategy To ensure that the Youth Justice Service is compliant with legislative and practice requirements and adhere to the specific objectives of the 2011 Prevent Strategy

#### 5. RISK IMPLICATIONS

- 5.1 The strategic plan identifies key risks to future delivery in Section 8 of the plan. These are:
  - Secure Remand Costs The unpredictability associated with secure remand episodes and secure remand length has the potential to place significant financial pressure on the local authority
  - Managing the potential for reduction in YJB grant and partnership financial and 'in-kind' contributions for post-2017/18
  - Implementation of Assetplus has been a significant change in practice and the workforce continues to need support to ensure the highest possible standards in assessment and planning

#### 6. FINANCIAL CONSIDERATIONS

6.1 The Youth Justice Board (YJB) Grant has been reduced for the last couple of years and this continues to be a risk as the current service would not be sustainable with further cuts. This will be reviewed as notifications from YJB are received re: budgets.

#### 7. LEGAL CONSIDERATIONS

7.1 There are no legal issues within this report.

#### 8. CONSULTATION

- 8.1 All agencies involved with the Youth Justice Strategic Management Board have been consulted on this plan.
- 8.2 The plan will be shared with the Safer Hartlepool Partnership in September and recommendations will be included in the final plan.

# 9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

9.1 There are no specific child and family poverty implications for this plan. All young people who are at risk of offending or have offended are supported by the service.

# 10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

10.1 There are no specific equality and diversity implications for this plan. All young people who are at risk of offending or have offended are supported by the service.

#### 11. STAFF CONSIDERATIONS

11.1 There are no staffing considerations within this plan.

#### 12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations.

#### 13. **RECOMMENDATIONS**

13.1 For members of the committee to consider the Youth Justice Strategic Plan 2017 - 2019 and make any recommendations to be presented to Council in December.

#### 14. REASONS FOR RECOMMENDATIONS

14.1 The development of the Youth Justice Plan for 2017-2019 will provide the Youth Justice Servicer with a clear steer to enable further reductions in youth offending and contribute to improving outcomes for children, young people and their families alongside the wider community.

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#### 15. BACKGROUND PAPERS

None

#### 16. CONTACT OFFICERS

Jane Young, Assistant Director Children's Social Care (01429 523878), jane.young@hartlepool.gov.uk

Danielle Swainston, Assistant Director, Children's Services, 01429 523732, Danielle.swainston@hartlepool.gov.uk

4.1 Appendix A



# HARTLEPOOL YOUTH JUSTICE SERVICE

**STRATEGIC PLAN 2017 - 2019** 

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## **1. FOREWORD**

Welcome to the 2017 - 2019 Hartlepool Youth Justice Strategic Plan. This plan sets out our ambitions and priorities for Hartlepool Youth Justice Service and the broader local Youth Justice Partnership for the next 2 years.

Hartlepool's Community Strategy 2008-20 establishes a vision for the town:

"Hartlepool will be an ambitious, healthy, respectful, inclusive, thriving and outward looking community, in an attractive and safe environment, where everyone is able to realise their potential".

The Youth Justice Service and broader partnership has a key role in contributing to this vision, by building upon our historical delivery of high quality, effective and safe youth justice services that prevent crime and the fear of crime, whilst ensuring that young people who do offend are identified, managed and supported appropriately and without delay.

In recent years Hartlepool has witnessed a significant reduction in youth crime. The local youth justice partnership has been particularly effective in reducing the numbers of young people entering the youth justice system for the first time; but there remains a need to drive down incidents of re-offending by young people who have previously offended through a combination of robust interventions designed to manage and reduce risk of harm, support safety & wellbeing issues, restore relationships, promote whole family engagement and achieve positive outcomes.

This plan builds upon our progress to date whilst acknowledging that the enduring economic climate, welfare reform and the introduction of new legislation and reforms relating to how we respond to children, young people, families and communities will inevitably present new challenges in the coming year and beyond.

Despite these challenges I am confident that Hartlepool Youth Justice Service and the broader Youth Justice Partnership will continue to help make Hartlepool a safer place to live, work, learn and play.

As always, the Strategic Management Board is extremely grateful for the skill and dedication of our employees in supporting young people who offend, or are at risk of becoming involved in offending, in Hartlepool.

On behalf of the Youth Justice Service Strategic Management Board I am pleased to endorse the Youth Justice Strategic Plan for 2017 -2019.

Signature

Lynn Beeston Youth Justice Service Strategic Management Board Chair

# 2. INTRODUCTION

The National Youth Justice System primarily exists to ensure that children and young people between the age of 10 and 17 (who are arrested and charged with a criminal offence) are dealt with differently to adult offenders, to reflect their particular welfare needs.

In summary, children and young people who offend are:

- Dealt with by youth courts
- Given different sentences in comparison to adults
- And when necessary, detained in special secure centres for young people as opposed to adult prisons.

It is the responsibility of the Local Authority and statutory partners to secure and coordinate local youth justice services for all of those young people in the Local Authority area who come into contact with the Youth Justice System as a result of their offending behaviour through the establishment and funding of **Youth Justice Services**.

The primary functions of Youth Justice Services are to prevent offending and re-offending by children and young people and reduce the use of custody.

Hartlepool Youth Justice Service was established in April 2000 and is responsible for the delivery of youth justice services locally. It is a multi-agency service and is made up of representatives from the Council's Children's Services, Police, Probation, Public Health, Education, Community Safety and the local voluntary/community sector and seeks to ensure that:

- All children and young people entering the youth justice system benefit from a structured needs assessment, to identify risk and protective factors associated with offending behaviour to inform effective intervention.
- Courts and youth offender panels are provided with high quality reports that enable sentencers to make informed decisions regarding sentencing.

- Court orders are managed in such a way that they support the primary aim of the youth justice system, which is to prevent offending, but also that risk of harm is managed and that they have regard to the welfare of the child or young person.
- Services provided to courts are of a high quality and that magistrates and the judiciary have confidence in the supervision of children and young people who are subject to orders.
- Comprehensive bail and remand management services are in place locally for children and young people remanded or committed to custody, or on bail while awaiting trial or sentence.
- The needs and risks of young people sentenced to custodial sentences (including long-term custodial sentences) are addressed effectively, to enable effective resettlement and management of risk.
- Those receiving youth justice services are treated fairly regardless of race, language, gender, religion, sexual orientation, disability or any other factor, and actions are put in place to address unfairness where it is identified

In addition to the above, the remit of the service has widened significantly in recent years due to both national and local developments relating to prevention, diversion and restorative justice and there is a now requirement to ensure that:

- Strategies and services are in place locally to prevent children and young people from becoming involved in crime or antisocial behaviour.
- Assistance is provided to the Police when determining whether Cautions should be given.
- Out-of-court disposals deliver targeted and bespoke interventions for those at risk of offending or entering the Youth Justice System.
- Restorative justice approaches are used, where appropriate, with victims of crime and that restorative justice is central to work undertaken with young people who offend.

The Hartlepool Youth Justice Plan for 2017-2019 sets out how youth justice services will be delivered, funded and governed in response to both local need and national policy changes. It also highlights how Hartlepool Youth Justice Service will work in partnership to prevent offending and re-offending by Children & Young People and reduce the use of custody.

# 3. WHAT WE HAVE ACHEIVED IN 2016/2017

A review of progress made against last year's plan highlights that the service has made progress across the majority of the year's priorities; but there remains key areas for improvement that will need to be driven forward in the coming year:

	Comments			
<b>Early Intervention and Prevention –</b> sustain the reduction of first time entrants to the youth justice system by ensuring that their remain strategies and services in place locally to prevent children and young people from becoming involved in crime and anti-social behaviour	In 2016/17, Hartlepool YJS saw an increase in FTEs, from 35 young people in 2015/16 to a year-end of 40, which followed a levelling out in the 2 years preceding. This rise is reflective of a Tees-wide trend, with neighbouring Tees Valley YOTS also reporting increased FTEs for 2016/17. Despite this, partnership arrangements with Cleveland Police remain established and effective in relation to the diversion of young people from the Youth Justice System. This remains primarily through the delivery of Out Of Court Disposals, with longer term data trend evidencing significant success in this area			
<b>Re-offending -</b> reduce further offending by young people who have committed crime	The way this performance indicator is measured has been changed nationally which has made direct comparisons with historical performance difficult. Taking all this into account, Hartlepool is still above the national and regional average The YJMIS reoffending data provides an encouraging picture. Up until the last quarter of 2016/17, Hartlepool YJS' reoffending rate had been below the Teesside average. The current rate is 46.1%, which represents a reduction of 2.4% since 2013. The number of re-offenders has reduced from 54 in 2015/16 to 41 in 2016/17. However, given the reduction of cohort size and increase in re-offences, Hartlepool's rate of re-offences per re- offender had increased by 2.53 to a rate of 5.41.			

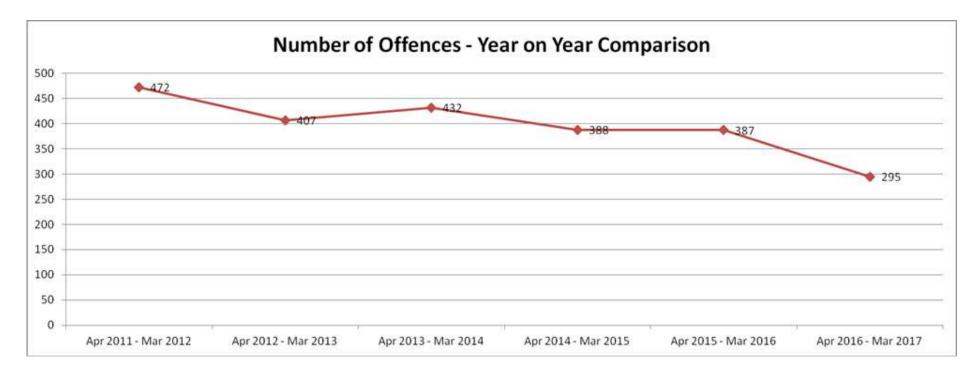
The number of offences committed by the YJS cohort has reduced from 387 (2015/16) to a current level of 295 in 2016/17. This represents a reduction of 24%.			
The number of remand episodes decreased from 2 in 2014-2015 to none in 2016/17. This was the lowest of all YOTs in England and Wales.			
Bail Supervision and Support/ISS packages are available and both offered and utilised (where necessary or appropriate) as an alternative to custody.			
The number of custodial sentences decreased in 2016-2017 to just 3 young people, from the 2015/16 figure of 4 young people.			
The number of breaches of community based court orders has decreased from 36 in 2015-2016 to 25 in 2016/17. Longer term trend data reveals a 44% reduction in breaches of community court orders since 2014.			
Compliance panels are now established within YJS practice, as a means by which barriers to engagement and reasons for lack of engagement are discussed and addressed between the case manager, the young person and their family and chaired by a member of YJS management.			
All victims of youth crime continue to be provided with the opportunity to participate in restorative justice approaches and restorative justice remains central to work undertaken with young people who offend.			

	The Restorative Justice and Victim provision was in-sourced from April 2017, after a review of the previous provision. These statutory duties have been re-aligned within the existing staffing of Hartlepool YJS – all of whom have undertaken service-wide Restorative Justice training, many to level 3. This has enabled Hartlepool YJS to have direct control and influence in shaping the direction and quality of RJ work. Young people, under the supervision of Hartlepool YJS, delivered approximately 387 hours of direct and indirect unpaid reparative activity within the Hartlepool area in 2016/17. This was across a varied scope of projects and collaborative working with local
	voluntary groups in locations across the town.
<b>Risk and Safety &amp; Wellbeing</b> – ensure all children and young people entering or at risk of entering the youth justice system benefit from a structured needs assessment to identify risk and vulnerability to inform effective intervention and risk management.	Risk and Safety & Wellbeing arrangements continue to benefit from regular audit activity to ensure that all young people entering (or at risk of entering) the youth justice system benefit from a structured needs assessment (via ASSETplus) to identify Risk and Safety & Wellbeing and to inform improved planning and interventions, as we know the individual circumstances and situation better.
Voice of the Young People – ensure that all young people are actively involved in developing their own plans and interventions and have the opportunity to develop and inform current and future service delivery	Hartlepool YJS has ensured and evidenced young people's involvement in relation to their assessment and plans – primarily through completion of the ASSETplus self assessment. The service has ensured young people have been provided with opportunities to influence and shape service delivery – through utilising HMIP Viewpoint e-survey feedback. This showed that Young People's perceptions of the service they were provided and their likelihood of offending were improved on 2015/16. In addition, 100% of respondents within the HMIP e-survey felt they had been treated fairly by the YJS staff working with them Specialist Speech, Language and Communication Need (SLCN)

	training was commissioned from Durham YOS and whole-service training delivered - with the aim of raising awareness and supporting more effective completion of Assessments. In turn, this has enabled more effective signposting of young people to specialist Speech & Language Therapeutic services.			
<b>Extremism and PREVENT Strategy –</b> To ensure that the Youth Justice Service is compliant with legislative and practice requirements and adhere to the specific objectives of the 2011 Prevent Strategy	All members of Hartlepool Youth Justice Service (across all staff grades) have completed the mandated training around the prevent strategy and the Government's overall counter-terrorism strategy (CONTEST) Hartlepool YJS has a designated staff member as specialist Prevent lead and WRAP3 Train the Trainer, accredited via the Office for Counter Terrorism & Security.			
	Assessments and planned interventions adequately consider issues such as extremism and radicalisation and where necessary or appropriate, refer young people for further guidance and support Scoping has commenced to establish the viability of developing an intervention package to deliver to young people subject to YJS			
	supervision. This has included delivery of service-wide training on Islam Awareness in May 2017, by the regional Islamic Diversity Centre.			
<b>Effective Governance –</b> ensure that the Youth Justice Strategic Management Board remains a well constituted, committed and knowledgeable Board which scrutinises Youth Offending Service performance.	The Youth Justice Strategic Management Board continues to be a well constituted, committed and knowledgeable Board which scrutinises Youth Justice Service performance.			
	A review will take place over the next six months to ensure that the governance of YJS activity is fit for purpose with changing national policy.			

#### Young People who offend

In spite of the challenges that young people, families and communities contend with in Hartlepool, the local Youth Justice Partnership has had significant success in recent years in terms of preventing and reducing youth offending behaviour.



The number of offences committed by the YJS cohort has reduced from 387 (2015/16) to a current level of 295 in 2016/17 – which represents a significant reduction of 24%. Alongside this, the longer term rising trend in Restorative Interventions (for which responsibility lies with the Police) has also helped to reduce the number of Young People entering the Criminal justice system and the Court system.

#### **Prevention and Diversion**

In recent years, Hartlepool Youth Justice Service and the broader youth justice partnership have placed a significant emphasis on the prevention of young people's involvement in crime and anti-social behaviour and this has had a positive impact upon the numbers of young people entering the Youth Justice System.

Youth crime prevention and diversion is based on the premise that it is possible to change the life-course trajectories of young people by reducing risk factors that may lead to offending behaviour and building on protective factors that might help prevent offending.

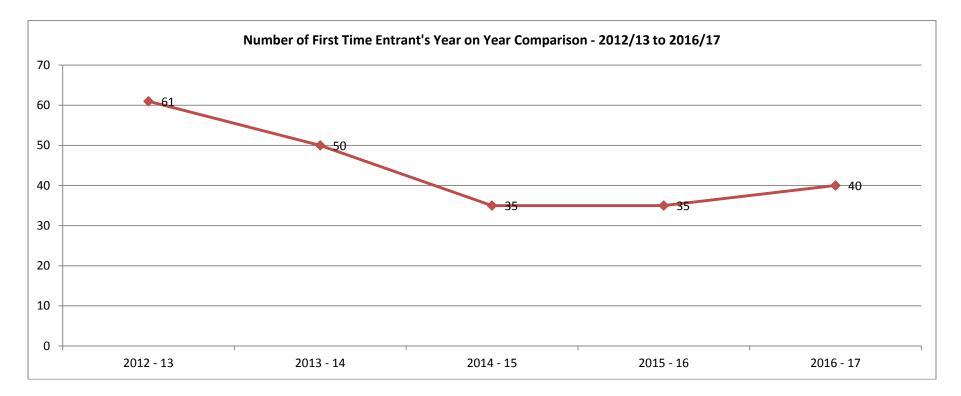
It marks a concerted shift away from reactive spending towards early action and intervention through a range of programmes for young people who are deemed to be at risk of offending, which can result in better outcomes and greater value for money.

For young people whose behaviour has become more problematic robust out of court interventions have proven to be highly successful in diverting young people away from further involvement in crime and anti-social behaviour. The use of out of court interventions are able to impress upon the young people the seriousness and potentially damaging effect of their actions however they do not criminalise the young people in the way that statutory court orders inevitably do.

For the first time since the introduction of Triage in 2009/10, Hartlepool YJS has seen an increase in First Time Entrants (FTEs) which follows a levelling out in the 2 years preceding 2016/17. However, this is reflective of a Tees-wide trend, with neighbouring Tees Valley YOTs also reporting increased FTEs for 2016/17. Despite this, partnership arrangements with Cleveland Police remain established and effective in relation to the diversion of young people from the Youth Justice System. This remains primarily through the delivery of Out Of Court Disposals (OOCD), with longer term data trend evidencing significant success in this area. Indeed, Hartlepool YJS will continue to monitor the number of FTEs and for those young people subject to an OOCD, ensuring interventions are robust and sufficient to address the offence committed and prevent any further offending.

Furthermore, HMIP's corporate plan for 2017-2020 acknowledges that diversion and prevention are a significant area of activity and it is the stated intention to inspect the broader range of YOT work with children, which encompasses Out of Court Disposals. The pending 2017-18 Thematic on Out of Court Disposals marks a starting point for this approach and as such, this will continue to be a priority for Hartlepool YJS and the broader Youth Justice Partnership, throughout 2017-19.

## First Time Entrants (FTEs)



#### **Re-Offending**

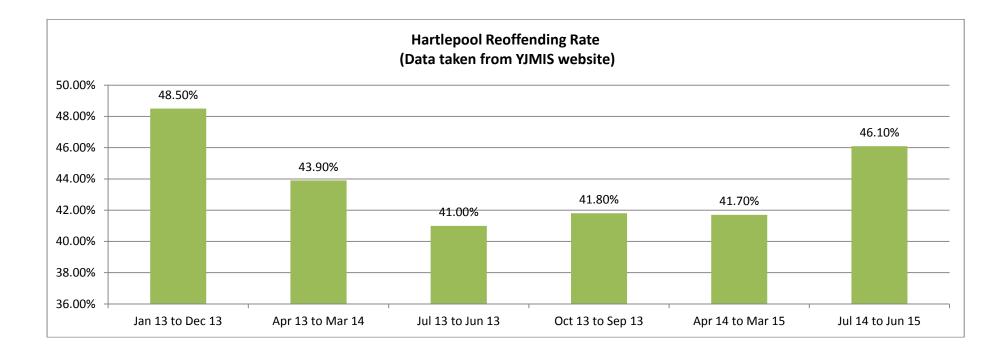
The re-offending indicator has been changed nationally which makes direct comparisons with historical performance difficult. Although Hartlepool is still above the national and regional average, the YJMIS reoffending data provides an encouraging picture. Up until the last quarter of 2016/17, Hartlepool YJS' reoffending rate had been below the Teesside average. At a current level of 46.1% this still represents a reduction of 2.4% since 2013. Each of the cohorts are tracked for a period of 12 months, plus a further waiting period of 6 months to allow for any offences which may be in the system – therefore the most recent reoffending data always has an 18 month time lag – as detailed in the table below. This said, it is of note that 3 of the 4 tracked cohorts have indicated reductions in the binary percentage rate of reoffending.

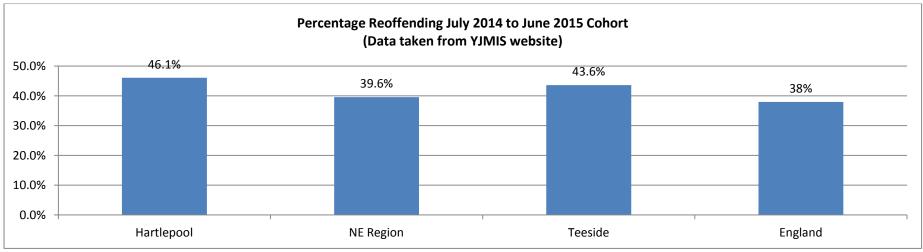
Alongside this, the number of re-offenders has reduced from 54 in 2015/16 to 41 in 2016/17. However, given the reduction of cohort size and increase in re-offences, Hartlepool's rate of re-offences per re-offender had increased by 2.53 to a rate of 5.41.

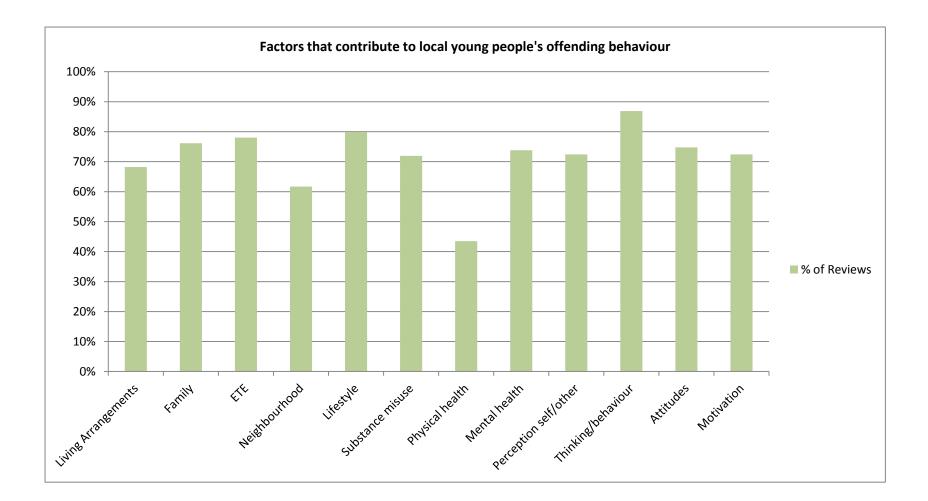
Cohort	Number in cohort	No of Reoffenders	No of Reoffences	Re-offences / Re-offenders	% Reoffending
Jan 13 to Dec 13	134	65	182	2.80	48.5%
Apr 13 to Mar 14	123	54	136	2.52	43.9%
Jul 13 to Jun 13	122	50	144	2.88	41.0%
Oct 13 to Sep 13	110	46	155	3.37	41.8%
Apr 14 to Mar 15	96	40	179	4.48	41.7%
Jul 14 to Jun 15	89	41	222	5.41	46.1%

**Note:** The cohort is tracked for a period of 12 months plus another further waiting period of six months. April 2013 to March 2014 tracked, and reporting for the quarter ending-December 2015.

The rate of youth reoffending within Hartlepool remains above the national and regional average and this needs to be addressed in the coming year. This will be primarily through improvements in assessments and in the structure of the interventions 'offer' to young people under YJS supervision and using feedback from young people to inform service delivery. In addition, the proportionate use of a suite of rehabilitative interventions, and where necessary, restrictive interventions will serve to ensure effective management and support to address risk and welfare-related need.







Analysis highlights that the service is dealing with smaller caseloads which consist of much more complex individuals with multiple risks and vulnerabilities. Within the overall caseload, an analysis of the 'Top Ten' repeat offenders during 2016/17, reveals a cohort which display broader lifestyle choices relating to substance misuse and the need to generate income to maintain substance misuse levels. This also reflects the national and regional picture in terms of caseload composition.

Furthermore, this cohort of repeat offenders are predominantly young males aged between 14 and 16, many of whom reside within Hartlepool's most deprived neighbourhoods. Although not mutually exclusive, the common criminogenic and welfare issues prevalent amongst this cohort are identified as:

- higher than average mental health needs
- higher levels of drug and alcohol use than for the general population and in particular 'heavy cannabis use'
- low educational attachment, attendance and attainment
- having family members or friends who offend
- higher than average levels of loss, bereavement, abuse and violence experienced within the family
- a history of family disruption
- chaotic and unstructured lifestyles

Alongside this cohort of young males, there is another cohort of young females aged 16-17, whom although perhaps not as prolific in terms of reoffending, are of significant concern due to multiple complex issues which are more welfare-orientated. These include: Substance misuse, chaotic lifestyles, sexual exploitation, missing from home and family breakdown. Again, as with the male cohort, young females who are offending are noted to have a higher prevalence of poor emotional well-being. Analysis shows that this arises from loss, bereavement and domestic or sexual abuse.

Working in partnership is key to supporting a greater understanding of these underlying issues and addressing them in a holistic and co-ordinated way to provide "pathways out of offending", reduce crime and break the cycle of offending behaviour across generations. This partnership, collaborative work is achieved through:

- A Better Childhood In Hartlepool,
- Think Families, Think Communities,
- Education Commission and;
- Emotional Health and Wellbeing Transformation

It is also important to adopt an 'intelligence-led' targeted approach (particularly in relation to prevention) and build on service-wide staff training to improve assessment and responses to Speech, Language, & Communication, Emotional Health and Wellbeing. An important element to the reduction of reoffending and reduction is entering the youth justice system is the development of the YJS 'offer'. This is structured and bespoke quality interventions (both by the YJS staff and partner agencies and organisations) based on high quality, integrated assessments and plans. Some progress has been made in this area, however further work is needed in the forthcoming year. Some innovative interventions have been developed and a more evident 'Think Family' approach is being further developed within the service, which will continue to be monitored through established quality assurance and performance measures, such as the monthly collaborative 'Top Ten' meetings between Police, Social Care, ASB and YJS.

#### Victims of Youth Crime

Whilst crime rates in Hartlepool have fallen, the likelihood of being a victim of crime still remains a reality, especially in our most vulnerable and disadvantaged communities. The Youth Justice Service and broader Youth Justice Partnership are working hard to reduce the numbers of victims of crime, including the successful use of restorative justice to achieve this objective. Restorative justice provides opportunities for those directly affected by an offence (victim, offender and members of the community) to communicate and agree how to deal with the offence and its consequences.

Restorative justice is an important underlying principle of all disposals for young people on YJS caseload, from Triage to Detention & Training Orders. Whilst restorative processes typically result in practical reparation, for example participating in a task that benefits 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.

In addition victims of crime are helped to access appropriate support pathways that enable them to move on from the impact of crime. A personalised approach is taken to ensure that victims of crime in Hartlepool are placed at the centre. This includes ensuring that individual needs and wishes are fully taken into account. As a result we aim to visit all victims of crime so they are able to access pathways to support, including the option to participate in restorative justice.

During 2016/17, the Restorative Justice Service (RJ) and victim contacts continued to be delivered by the Children's Society under a commissioned arrangement. However, following a contract review by HBC's Commissioning team and YJS management, the decision was made to in-source the RJ and Victim provision as of 1/4/17. These statutory duties have been re-aligned within the existing staffing of Hartlepool YJS – all of whom have undertaken service-wide Restorative Justice training, many to level 3. This decision has enabled Hartlepool YJS to have a more direct control and influence in shaping the direction and quality of RJ work, including the establishment of updated working policies, practices and procedures. In turn, this has already begun to result in better outcomes for both victims and young people and is much more responsive to local need.

Although statutory RJ functions continue to be delivered, Hartlepool YJS is in a period of consolidation and service development in relation to this strand of work. There is already considerable evidence that RJ practice is much more integrated across all areas of the service. In particular, there is a closer link between RJ workers and case managers in relation to the needs and wishes of victims, as well as complementing and better linking with the variety of reparation projects and activities that are taking place.

In summary, young people under the supervision of Hartlepool YJS delivered approximately 387 hours of direct and indirect unpaid reparative activity within the Hartlepool area in 2016/17. This was across a varied scope of projects and collaborative working with

local voluntary groups in locations across the town, including The Headland, Burn Valley Park, Ward Jackson Park and Seal Sands beach. In addition, more individual bespoke projects have taken place involving Furniture restoration, bird boxes for distribution to local groups or individuals, Christmas hampers for those in need and an Art project.

#### **Quality of Services**

The National Standards for Youth Justice Services are set by the Secretary of State for Justice on advice from the Youth Justice Board for England and Wales (YJB). The standards apply to those organisations providing statutory youth justice services.

Self audit activity (based on the YJB Thematic of 'Reducing Custody' and verified by the national Youth Justice Board) in 2016-2017 indicates that Hartlepool YJS is meeting national standards relating to:

- NS3 Bail and Remand Management
- NS5 Reports for Courts, youth offender panels and civil courts in Anti-Social Behaviour Order proceedings and gang injunctions
- NS6 Work in Courts
- NS7 Work with Victims of Crime
- NS10 Long-term custodial sentences (sections 90/91 of the Powers of criminal Court (Sentencing) Act 2000 and Sections 226/228 of the Criminal Justice Act 2003

The YJB confirmed that no validation visit was required in relation to the successful performance of Hartlepool YJS against these standards.

Throughout 2016/17, the YJS Head of Service has overseen an appropriate and ongoing focus on the quality of assessments and subsequent managerial oversight and quality assurance. This has been sustained by the current management team, through regular supervision, audit, and staff training. Policy development has been a priority in 2016/17, in particular updating and devising explicit staff guidance in relation to the management of Risk of Harm, Safety & Wellbeing and also in relation to Case Recording.

Performance management and data analysis has been another priority within 2016/17, with significant work undertaken in conjunction with the Local Authority's Data information and IT teams. This has enabled various processes and documents (including the YJS Board Report) to be aligned with cleansed data, which not only makes performance management data more accessible and understandable, but also allows such data to inform service improvement activity, comparative analysis or the directing of resource to areas of organisational need.

Over the last 12 months, the Youth Justice Service has successfully managed the challenge of the transition from ASSET to ASSETplus. This national implementation of a new assessment tool was required by all YOTs' across England and Wales, and represented a significant business, practice and technological change. Hartlepool Youth Justice Service maintained close working relationships with the YJB Business Change Lead, the YJB Regional Advisor and regional YOT colleagues to successfully achieve the implementation and establishing of ASSETplus.

The quality of ASSETplus practice will continue to be a focus throughout 2017/18, with audit oversight via robust and transparent internal quality assurance, staff supervision and ongoing training. The development of Quality Assurance tools and prompt sheets for YJS staff, which are aligned with updated YJS policies and existing HMIP Case Assessment Guidance, to achieve a consistency and transparency of QA practice. This has led to better quality integrated assessments and plans across all YJS cases (Pre and Post Court). This will continue to remain a key priority for workforce development to continue to embed and develop ASSETplus, particularly for newer staff.

From April 2016, Hartlepool YJS have commenced an annual commissioned arrangement with South Tees YOS, which ensures the coverage of Youth Court work in Teesside. Whilst allowing the service to maintain excellent working relationships within the Court arena, this has also served to create some necessary and critical capacity within the team to manage the volume of post-court work and utilise staffing time more effectively. Given the success of this arrangement (strategically, operationally and financially) this will be ongoing until March 2019 and reviewed thereafter.

A key strength of Hartlepool YJS is the ability of staff to engage complex and challenging young people, through quality assessments and response to individual need. This builds positive relationships and leads to better outcomes – both for the young person as an individual and families and the community as a whole. Throughout 2016/17 there has been considerable service-wide training, which complements staff members' professional development on an individual level via training from the Local Authority and other statutory and voluntary partners. Alongside internal training around Risk of Harm, Safety & Wellbeing, and ASSETplus, Hartlepool YJS has commissioned and received specialist Speech Language and Communication Need (SLCN) training, Restorative Justice training, Islam Awareness training and attended specific training around children Running & Missing from Home. Staff development will continue throughout 2017-19 and remains a key activity in ongoing work towards a quality service. This will be supported by regular supervision and appraisal, alongside reflective supervision sessions which encourage staff to analyse their practice within a supportive learning environment.

In relation to inspection, the HMIP Corporate plan 2017-2020 highlights an intention to develop and test a new Youth Offending Team (YOT) methodology and approach. This will be underpinned by agreed quality standards, which will cover a broader range of the work of YOTs and which will be developed in consultation with key organisations and ministers. From 2018, HMIP will grade the quality of work delivered by each YOT using a four point scale, with the following categories: Outstanding, Good, Requires Improvement, Inadequate. Clearly, the challenge for Hartlepool Youth Justice Service throughout 2017-19 is to contribute to the consultation process and to ensure Inspection Readiness.

#### **Service User Feedback**

During 2016-2017, a sample of young people who were subject to statutory post court orders participated in a 'Viewpoint' e-survey questionnaire (overseen and administered by HMIP – Her Majesty's Inspectorate of Probation; and YJS). This was to determine what they thought about the services they had received from Hartlepool Youth Justice Service and whether these services had been effective in terms of reducing their likelihood of re-offending and securing the help that they needed.

The e-survey return data is based on 13 returns gathered at various points during 2016/17. Additional e-survey returns had been completed, but due to technological issues had not been fully captured or recognised as completed returns. HMIP do not count precourt disposals (given they presently inspect on only post-court cases) hence there is a much reduced sample size to draw from.

Overwhelmingly, those sampled young people were positive about the services they had received from Hartlepool Youth Justice Service:

- 62% of respondents reported that they thought the service provided was very good, with a further 31% reporting that it was good most of the time. The combined total of 93% was up on the 2015/16 figure of 89%.
- 100% of respondents reported that they are less likely to offend as a result of the work they have undertaken with the Youth Justice Service. This represents an increase on the 2015/16 figure of 84%.
- 100% of respondents felt they had been treated fairly by the YJS staff who worked with them (as compared to the 2015/16 figure of 90%). This is all the more relevant when factoring that YJS staff often have to make difficult decisions relating to the management of risk of harm or safety and well-being. Young people may not always agree with such decisions, but that they are able to feel fairly treated regardless, is very significant.

Although the sample is small, and predominantly consists of YPs subject to Referral Orders, it does evidence that young people view Hartlepool YJS as a good/very good service, which treats them fairly and has made them less likely to offend. Importantly, the majority of young people state their work with the YJS has made them realise that change is possible, which was indicated by 85% of respondents. When considering the multiple risks and needs associated with an often complex and vulnerable client group, such feedback and statistics bear credence to the skill, resilience and dedication of YJS staff.

The voice of the young person is identified as a key strategic objective for 2017/18 and completion of ASSETplus self-assessments will remain critical in capturing the voice and perceived needs of those young people with whom the YJS work. Internally, given that (as of April 2017) HMIP are no longer gathering and monitoring Viewpoint e-survey returns, Hartlepool YJS has already commenced some internal work to develop an evaluative Survey Monkey (based on the original Viewpoint questions) which hopes to measure Young People's perceptions of: Quality of Service, Likelihood of Offending, Fairness of treatment by YJS staff and

Quality of interventions. In line with the proposed work outlined above, Hartlepool Youth Justice Service will build on the servicewide specialist training commissioned during 2016/17. Indeed, additional SLCN working resources have been purchased and available for staff to use to support their assessments, planning and intervention delivery with young people, whilst scoping is proposed in relation to a specialist Speech Language Therapist presence within the YOT – initially as a 12m pilot.

# **4. STRATEGIC VISION AND PRIORITIES - A BETTER CHILDHOOD IN HARTLEPOOL**

Hartlepool's Children Strategic Partnership has set out its vision for children and young people within the town as follows:

#### Vision:

Our ambition as a children's partnership is to enable all children and families in Hartlepool to have opportunities to make the most of their life chances and be supported to be safe in their homes and communities.

#### **Obsessions:**

- Life Chances (Health, Wellbeing, Education)
- Being and Feeling Safe
- Relationships and Resilience

The Youth Justice Service, as part of the wider services for children, seeks to deliver on the vision and obsessions through a number of identified Youth Justice Service Strategic Priorities for 2017 - 2019.

In addition, these priorities align and overlap with the strategic objectives set by the Safer Hartlepool Partnership for 2017-2020:

- Reduce Crime and repeat Victimisation
- Reduce the harm caused by drug and alcohol misuse
- Create confident, cohesive and safe communities
- Reduce offending and reoffending.

To enable Hartlepool Youth Justice Service to contribute to the vision above, it will focus on the following strategic objectives and priorities:

# PROPOSED STRATEGIC OBJECTIVES AND PRIORITIES

It is proposed that the Youth Justice Service (and the broader Youth Justice Partnership) will spend the YJB grant in seeking to achieve the following key strategic objectives during 2017-19:

### **Youth Justice Strategic Priorities**

**Re-offending -** reduce further offending by young people who have committed crime with a particular emphasis in the development of Service interventions that are structured, responsive, tailored to meet identified individual need and evaluated. (Both within Youth Justice Service and provided by external agencies).

#### **Key Actions-**

- <u>Undertake quality assessments of young people at risk of re-offending, ensuring risks and needs are identified which inform effective intervention planning</u>
- Improve Interventions delivered, through innovation and collaboration where appropriate
- Improve intelligence relating to those young people who are at risk of offending behaviour to inform service-wide improvement activity or targeted pieces of work
- Acknowledge findings from the HMIP Transitions thematic (Jan 2016) ensuring that all relevant information is shared with both the NPS and CRC to support the Transition of young people into adult services and to embed the Transitions seconded Probation Officer role
- Acknowledge findings from the HMIP Accommodation Thematic (Sept 2016) to ensure issues are highlighted at strategic level and ensure YJS contribute to local collaborative work to monitor Homelessness amongst YP subject to YJS involvement.

**Early Intervention and Prevention –** sustain the reduction of first time entrants to the youth justice system by ensuring that strategies and services remain in place locally to prevent children and young people from becoming involved in crime and anti-social behaviour.

#### **Key Actions**

- Embedding of A Better Childhood in Hartlepool and fulfilling the YJS role within the wider Local Authority approach and vision
- Operate a targeted approach to supporting individuals and groups of young people at risk of offending based on intelligence and collaborative working with key partners (Police, ASB, Early Help Troubled Families)
- Ongoing trend analysis of past and current FTEs to identify key themes and responses
- Ongoing briefings to key partners (such as Police and Social Care) to emphasise and promote the Prevention and Diversion agenda

**Remand and Custody** – demonstrate that there are robust and comprehensive alternatives in place to support reductions in the use of remands and custody.

#### **Key Actions**

- Monitor and the use of Compliance Panels to ensure continued effectiveness
- Ensure the Service provides intensive packages of Supervision and support to high intensity orders and bail arrangements
- Ensure that the needs of young people in custody and the factors relating to their offending behaviour are addressed in the secure estate to prevent further offending upon release.
- Ensure that robust and timely Resettlement Planning is in place for young people upon release to reduce the risk of further reoffending
- Ensure that timely and comprehensive assessments are in place for young people entering custody
- Review capacity to deliver ISS and resource appropriately through a multi-agency approach

**Risk and Safety & Wellbeing (ASSETplus) –** ensure all children and young people entering or at risk of entering the youth justice system benefit from a structured needs assessment to identify risk of harm and safety and well being concerns, to inform effective intervention and risk management.

#### Key Actions

• Embed Assetplus, so ensuring robust assessment of a young person's needs

- Work in partnership with other agencies to ensure there is a coordinated assessment and plan relating to a young person's risk and safety & wellbeing
- Implement an audit cycle to ensure assessment and plans are meeting the appropriate quality standards, though robust and transparent quality assurance and feedback.
- Acknowledge findings from HMIP's Desistance thematic (May 2016) and ensure that desistance Factors are evident and analysed in all assessments of every young person subject to YJS supervision, through quality assurance and staff supervision.
- Attendance and contribution to YJB Regional Effective Practice groups and peer collaboration with Tees Valley and North
  East YOT colleagues
- Ongoing internal staff training and workshops to benchmark quality standards in the management of risk and safety & wellbeing

**Restorative Justice –** ensure all victims of youth crime have the opportunity to participate in restorative justice approaches and restorative justice is central to work undertaken with young people who offend.

#### **Key Actions**

- Ensure that victims of youth crime have the opportunity to participate in restorative justice approaches leading to satisfying outcomes for Victims
- Continue to use restorative practice across all aspects of the Youth Justice Service.
- Acknowledge findings from HMIP Referral Orders Thematic (July 2016) and re-visit, review and develop practice and
  process around Referral Order panels to ensure increased involvement from victims, panel members, young people and
  their families.
- Develop the in-house RJ 'offer' and consolidate and embed newer and more integrated working practices including victim's evaluation of RJ work.

**Effective Governance** – ensure that the Youth Justice Strategic Management Board is a well constituted, committed and knowledgeable Board which scrutinises Youth Justice Service performance.

#### **Key Actions**

• The Youth Justice Management Board will provide oversight and scrutiny of the service action plan and performance.

- Review the Terms of Reference for the YJS board to ensure it is fit for purpose and includes appropriate representation and contribution of all statutory partners.
- Attendance and representation at YJB Regional executive meetings with colleague YOT Managers from the North East to share learning and Governance issues to improve wider regional service delivery

**Voice of the Young People** – ensure that all young people are actively involved in developing their own plans and interventions and have the opportunity to develop and inform current and future service delivery

#### **Key Actions**

- The team will ensure young people's involvement in relation to their assessment and plans will be clearly evidenced within the records
- The service will ensure young people are provided with opportunities to influence and shape service delivery through access to (and completion of) Survey Monkey feedback.
- Build on specialist Speech, Language and Communication Need (SLCN) training from Durham YOS and utilise SLCN
  resources to support effective assessment and intervention with young people, alongside subsequent signpost to specialist
  services.
- Scoping activity to be undertaken in relation to commissioning a Speech Language Therapist presence within the YJS on a pilot basis.

**Extremism and PREVENT Strategy –** To ensure that the Youth Justice Service is compliant with legislative and practice requirements and adhere to the specific objectives of the 2011 Prevent Strategy

#### **Key Actions**

- All members of Hartlepool Youth Justice Service (across all staff grades) have completed the mandated training around the prevent strategy and the Government's overall counter-terrorism strategy (CONTEST)
- Assessments and planned interventions adequately consider issues such as extremism and radicalisation and where necessary or appropriate, refer young people for further guidance and support
- Undertake further staff training to build on Islam Awareness, through inputs on Far Right extremism and Islamaphobia to be used to deliver interventions with those young people where racist attitudes or offences are evident.

## 5. RESOURCES AND VALUE FOR MONEY

The Youth Justice Service budget is mainly funded by a combination of Local Authority funding and Youth Justice Board grant, although historically there have been financial contributions from the Police, Probation and Health (CCG and Public Health). The Local Authority's contribution to the service has remained protected, however there have been significant reductions in the other areas of funding.

The Youth Justice Board grant was reduced ahead of the 2015/16 budget by 5.7%. During 2015/16, the YJB announced an in-year Grant cut of an additional 10%. In 2016/17, the YJB announced a further reduction of 11.75% and the cessation/amalgamation of the separate Unpaid Work Order and Restorative Justice Maintenance Grants. The combined impact of these cuts over the last two years is a reduction in total YJB funding of £140k (27%) when comparing 2016/17 to 2014/15. This said, the anticipated cut in YJB grant for 2017/18 did not occur as expected. Indeed, the YJB allocated a grant increase of 0.4% for 2017/18

In addition, the health contribution (£25k) previously funded by the PCT (now CCG) was funded by Public Health in 2014/15 but then ceased ahead of 2015/16. The National Probation Service announced a reduction in their funding for 2016/17 onwards of 58% (£7k) in cash terms as well as reducing their staffing secondment from 1 FTE to 0.5 FTE.

Cleveland Police ceased their cash contribution in 2013/14. However, in 2015-17 additional funding was secured from the Police and Crime Commissioner towards the delivery of Triage. This was part of a two year joint-funding application between Stockton, Hartlepool and South Tees and a further one year's funding was awarded for 2017-18.

## 2017/2018 Youth Justice Service Budget

Organisation	Financial contribution £'000	'In-Kind' staffing contribution	Total contribution	
	~ 000	£'000	~ • • • •	
Hartlepool Borough Council	351	16	367	
Youth Justice Board	373	0	373	
National Probation Service	5	18	23	
Police & Crime Commissioner	40	0	40	
Cleveland Police	0	45	45	
Health Service (Public Health)	0	42	42	
Clinical Commissioning Group	0	0	0	
TOTAL	769	121	890	

## **6. STRUCTURE AND GOVERNANCE**

#### **Service Structure**

Hartlepool Youth Justice Service employs a staff team of twenty five people, which includes three seconded staff, and eight sessional workers (**see Appendix 1**). The service also benefits from a team of eight active volunteers who are Referral Order Panel members. All staff and volunteers are subject to Disclosure and Barring Service (DBS) checks which are renewed every three years.

Hartlepool YJS has experienced a very challenging year (operationally and strategically) during 2016/17. Internal challenges have included staffing changes and restructure, policy development, service-wide training, technological and practice changes in relation to the implementation of ASSETplus and, in addition, external issues in terms of ongoing reductions in finance and resource.

Although the previous service delivery model had been successful in the past, it originated from a time where resources were much greater (both in terms of staffing and finance). Unfortunately, the climate has changed significantly and the model is no longer fit for purpose. In essence, a change was needed to allow Hartlepool YJS to be more responsive to emerging issues (an increasingly complex caseload of multiple need) and the significant reduction in staffing and financial resource.

The YJS delivery model has been reconfigured and restructured to ensure the service remains sufficiently flexible to address future challenges. This will be achieved through the introduction of a generic case management and intervention delivery model, across pre and post court functions. This will ensure maximum resilience, capacity and flexibility to meet the needs of children and young people and the service as a whole.

The new YJS structure aims to consolidate areas of strong performance and effective practice, whilst also providing a dynamic framework to respond to emerging priorities, recognised both by the Local Authority and key partners. This model (alongside the YJS strategic plan) allows the organisation and the wider YJS partnership to action the priorities for service delivery and to achieve best outcomes for children and young people across the range of statutory and preventative service.

The data analysis undertaken in relation to the Service Review within 2016/17 evidenced a higher concentration and demand for YJS work around the provision and delivery of post-court services, such as court reports, panel reports, supervision of statutory court orders and multi-agency work around the management of harm and safeguarding. Although preventative and pre-court work are critical in the achievement of successful operational and strategic outcomes, this has to be balanced against the resources required to fulfil the statutory functions of the YJS, and critically, the allocation of the right resources to the right areas of organisational need.

#### Governance

The Youth Justice Service is located within the Children's Services Division of Child and Adult Services. The Management Board is chaired by the local Police Area Commander and is made up of representatives from Child and Adult Services, Police, Probation, Public Health, Courts, Housing, Youth Support Services, Community Safety and the local Voluntary and Community Sector. Effective integrated strategic partnership working and clear oversight by the Management Board are critical to the success and effective delivery of youth justice services in Hartlepool. The board is directly responsible for:

- Determining how appropriate youth justice services are to be provided and funded;
- Overseeing the formulation each year of the youth justice plan;
- Agreeing measurable objectives linked to key performance indicators as part of the youth justice plan;
- Ensuring delivery of the statutory aim to prevent offending by children and young people;
- Giving strategic direction to Youth Justice Service Manager and Youth Justice Service Team;
- Providing performance management of the prevention of youth crime and periodically report this to the Safer Hartlepool Executive Group;
- Promoting the key role played by the Youth Justice Service within local integrated offender management arrangements.

The Management Board is clear about the priority areas for improvement, and monitors the delivery of the Youth Justice Strategic Plan, performance and prevention work. It is well attended and receives comprehensive reports relating to performance, finance and specific areas of service delivery.

Members of the Board are knowledgeable, participate well in discussions and are members of other related boards, such as the Local Safeguarding Children's Board and the Safer Hartlepool Partnership, which contribute to effective partnership working at a strategic level. Board meetings are well structured and members are held accountable. The current membership of the Board is as follows:

Lynn Beeston Chair	Local Police Area Commander
Mike Lane Jane Young	YJS Team Manager HBC YJS Head of Service
Danielle Swainston	Assistant Director - Children's Services HBC
Emma Rutherford	Head of Virtual School HBC
Julie Allan	Head of Cleveland NPS – National Probation Service (NE)
Claire Clark	Neighbourhood Manager Community Safety HBC
Dave Wise	Chair of the West View Project (Voluntary/Community Sector representative).
Deborah Clark	Health Improvement Practitioner HBC
Lynda Igoe	Principal Housing Officer HBC
Neil Dawson	Her Majesty's Courts and Tribunals Service (HMCTS)

## 7. PARTNERSHIP ARRANGEMENTS

Hartlepool Youth Justice Service is a statutory partnership which includes, but also extends beyond, the direct delivery of youth justice services. In order to deliver youth justice outcomes it must be able to function effectively in both of the two key sectors within which it operates, namely:

- Criminal justice services.
- Services for children and young people and their families.

The Youth Justice Service contributes both to improving community safety and to safeguarding and promoting the welfare of children and in particular protecting them from significant harm. Working Together to Safeguard Children (2015) highlights the need for Youth Justice Services to work jointly with other agencies and professionals to ensure that young people are protected from harm and to ensure that outcomes for local children, young people and their families are improved.

Many of the young people involved with the Youth Justice Service are amongst the most vulnerable children in the borough and are at greatest risk of social exclusion. The Youth Justice Service's multi-agency approach ensures that it plays a significant role in meeting the safeguarding needs of these young people. This is achieved through the effective assessment and management of safety & wellbeing and risk, through working in partnership with other services, for example Children's Services, Health and Education, to ensure young people's wellbeing is promoted and they are protected from harm.

# **<u>8. RISKS TO FUTURE DELIVERY</u>**

The key risks that have the capacity to have an adverse impact on the Youth Justice Service in the coming twelve months and potentially beyond are detailed below:

Risks	Potential Impact	Control Measures
Secure Remand Costs	The unpredictability associated with remand episodes and remand length has the potential to place significant financial pressure on the YJS and broader Local Authority.	It remains essential that the service can demonstrate to magistrates that there are robust and comprehensive alternatives in place to support reductions in the use of remands and custody. Coordinated multi-agency responses to
		young people at risk of remand where safe and secure accommodation is the precipitating factor to be further developed. Remand budget is incorporated within Wider Children's Services placement costs.
Managing the potential for reduction in YJB grant and partnership financial and 'in-kind' contributions for post- 2017/18	Consequential negative impact on performance. Reduced capacity to meet strategic and operational obligations and statutory requirements. Reduced capacity to continue to focus on early intervention and identification	Targeted resources to address need. Administer and embed the changes in structure and practice arising from the Service Review. Regional collaboration with neighbouring YOS' such as coverage of TYC. Robust financial management and oversight from strategic board.

Post – Implementation of ASSETPlus –	There is the potential for significant	Post implementation:
(National Youth Justice Assessment tool)	ongoing service disruption as the staff team and management embed ASSETplus.	Undertake initial full ASSETplus training with all new staff.
	Impact on performance (timeliness) capacity and staff confidence whilst they adjust to this different assessment and	Implement AssetPlus ongoing Practice updates or changes, where required
	acquire the familiarity to complete, interrogate and locate the information in the assessment.	Hold refresher AssetPlus staff briefings and development days on a quarterly basis.
	Lack of understanding amongst partner professionals as to the increased complexity and demand place on Youth Justice Service staff. Impact on	Standing agenda on Board Meetings, Team Meetings and staff individual supervisions.
	information sharing given the difference between a full ASSETplus and previous ASSET and ROSH documentation.	Collaborative and reciprocal work/problem solving with neighbouring YOS' in the region. (Eg. YJB Regional EP Group).
		Ongoing dialogue between HBC I.T. and Careworks to address and remedy any identified issues.
		Ongoing application of ASSETplus prompt documentation and QA tool to keep standards.

## **9. STRATEGIC SUMMARY**

In spite of the adversities that families and communities contend with in Hartlepool, the local Youth Justice Partnership has had significant success in recent years in preventing and reducing youth offending behaviour.

An emphasis on prevention and diversion needs to be maintained, however this presents significant challenge in light of continued cuts in staffing and resources. In spite of recent reductions in re-offending, the rate of re-offending in Hartlepool continues to be an area of concern. The Youth Justice Service will work with partner agencies particularly Locality Teams, Schools and CAMHS to identify and support children and young people at risk of offending as part of the wider programme "A Better Childhood in Hartlepool", the Education Commission and Emotional Health and Wellbeing Transformation Programme

Evidence highlights that it is often the complex interplay of multiple deprivation factors and difficulties that makes problems in some households insurmountable and places the children at significant risk of involvement in anti-social and offending behaviour. As a result there is a need to place an even greater emphasis on whole family interventions to create "pathways out of offending", reduce crime and break the cycle of offending behaviour across generations.

Whilst youth crime rates in Hartlepool have fallen, the likelihood of being a victim of crime still remains a reality, especially in our most disadvantaged communities and there remains a need to continue to invest in the delivery of restorative approaches to give victims of crime a voice, choice, control and satisfaction in the criminal justice system.

At a national level, Youth Justice policy is under review and the Youth Justice Board's (YJB) oversight role for youth offending services may also change. However, despite this, Hartlepool Youth Justice Service and broader Youth Justice Partnership will be proactive in addressing the above challenges to secure further reductions in offending and re-offending by young people.

# **Hartlepool Youth Justice Partnership**















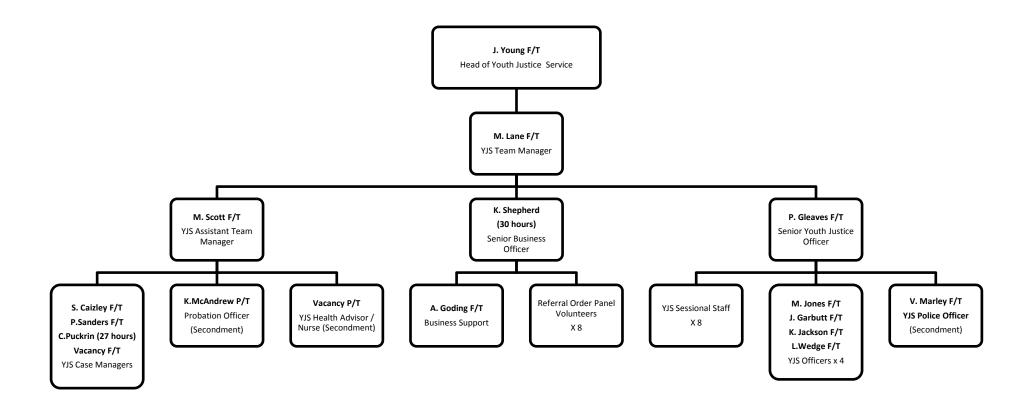
NHS Hartlepool and Stockton-on-Tees Clinical Commissioning Group





### **Appendix 1**

#### **Youth Justice Service Structure**



# **CHILDREN'S SERVICES COMMITTEE**

17 October 2017



# Report of: Director of Children's and Joint Commissioning Services

# Subject: COMMISSIONED PLACEMENTS REVIEW FOR THE PUPIL REFERRAL UNIT

#### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Key Decision (test (i)/(ii) apply) Forward Plan Reference No. CAS066/17

#### 2. PURPOSE OF REPORT

2.1 To approve the reduction in ESFA commissioned placements at the Hartlepool Pupil Referral Unit from 24 places to 12 places. The reduction will commence from September 2018.

#### 3. BACKGROUND

- 3.1 The Council currently commissions 24 places at the PRU (ten places in Key Stage 3, 14 places in Key Stage 4). These places are primarily for children and young people permanently excluded from school.
- 3.2 The Home and Hospital provision is for 12 places and does not form part of the ESFA funding arrangements.

#### 4. PROPOSALS

- 4.1 Currently the Council commissions 24 places for pupils from schools across the town, priority is given to those children/young people who are permanently excluded. These places are commissioned via the Education Funding and Skills Agency (ESFA) allocation.
- 4. 2 The table below indicates the number of permanently excluded (PEX) full time equivalent (FTE) pupils accessing the PRU over the last three years, including attendance information.

Academic Year	Number of permanently excluded pupils (PEX)	Context, including full-time equivalences
2014-15	3	
2015-16	14	Breakdown of data is not available but is believed to be approximately 6 full time equivalent (fte) places.
2016-17	20	This figure equates to approximately <b>9 full time</b> <b>equivalent</b> places. Attendance at the PRU of the 9 fte was only 47.6%.

- 4.3 Based on the information in the table above around the number of fte PEX pupils, the proposal is to reduce the number of commissioned placements from 24 fte to 12 fte places. If the Council needs to commission additional places for permanently excluded pupils, this will be done as and when the need arises, in partnership with the PRU and other educational providers, such as schools and academies.
- 4.4 The change to the number of commissioned places will be reported through the ESFA placement funding submission that the Council completes in October 2017. It is proposed that the reduction in numbers will <u>take effect from September 2018</u>.
- 4.5 Under <u>The School and Early Years Finance (England) Regulations 2017</u> local authorities have the flexibility to determine the place funding on the basis of the number of pre-16 places in maintained schools and pupil referral units (PRUs) agreed locally, without reference to ESFA.
- 4.6 This proposal is in addition to a planned review of all ESFA funded places as part of a wider SEND review that commenced in September 2016. A significant amount of work has already been undertaken in relation to identifying solutions for the growing issue of Social Emotional and Mental Health provision for children and young people across the town. In order to address these priorities the Council will have to review all ESFA funded places to ensure that they are aligned with the needs of the children and young people in the town. The Council is unable to obtain additional places from the ESFA and therefore has to utilise the current places to the best effect.

#### 5. **RISK IMPLICATIONS**

- 5.1 An additional consideration to this proposal is the PRU Management Committee's decision to convert to academy status.
- 5.2 On conversion to academy status, the PRU will be entitled to take all ESFA funded commissioned places as part of the conversion process. This effectively locks all commissioned placements to the new academy chain, removing the opportunity for the Council to redress any future placement shortfalls across the town.
- 5.3 This proposal therefore protects the planning for all commissioned placements across the town to ensure that the delivery model is aligned to meeting the needs of the children and young people of Hartlepool.

#### 6. FINANCIAL CONSIDERATIONS

6.1 The funding allocated via the ESFA is £10,000 per place. The proposed reduction in places at the Pupil Referral Unit will result in a reduction of £120,000 in the overall budget allocated to the unit.

#### 7. LEGAL CONSIDERATIONS

7.1 The Council has a statutory obligation to provide education for young people excluded from school and who are unable to access a school place as a result of behavioural, or mental health or medical issues. The Council commissions the PRU to undertake this duty.

#### 8. CONSULTATION

- 8.1 Consultation has been held with the Headteacher of the PRU and the Chair of the PRU Management Committee. In addition, a briefing summary will be presented to the PRU Management Committee on 27<sup>th</sup> September, outlining the proposals contained within this report.
- 8.2 Any feedback from the PRU Management Committee will be reported to Children's Services Committee on 17 October 2017.

# 9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE)

9.1 The proposed reduction of PRU commissioned placements is part of a wider review of the allocation of placements based on the current needs of Hartlepool children and young people. The reallocation of commissioned placements will ensure that all children and young people are able to access the right support at the right time from the right provider.

#### 10. EQUALITY AND DIVERSITY CONSIDERATIONS

10.1 There are no equality and diversity considerations.

#### 11. STAFF CONSIDERATIONS

11.1 There are no staff considerations.

#### 12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations.

#### 13. **RECOMMENDATIONS**

13.1 It is recommended that Children's Services Committee approve the reduction in commissioned placements at the Hartlepool Pupil Referral Unit from 24 places to 12 places. The reduction will commence from September 2018.

#### 14. REASONS FOR RECOMMENDATIONS

14.1 Any changes to the allocation of commissioned placements must be approved prior to submission to the Education and Skills Funding Agency (ESFA) by mid November 2017.

#### 15. BACKGROUND PAPERS

15.1 There are no background papers for this report.

#### 16. CONTACT OFFICERS

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# **CHILDREN'S SERVICES COMMITTEE**

17 October 2017



# **Report of:** Director of Children's and Joint Commissioning Services

#### Subject: ADOPTION TEES VALLEY – FULL BUSINESS CASE

#### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Key Decision reference number CAS 65/17, key tests 1 and 2 apply.

#### 2. PURPOSE OF REPORT

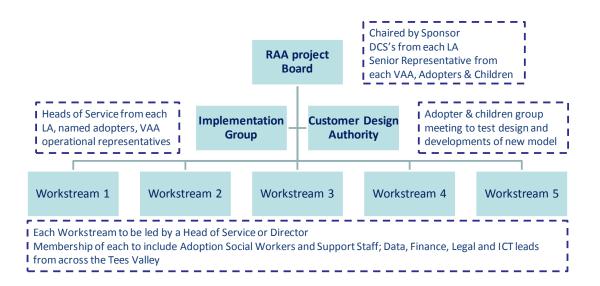
2.1 To seek approval of the Full Business Case (FBC) to develop the new Adoption Tees Valley (ATV) adoption agency and approve the delegated powers to Stockton Borough Council.

#### 3. BACKGROUND

- 3.1 In June 2015, the Department for Education (DfE) published 'Regionalising Adoption' and asked all adoption agencies in England to consider how to work much more closely together on a regional basis. This was enacted as the Education and Adoption Act 2016 which advised authorities and voluntary adoption agencies to join together to form Regional Adoption Agencies (RAA). The Act also gives the Secretary of State a new power to direct one or more named local authorities to make arrangements for any or all of their adoption functions to be carried out on their behalf by one of the local authorities named, or by another agency. By 2020, all local authorities must be part of a Regional Adoption Agency (RAA) under Section 16 of the Education and Adoption Act 2016.
- 3.2 The Government's view is that structural change will improve the process for both children and adopters leading to improved numbers of children being adopted, an improved experience for adopters and improved timeliness overall. The DfE expects the RAA programme to deliver consistently good and innovative adoption practice that ensures improved life chances for children.

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- 3.3 In October 2015, the Tees Valley local authorities submitted an expression of interest to the Department for Education for an adoption reform grant to scope the development of a Tees Valley Adoption Service. Initially this project was being led by Middlesbrough Borough Council, however, since January 2016, Hartlepool Borough Council has fulfilled the lead authority role.
- 3.4 In April 2016, the Tees Valley Regional Adoption Agency (TVRAA) submitted a transition plan to DfE providing outline proposals, work completed to date and a high-level implementation plan for the forthcoming year. This was a requirement for accessing DfE grant funding to support the development and implementation of the RAAs nationally.
- 3.5 An update report for information was presented to the Children's Services Committee on 21 February 2017. This report provided an outline of the work to date, shared the Outline Business Case (OBC) and noted the need for further key decisions to be taken by local authorities during 2017.
- 3.6 Throughout 2017 work has focused on the development of the Full Business Case (FBC) which will be sent out under separate cover as **Appendix 1**. The FBC builds on the foundations laid by the OBC, but notably includes all key decisions required before moving into the implementation phase.
- 3.7 The governance structure remained in place for the next phase of the programme headed by the RAA Management Board made up of the Directors of Children's Services and senior managers from local VAAs and key partner agencies. Beneath this sits an implementation group of managers leading adoption work across the Tees Valley and a 'Customer Design Authority' which is made up of adopters and adoption experienced individuals.



- 3.8 Workstreams were established to progress key themes for the FBC. Each workstream has had representation from all five local authorities which included a lead officer/chair. The groups were:
  - Practice and organisational design;
  - Commercial, legal and governance;
  - Human Resources;
  - Finance;
  - ICT;
  - Performance & Information Governance; and
  - Property.
- 3.9 The outcomes and outputs of the above workstreams are fully documented within the attached FBC, however, a summary of the key decisions is provided section 4 of this report.

#### 4. FULL BUSINESS CASE

#### Governance

- 4.1 Since the approval of the OBC, a review of the governance model for the proposed RAA has been undertaken. The initial model was to have been a separate legal entity such as a Local Authority Trading Company. However, the review concluded that for practical reasons there will initially be a shared service hosted by Stockton-on-Tees Borough Council. The hosted service will be designed and governed in a way that has all the benefits of a separate legal entity. Service design principles include:
  - Stockton will be the host for 'pay and rations' only and a governance model will be developed to allow all five local authorities to have an equal say in the running and future development of the RAA.
  - The RAA would have it own identity, branding, and discrete location.
  - A review will be undertaken after 18-24 months to consider whether moving to a separate legal entity would be appropriate.
- 4.2 To deliver this model, the local authorities will enter joint arrangements under Section 101 of the Local Government Act 1972.
- 4.3 The Director of Children's Services (DCS) for each local authority will be responsible for ensuring that the requirements of local authority democratic processes are met through reporting to Elected Members/Portfolio Holders. Under the National Minimum Standards for Adoption, there is a requirement that the executive side of the local authority receive six monthly reports detailing the management outcomes and functioning of the adoption service.

- 4.4 The DCS will appraise Members and Directors of Finance, of any financial or budget implications for Adoption Tees Valley which has an impact on the local authority, seeking authority to proceed with any changes which are recommended by the Board. This recognises that financial decisions outside the normal / agreed budget, will need to be approved by all five local authorities.
- 4.5 Due to the value of the services being provided and to comply with European Union procurement law, Hartlepool Borough Council needs to delegate adoption hosting powers to Stockton Borough Council. The formal delegation of powers from Hartlepool to Stockton will take place following approval by this Council and with subsequent approval from Stockton's Cabinet.

#### Service Design/Staffing

- 4.6 A structure and operating model has been designed to reflect the ideal experience for each key stage of the journey to adoption, from the perspective of children and adopters.
- 4.7 Services included in ATV are listed below:

What is in scope	What is not in scope
Adopter marketing and recruitment	Fostering
Adopter assessment and training	Special Guardianship Order
	function
Adopter and child matching	Connected persons
Family finding	
Post adoption support	

- 4.8 The RAA Board recommend the new service be known as Adoption Tees Valley.
- 4.9 The appointment of the Service Manager is key to the implementation phase, and this is planned as soon as possible.

#### Finance

- 4.10 Baseline financial information has been collected for the five local authorities. The purpose of collecting base line data is to provide a comparator to the proposed budget for ATV, allowing the proposed budget to be compared against the cost of current arrangements. The base line information also allows comparison to the proposed split of the cost of ATV budget between the five Councils to allow each authority to consider their resource position.
- 4.11 The collection of baseline data has involved the investigation of spend at each Council on the functions that are included within scope for ATV. Not all of the five Councils have a separate team for adoption services (there are Family Placement Teams at a number of the Councils that cover both

fostering and adoption) therefore an estimation of the split of costs between
the services has had to be taken.

Baseline	D'ton	H'pool	M'bro	Redcar	S'ton	TOTAL
Staffing baseline cost (2017-18 Budget)	£153,549	£157,948	£402,337	£237,658	£250,713	£1,202,205
Running Costs (3 year average)	£72,147	£29,725	£47,686	£22,650	£55,992	£228,200
Baseline Cost (excluding Inter-agency Fees)	£225,696	£187,673	£450,023	£260,308	£306,705	£1,430,405
Baseline Cost (excluding Inter-agency Fees)	15.8%	13.1%	31.5%	18.2%	21.4%	100%
Net Inter-agency Fees (3 year average)	£90,038	£37,305	£228,893	£58,774	£195,054	£610,064
Total Baseline Cost	£315,734	£224,978	£678,916	£319,082	£501,759	£2,040,469
Total Baseline Proportion	15.5%	11.0%	33.3%	15.6%	24.6%	100%

- 4.12 An overriding principle of the business case development is that ATV can cost no more than current baseline costs.
- 4.13 There are many methods that can be used to allocate a share of the costs to each partner Council. These include allocating the shares based on one or more of a number of metrics. It is the preference of the contributing councils that the method should be as simple as possible whilst also being fair and equitable and minimising financial turbulence. The Tees Valley Directors of Finance concluded that these costs will be split on the basis of the current budgets. The budget allocation of £1.43m being split as detailed in paragraph 4.11 and in summary results in the following contributions.

<ul> <li>Darlington</li> </ul>	£226k (15.8%)
<ul> <li>Hartlepool</li> </ul>	£188k (13.1%)
<ul> <li>Middlesbrough</li> </ul>	£450k (31.5%)
Redcar & Cleveland	£260k (18.2%)
<ul> <li>Stockton</li> </ul>	£307k (21.4%)

- 4.14 The above funding formula will be fixed for future years to provide a stable financial base for ATV and the five local authorities. Any savings/overspends will be split between the five Councils on the same percentage basis as they have put in. No savings target is set for year one, however future savings / increased adoptions will be expected as the service benefits from efficiencies/economies of scale.
- 4.15 **Inter-agency fees** can vary significantly year on year based on demand, the level of in-house capacity to meet that demand and the specific matching requirements of children being placed for adoption. Over the last three years spend has been fairly consistent across the Tees Valley, not varying too widely from the three-year average of £610k. However, there are fluctuations within this position for individual councils. A three-year average has been

used to provide a more 'typical' level of spend rather than capture a year where expenditure was particularly high or low for any council(s). The Tees Valley Directors of Finance have concluded that:

- ATV will not be provided with the resource for inter-agency fees, the funding will stay with each Council.
- ATV will be set a target spend in year one of no more than £500k (net).
- It is expected that spend on inter-agency fees will decrease with a view to a nil net spend in future years. Year two onwards targets to be set at a future date.
- Any spend in year one will be charged to the five Councils on a split based on their share of the total average number of adoptions (i.e. the total number of adoptions being the sum of both inter-agency and non inter-agency adoptions) over the last three year period. This element of the funding formula will also be fixed for future years and will reflect the following percentage contributions:

	Percentage contributions (based on average annual adoption numbers 2014/15 to 2016/17)
Darlington	20.2%
Hartlepool	14.0%
Middlesbrough	27.2%
Redcar and Cleveland	14.0%
Stockton	24.7%
Total	100.0%

- 4.16 **Support Services** are to be provided by Stockton Council. These have not been finalised as yet, but an upper working estimate of £0.180m is being used. This is made up of Premises (£0.080m), ICT (£0.070m), and Finance/HR/Legal (£0.030m). These costs have not been included in baseline costs. Once the actual budget is agreed, this will be split between each Council on an equal share basis.
- 4.17 **Set-up Costs** ATV will have some one off set up costs, in particular for the premises, ICT and project management requirement. These are yet to be fully quantified as some of these are dependent on decisions around working practices. Set-up costs will be funded by the grant held by HBC until this is exhausted and only if this insufficient should any remaining costs be shared between the five councils.
- 4.18 **Redundancy Costs** The position regarding redundancies will not be known until the final structure has been agreed and TUPE arrangements completed. The ATV budget has no provision for redundancy costs incurred upon set up. It is expected that an effective management of change process will minimise redundancies. However, it is proposed that any redundancy costs that are incurred upon set up will be shared equally amongst the five Councils. No provision has been built into the ATV budget for any future redundancies that may arise within ATV after inception. It is expected that any redundancies would occur either from a reduction in service requirement

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(i.e. less demand) or as a result of efficiencies within working practices. Both of these situations would create a saving within the ATV budget, therefore it is proposed that future redundancies would be picked up with the ATV budget, pre-the return of any savings to the contributors.

#### 5. PLAN AND NEXT STEPS

5.1. The current phase of the project has seen the formulation of this Full Business Case document.



- 5.2. Once the Full Business Case is approved the project will move into the implementation phases.
  - 5.2.1. **Implementation** the establishment of Adoption Tees Valley.
  - 5.2.2. **Transition Local Authorities** looks at the reorganisation of the Local Authority services. This is particularly important for those LA's where Fostering and Adoption are currently combined services.
  - 5.2.3. **Infrastructure Live** this is the milestone in January which needs to be achieved to ensure a go live for the full service in April 2018.
  - 5.2.4. **Transition to Adoption Tees Valley** this will be the period from January to April 2018 when the work of the new organisation takes over from the existing local authority arrangements. It also takes account of all the workforce development / team building and culture issues.
- 5.3. It is proposed that the initial work for Transition and Implementation commence as soon as possible to ensure a timely implementation. The impact of change on the local authorities cannot be underestimated. Additionally, go live is fully dependent upon a number of critical milestones being met:
  - Service Manager recruited and in post;
  - Accommodation identified and made ready;
  - ICT system purchased and installed;
  - ICT networks established;
  - Staffing structure in place and recruitment completed;
  - Information governance issues resolved, including Data Protection registration and Information Sharing Agreements all signed off by the Caldicott Guardians; and
  - Memorandum of Understanding/S101 agreement signed off by all five local authorities.

#### 6. **RISK IMPLICATIONS**

- 6.1. There are risks associated with any significant change management programme such as this. The full business case has identified potential risks within the project and provides a risk matrix detailing a risk rating and mitigating actions. Going forward, the risks will be effectively managed through the Management Board and governance arrangements.
- 6.2. If the Tees Valley local authorities decides not continue with the development of the ATV there is a risk that the Government will use its powers under the Education and Adoption Act 2016 to require the local authorities to make joint arrangements for the provision of adoption services without the benefit of a grant to support this process.

#### 7. FINANCIAL CONSIDERATIONS

7.1. The financial considerations are set out in paragraphs 4.10 to 4.18 of this report. There are not expected to be any additional costs.

#### 8. LEGAL CONSIDERATIONS

- 8.1. The powers to undertake the regionalisation of adoption services are contained in Section 15 of the Education and Adoption Act 2016 which allows local authorities to cease provision of their adoption service and gives the Secretary of State powers to direct that local authority adoption services be provided by another local authority or adoption agency.
- 8.2. The adoption services described in this report comprise executive functions for the purposes of the Local Government Act 2000 and the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 and therefore it is necessary for Hartlepool Borough Council's executive to formally delegate this function to Stockton-on-Tees Borough Council under Section 9EA of the Local Government Act 2000 and the Local Authorities (Arrangements for the Discharge of Functions) (England) Regulations 2012... Stockton Borough Council is then required to formally accept the delegation from Hartlepool Borough Council and the other three TV authorities.
- 8.3. The proposed arrangement is deemed to constitute a contract which establishes or implements co-operation between contracting authorities pursuant to Regulation12(7) of the Public Contracts Regulations 2015 and is excluded from the requirements of competition.

#### 9. CHILD AND FAMILY POVERTY CONSIDERATIONS

9.1. There are no child and family poverty considerations arising from this report.

#### 10. EQUALITY AND DIVERSITY CONSIDERATIONS

- 10.1 The key objectives of Adoption Tees Valley (ATV), and a significant part of the governments rationale in moving to a new delivery model for adoption services is to widen the availability and options for hard to place children. Children who are "hard to place" tend to be those who are older, from minority ethnic groups, and/or who have additional needs that often arise as a result of disability. ATV proposal will have positive benefits for these groups of children, while at the same time not affecting the possibility of adoptive placements being found for less hard to place children, who are usually younger and of white/British heritage.
- 10.2 In terms of recruitment & assessment of new adopters, ATV will seek to include and target potential adopters from all sections of society including marginalised groups.
- 10.3 Establishment of ATV will therefore benefit children who have a plan for adoption, and prospective adopters who previously may not have felt that adoption was an option for starting or growing their family unit.
- 10.4 The ATV model of working will ensure greater consistency of working across the five local areas in relation to issues affecting marginalised groups.

#### 11. STAFF CONSIDERATIONS

11.1 The principles of TUPE regulations will be applied and a management of change policy is being developed to reflect this. This HR workstream has also worked closely with the Practice and organisational design workstream on staffing structures and job descriptions. This workstream will continue beyond the approval of the FBC to oversee staff consultation and the filling of posts.

#### 12. ASSET MANAGEMENT CONSIDERATIONS

12.1 The preferred location for a property is in Stockton. This is due to its central location within the Tees Valley, proximity to Stockton support services and ICT connectivity. A specification has been developed and a search for an appropriate property is being conducted within a review of all property with the Stockton Borough Council portfolio. This will have a negligible impact on the HBC property portfolio.

#### 13. **RECOMMENDATIONS**

- 13.1 Children's Services Committee is asked to approve the ATV Full Business Case at **Appendix 1**.
- 13.2 Children's Services Committee is asked to delegate to Stockton Borough Council its duties set out in the draft section 101 agreement at **Appendix 2**.
- 13.3 Children's Services Committee authorises the Director, Child and Adult Services in consultation with the Chief Solicitor and Monitoring Officer, Director of Finance & Policy and Lead Member for Children's Services, to agree the final details of the draft section 101 agreement subject to there being no substantial changes to the Full Business Case and draft section 101 agreement as it appears in **Appendix 2**.
- 13.4 That, subject to the execution of the section 101 agreement once it has been finalised in accordance with the authorisation in paragraph 13.3 above, Hartlepool Borough Council agrees that Stockton Borough Council will exercise delegated functions on its behalf with regard to the recruitment and assessment of adopters, adoption panels, family finding and adoption support.

#### 14. REASONS FOR RECOMMENDATIONS

14.1 To progress the creation of a Tees Valley Regional Adoption Agency – Adoption Tees Valley.

#### 15. BACKGROUND PAPERS

15.1 Department for Education, Adoption: A Vision for Change March 2016

#### 16. CONTACT OFFICER

Sally Robinson Director of Children's and Joint Commissioning Services 01429 523910 sally.robinson@hartlepool.gov.uk

# Impact Assessment Form

Department	Division	Section	Owner/O	fficer
CHILDREN'S AND JOINT			SALLY RO	BINSON
COMMISSIONING SERVICES				
Service, policy, practice being	DEVELOP/	MENT OF A REGIO	NAL ADOPTIC	N AGENCY -
reviewed/changed or planned	ADOPTION TEES VALLEY			
Why are you making the				
change?	By 2020, a	all local authoriti	es must be pa	art of a
		Adoption Agency		
		ucation and Adop		
		·		
How might this impact (positively	/negative	ly) on people who	share protect	ted
characteristics?		<i>,</i> , , , , , , , , , , , , , , , , , ,	•	
A ma		Please tick	POSITIVELY	NEGATIVELY
Age			✓	×
See holow				
See below				
Disability			•	
See below				
Gender Re-assignment				
Gender Re-assignment				
Please describe				
Race			✓	
			-	
See below				
Religion			✓	
See below				
Gender				
Please describe				
Sexual Orientation				
Please describe				
Marriage & Civil Partnership				
Please describe				I
Pregnancy & Maternity				
o				
Please describe				•
Has there been consultation /is		of the developm		
consultation planned with people who will be affected by this		ation has been u		•
policy? How has this affected		n and young peop		
your decision making?		del for service de	elivery outline	ed in
	busines		-	
As a result of your decision how		y objectives of Ac	•	•
can you mitigate	(ATV), and a significant part of the governments			
negative/maximise positive	rationale in moving to a new delivery model for			
outcomes and foster good	adoption services is to widen the availability and			
relationships?	options for hard to place children. Children who			
	are "hard to place" tend to be those who are			
	older, from minority ethnic groups, and/or who			
	have additional needs that often arise as a result			
	of disability. ATV proposal will have positive			
	benefits for these groups of children, while at			
	the same time not affecting the possibility of			

		adoptive placements being found for less hard to place children, who are usually younger and of white/British heritage. In terms of recruitment & assessment of new adopters, ATV will seek to include and target potential adopters from all sections of society including marginalised groups.			
		Establishment of ATV will therefore benefit children who have a plan for adoption, and prospective adopters who previously may not have felt that adoption was an option for starting or growing their family unit.			
		ATV model of workin consistency of workin relation to issues af		s the 5 local areas in	
Describe how you will address and monitor the impact		<ol> <li>No Impact - No Major Change         New services will be reviewed and evaluated         regularly with reports to Children's Services         Committee on a six monthly basis.     </li> <li>Adjust/Change Policy</li> </ol>			
		Please Detail 3. Adverse Impact but Continue as is			
			Please Detail		
		4. Stop/Remove Policy/Proposal Please Detail		osai	
Initial Assessment	00/00/00		Reviewed	00/00/00	
Completed	00/00/00		Published	00/00/00	

# Adoption Tees Valley

# Full Business Case (FBC)

Date3 October 2017Version2.2 Status: Final

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#### **1. EXECUTIVE SUMMARY**

This Full Business Case (FBC) recommends that a new Regional Adoption Agency (RAA) is created through combining the adoption services of the Tees Valley Authorities of Darlington, Hartlepool, Middlesbrough, Redcar & Cleveland and Stockton-on-Tees Borough Councils.

Adoption Tees Valley has a clear vision 'To achieve the best possible adoption outcomes for children and adopters, through the provision of high quality and timely services delivered by an effective and financially sustainable organisation.'

It further recommends that it is initially a lead authority model hosted by Stockton BC.

The RAA will be branded as Adoption Tees Valley with a distinct identity.

To support the vision, Adoption Tees Valley has used the ideal experience and journey from the perspective of children and adopters to re-design the service and set its strategic objectives.

An initial funding model based on current budgets is proposed which is within the combined current budgetary envelope.

A review of performance against the objectives detailed in the Business Case will be undertaken after three years.

#### 2. INTRODUCTION AND OVERVIEW

#### 2.1 Background

In June 2015, the Department for Education (DfE) published 'Regionalising Adoption' and asked all adoption agencies in England to consider how to work much more closely together on a regional basis. This was enacted as the Education and Adoption Act 2016 which advised authorities and voluntary adoption agencies to join together to form Regional Adoption Agencies (RAA). The Act also gives the Secretary of State a new power to direct one or more named local authority to make arrangements for any or all of their adoption functions to be carried out on their behalf by one of the local authorities named, or by another agency.

The Government's view is that structural change will improve the process for children and adopters leading to improved numbers of children being adopted, an improved experience for adopters and improved timeliness overall. The DfE expects the RAA programme to deliver consistently good and innovative adoption practice that ensures improved life chances for children.

Adoption Tees Valley covers the boroughs of Darlington, Hartlepool, Middlesbrough, Redcar & Cleveland and Stockton. It has an area of 304 square miles with a population of around 670,000 of whom, 129,000 are children aged 0-15.

#### 2.2 Purpose of this Document

This full business case (FBC) outlines how Adoption Tees Valley will deliver the Government agenda in relation to adoption, the benefits of the new service delivery model for children and adopters, and makes recommendations for the decision to progress with the creation of the Adoption Tees Valley service delivering adoption agency functions on behalf of the five partner local authorities.

The business case includes detailed project goals, performance measures, assumptions, constraints, and alternative delivery options considered. The FBC follows on from the Outline Business Case (OBC) which was approved by Management Board in autumn 2016 and subsequently reported to local authority democratic processes in early 2017.

#### 2.3 Project Governance & Management

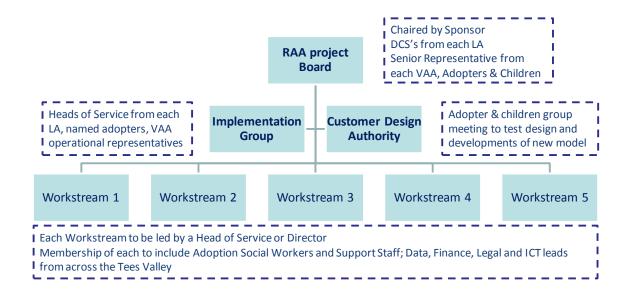
The development of Adoption Tees Valley is overseen by a Management Board comprising of the five Directors of Children's Services and senior representatives from the five Voluntary Adoption Agencies (VAA) that operate in the local area. The board is

chaired by Sally Robinson, Director, Child and Adult Services at Hartlepool Borough Council who acts as sponsor.

During 2016 the work of the Management Board focussed on the design detail for Adoption Tees Valley, developing the ideal adopter and child journey. It also agreed the strategic objectives and scope of the new service which are set out later in this document.

A report for information was presented the to the five local authority democratic decision making bodies (cabinet/committee) in January/February 2017. This report provided details of the work to date, shared the Outline Business Case and noted the need for further key decisions to be taken by local authorities during 2017.

Effective governance processes, with Director-level involvement and oversight, have already been established through the current project as demonstrated by the chart below.



#### Figure 2.3.1 Governance structure

The key roles and responsibilities of each group are set out below:

Table 2.3.2 Adoption Tees Valley governance – key roles and responsibilities

Roles	Responsibilities
ATV Project Board	<ul> <li>Sign off of strategy, plan, timelines, resources and costs</li> <li>Meet monthly to ensure Adoption Tees Valley Implementation is on track against plan</li> <li>Responsible for sign off of key decisions and designs</li> <li>Responsible for decisions regarding risk, issue and dependency management</li> <li>Standard agenda includes adopter voice to ensure Adoption Tees Valley remains responsive to adopter needs</li> </ul>
Customer Design Authority (CDA)	<ul> <li>Regular meeting of adopters and children to test ideas and pathways for Adoption Tees Valley to ensure it is focusing on customer needs.</li> <li>Key role in Implementation and Transition phase to ensure design principles flow through into detailed practice design.</li> </ul>
Implementation Group	<ul> <li>Operational group responsible for ensuring detailed activities to set up Adoption Tees Valley are underway and dependencies are tracked</li> <li>Reporting up to Project Board and LA Sponsor on progress &amp; for key decisions</li> <li>Overseeing outputs from Workstreams to ensure fit for purpose</li> </ul>
Workstreams	<ul> <li>Action-owning groups responsible for specific aspects of setting up Adoption Tees Valley, per the detailed Workstream plans</li> <li>Leads for most Workstreams identified, members to be drawn from adoption teams and support workers</li> <li>Leads report into Implementation Group to update on actions and identification of any risks, issues and dependencies</li> </ul>

This governance approach has been effective in progressing the project to this key phase, the development of the full business case. Going forward, an updated approach is recommended for the transition and implementation phases. This is set out in Section 4 – Plan and Next Steps.

#### 2.4 Adoption Tees Valley - Vision

A draft vision for Adoption Tees Valley was developed in March 2016 based on engagement with adopters, staff and VAAs:

'To achieve the best possible adoption outcomes for children and adopters, through the provision of high quality and timely services delivered by an effective and financially sustainable organisation.'

This is further developed in section 3.1.

#### 2.5 Delivery Model

The Outline Business Case (OBC) considered seven delivery options for Adoption Tees Valley, and concluded that a separate legal entity such as a Local Authority Trading Company was the preferred option.

However, since the approval of the OBC, a review of the delivery vehicle has been undertaken. This involved the Directors of Children's Services and Directors of Finance from the five Tees Valley local authorities. The review, endorsed by the five Chief Executives, concluded that there will initially be a shared service hosted by a local authority for the following reasons:

- Ease of implementation focus should be on service delivery rather than the complexities of setting up a legal entity.
- Cost allowing ATV to commence business without the overhead of creating and running a company.
- Risk allowing the service to commence activity and stabilise within a local authority framework.

Stockton emerged as the preferred organisation to host the new service. It is the biggest authority with the greatest capacity and is centrally located in the Tees Valley. Ofsted rating for Children's Services overall and for Leadership, Management & Governance is good.

The ambition is that the hosted service will be designed and governed in a way that has all the benefits of a separate entity but without the organisational complexities and challenges. Service design principles are that:

- Stockton will be the host authority for 'pay and rations' purposes only and a governance model will be in place which ensures all five local authorities have an equal say in the running and future development of the Tees Adoption Service;
- Adoption Tees Valley will have it own identity, branding, and discrete location; and
- Adoption Tees Valley will use Stockton's organisational policies and procedures as the employing authority, however new service specific policies and procedures will be developed which govern service delivery.

Once the service has gone live, a review will be undertaken after approximately 18-24 months of operations to consider whether moving to a separate legal entity would be appropriate.

#### 2.6 Overview of the Operating Model

Colleagues from all five Local Authorities and from Voluntary Adoption Agencies (VAAs) were involved in planning ideal 'journeys' for the child, adopter and birth parent. A summary of the ideal experiences for these three service user groups are detailed in Section 3 below and form the key principles which will underpin the Adoption Tees Valley service. Adoption Tees valley will be led by a Service Manager who will work to create a culture of openness and honesty throughout the adoption process with all service user groups at the heart of the process. Relationships and close working between the Adoption Tees Valley team and the social work teams in the local authorities will be crucial in order to make this a success.

#### 2.6.1 Strategic risks

Risks have been monitored and managed throughout the project this far with a report to Management Board on a monthly basis. The risk log has now been reassessed as the project moves from FBC into transition and implementation phases. A schedule of the risks is attached at Appendix A.

#### 2.6.2 Stakeholders and consultation

The Management Board is the key forum to ensure stakeholders have a voice and input in the creation of the Adoption Tees Valley service. The Board is made up of the five TV local authorities, five Voluntary Adoption Agencies, Adopters, education and health partners.

Heads of Service, Service Leads, Team Managers and Social Workers from all five Local Authorities and Voluntary Adoption Agencies have been involved throughout the planning and development process. The voice of adopters and adopted young people is also critical to the success of the project. To ensure the experiences of those who are experts in adoption are understood, significant consultation on the ideal child, adopter and birth parent journey took place in the summer of 2016 and these informed the Outline Business Case.

In addition to service design, workstreams focusing on workforce, staffing and practice and design have been led by operational experts in adoption from each of the all five Local Authorities and Voluntary Adoption Agencies.

#### **3. ADOPTION TEES VALLEY – OPERATING MODEL**

#### 3.1 Adoption Tees Valley - Vision, Strategic Objectives and Scope

#### 3.1.1 Vision

The vision for Adoption Tees Valley was developed in March 2016 based on engagement with adopters, staff and VAAs:

'To achieve the best possible adoption outcomes for children and adopters, through the provision of high quality and timely services delivered by an effective and financially sustainable organisation.'

#### **3.1.2** Strategic Objectives

Objective 1 – To Deliver Better Outcomes for Children and Families

To be measured by:

- Improved timeliness of adoption
- Ensure a broader range of children can be adopted (including older children and those with more complex needs)
- Expand the number and choice of adopters, and the range of families who adopt
- A reduction in the number of adoption breakdowns
- Effective support for children and families throughout the adoption journey
- Children's views, feelings and wishes are central to the decision making process
- Children's identity and diversity are valued
- Children are safe and supported to reach their potential
- Adopters are listened to and their needs are met

Objective 2 – To Deliver Improved Value for Money

To be measured by:

- Achieving financial robustness and sustainability
- Realising medium to long term potential for cost savings
- Maximise the opportunity for income including accessing government grants
- Success at recruiting Adopters that can meet the needs of children to be placed for adoption.

Objective 3 – Establish a Strong and Sustainable Services

To be measured by:

- Meeting the partnership's strategic priorities, as agreed by the Board
- Effective governance, accountability and control
- Attract and retain the best staff
- The creation of opportunities for innovative practice and skill development
- Effective promotion of the business

Objective 4 – Ease of Implementation for the new Partnership

To be measured by:

- Cost of implementation
- Timescales for implementation
- Legal and procurement implications

Objective 4 will be reviewed as part of the programme of implementation and through a Post Implementation Review. Objective 4 will not be carried forward once the service is live, when the success of implementation will be measured by Objective 3, the sustainability of the organisation.

Objectives one, two and three will be measured through the Balanced Scorecard and performance management and report processes.

A review of performance against the objectives detailed in the Business Case will be undertaken after three years.

### 3.1.3 Scope

Through the development of the Outline Business Case and further refinement, agreement has been reached on the functions that could be within and outside of scope of Adoption Tees Valley. The table below sets out how the organisation and local authorities will work together, summarising roles and responsibilities for each:

## Table 3.1.3.1 Adoption Tees Valley Scope

Function	Regional	Local Authority
Function	Adoption	Local Authority
	Agency	
RECRUITMENT AND ASSESSMENT	Agency	
Marketing and Recruitment Strategy	V	
Adopter Recruitment and Enquiries	V	
Assessment of Prospective Adopters – all Stage One	V	
and Stage Two functions		
Pre-approval training	V	
Completion of Prospective Adopter Report	V	
Panel	V	
Agency Decision Maker for approval of adopters	V	
Post approval training	V	
Matching	V	
Post Placement training for Prospective Adopters	V	
PERMANANCE PLANNING		
Relinquished babies	V	
Early identification of a child possibly requiring		V
adoption		
Tracking and monitoring the child possibly requiring	V	V
adoption		
Support and advice to child care social worker on the	V	V
adoption process		
Sibling or other specialist assessments if	V	
commissioned by LA		
Direct work to prepare child prior to placement	V	V
Preparation of the Child Permanence Report		V
Agency Decision Maker for "Should be placed for		V
Adoption" decisions		
Case management prior to the point agreed by the LA		V
ADM		
Case management from point agreed by the LA ADM	V	
MATCHING AND PLACEMENT	1	
Family finding	٧	٧
Looked After Child reviews	V	V
Shortlist and visit potential families	V	
Organising child appreciation day	V	
Ongoing direct work to prepare child prior to	V	V
placement		
Adoption Panel administration and management	V	
Agency advisor role	V	
Agency Decisions Maker for Matching prospective	V	V
adopters and child		

Function	Regional Adoption Agency	Local Authority
Placement Planning meeting administration and	V	
management of introductions	V	
Support to family post placement and planning and delivery of adoption support	V	
Ongoing life story work and preparation of Life story book	V	V
Independent Review Officer monitoring of quality of child's care and care plan		V
Support prospective adopters in preparation and submission of application for Adoption Order – including attending at court	V	
Preparation of later life letter	$\checkmark$	V
ADOPTION SUPPORT		
Assessment for adoption support	V	
Developing and delivering adoption support plans	V	
Agree and administer financial support to adoptive		V
families pre and post Adoption Order		
<ul> <li>Adoption support delivery including:</li> <li>Support groups</li> <li>Social events</li> <li>Post adoption training</li> <li>Independent Birth Relative services</li> <li>Support with ongoing birth relative contact</li> <li>Specialist Life Story practitioners</li> <li>Adoption counselling and training</li> <li>Access to records</li> </ul> Financial support to adopters including adoption allowances	V	√
NON-AGENCY ADOPTIONS		1
Step parent/parent adoption assessments	V	
Inter-country adoption assessments and post approval and post order support	V	

## 3.2 Ideal experience from child, adopter and birth parent perspective

As the starting point for developing the new service able to deliver the agreed vision and strategic objectives, a range of local authority and voluntary adoption agency staff were engaged through workshops in August and September 2016 to identify the ideal experience and journey through the service from the perspective of children and adopters. This aimed to ensure that the principles and practice underpinning the new organisation are based on collaboration between professionals, and harness the collective knowledge and expertise of those delivering adoption services and other, inter-dependent services for children and families.

At the service design workshops a range of professionals (including VAAs, adoption service and children's social worker representatives) developed the ideal experience for each key stage of the journey to adoption, from the perspective of children and adopters. To do this the group drew on findings from the adopter survey completed in March 2016 and the adopter focus groups completed in May 2016.

This has provided the basis for the design of Adoption Tees Valley processes, pathways, roles and functions set out in this document and appendices.

To capture and communicate the ideal experience 'pen pictures' were developed for children, birth parents and adopters. In the sections below the ideal experience of each stage in the journey for each stakeholder is distilled into a number of key principles which have guided and informed the development of processes, roles and functions.

## **3.2.1** Ideal child experience and key principles

	Stage	Key principle
1	Child becomes known to social care	<ul> <li>Talk to and listen to me about what I want/ don't want</li> <li>Check back what you have written about me with me</li> <li>Do all possible to make me feel supported and safe</li> <li>Give me the right information about how you are helping them and what this might mean in the future</li> </ul>
2	Pre-care proceedings and planning initiated	<ul> <li>Make sure I have a say in my future</li> <li>Keep explaining to me what is going on with me and my family and what my options are</li> <li>Make me feel safe and reassured</li> <li>Keep me with my sibling</li> </ul>
3	Care proceedings and planning	<ul> <li>Make sure my foster parents can support me and listen to me</li> <li>Let me know what is happening to my family/ parents</li> <li>Reassure me that what is happening to me is not my fault</li> <li>If I'm confused, angry or frustrated understand why and help me to deal with this</li> </ul>
4	Family finding	<ul> <li>Try to find me a forever home where this is possible and appropriate</li> <li>Keep me together with my brother or sister if this is what I want</li> <li>Help me to carry on writing my life story</li> <li>Support me to keep in touch with my foster carers if this is</li> </ul>

#### Table 3.2.1.1

	Stage	Key principle
		<ul> <li>important to me</li> <li>Explain what adoption is and what it could mean for me and manage my expectations.</li> </ul>
5	Matching	Make sure I'm well prepared for events and activities where I could meet a forever family
6	Placement and post adoption support	<ul> <li>Give me the chance to meet and get to know my adoptive family before I move in</li> <li>Ask me whether I'm happy with my new adoptive family</li> <li>Be there for me to talk to if I have any worries or concerns or want to talk to someone outside of my family</li> <li>Let me know how my birth parents and foster parents will be told about how I'm doing</li> <li>Let me speak to the worker who took me through the process when I want to and don't forget about me</li> <li>Help me to deal with my feelings, issues and emotions now and in the future.</li> </ul>

# 3.2.2 Ideal adopter experience and key principles

Tabl	e 3.2	2.2.1

	Stage	Key principle
1	Pre enquiry	<ul> <li>Provide information on adoption in different ways and through different media</li> <li>Make sure information available online directly addresses my concerns and queries</li> </ul>
2	Enquiry	<ul> <li>Make RAA website and webpages easy to find and navigate</li> <li>Make sure information about next steps and contact details is clear</li> <li>When I call through make sure I don't have to wait for long and that my call isn't passed around</li> <li>Be friendly and warm when you take my call</li> <li>Have answers ready for the sort of questions I'm likely to ask</li> <li>Reassure me if I have any concerns.</li> </ul>
3	Preparation for training and assessment (Stage 1)	<ul> <li>Give me and my family a clear overview of timescales, processes etc from the outset</li> <li>Help me to prepare for adoption process e.g. with reading</li> <li>Be sensitive, honest, open and transparent about the process with me</li> <li>Challenge my assumptions and preconceptions about the sort of child/ children I'm looking for.</li> </ul>

	Stage	Key principle
4	Training and assessment (Stage 2)	<ul> <li>Make me involved and part of the process throughout and update me regularly</li> <li>Make sure training is useful and relevant, involves adopters and is delivered by experienced, insightful trainers</li> <li>Help me to challenge my assumptions (or thinking?) about adoption and consider all of the options open to me</li> <li>Ensure assessment is managed sensitively and that my worker can support me through it</li> <li>Make me fully aware of the type of questions I'll be asked at panel</li> <li>Make me feel comfortable and welcome at panel meeting.</li> <li>Fully prepare me for being an adopter</li> </ul>
5	Matching	<ul> <li>Give me clear and detailed information about the matching process and what I can expect</li> <li>Give me the opportunity to speak to people who have been through a similar experience</li> <li>Give me the opportunity to meet with potential matches face to face where possible/ appropriate</li> <li>Give me further opportunities to get to know prospective matches, find out about them and their story and meet their foster carers and social workers.</li> </ul>
6	Placement and post adoption support	<ul> <li>Be clear and upfront with me about the sort of challenges I could face now and in the future and how to pre-empt these</li> <li>Give me support and advice on what the needs of my child may be and how to meet these particularly in relation to attachment and emotional health</li> <li>Give me a support package which is tailored to the needs of me and my family</li> <li>Be there to support me if I have problems or concerns in the future</li> <li>Give me the chance to access support and advice from other adopters who have been through similar experiences.</li> </ul>

# **3.2.3** Birth parent experience and key principles

## Table 3.2.3.1

	Stage	Key principle
1	Child becomes knows to social care	<ul> <li>My consent has been given</li> <li>I am kept informed of what is going on</li> <li>I have a worker who advocates for me</li> </ul>
2	Pre-care proceedings and planning initiated	<ul> <li>Good relationships are maintained throughout the process</li> <li>My strengths as a parent are recognised during assessment</li> <li>I know what to expect and who can help me</li> </ul>

	Stage	Key principle
		• I have shared with my worker who in my family may be able to look after my child if I can't
3	Care proceedings and planning	<ul> <li>I am prepared and am told straight away when the judge agrees that adoption is going to happen</li> <li>Workers are always open and honest with me</li> <li>I know who my child is living with, I have met them and told them what my child likes and needs</li> <li>I have a consistent worker who can tell me how things are for my child</li> <li>I am involved in the CLA review process and share my views which are heard</li> <li>All those involved in my child's adoption know that my actions may be as a result of the pain that I am feeling</li> </ul>
4	Family finding and matching	<ul> <li>I contribute to my child's Life Story</li> <li>My views of who can care for my child are listened to</li> </ul>
5	Placement and post adoption support	<ul> <li>I am aware of what needs to happen to avoid losing future children</li> <li>I understand what contact will happen with my child and how who and how this will be arranged</li> <li>I am offered support with grieving and the door will always be open to me for help and support</li> </ul>

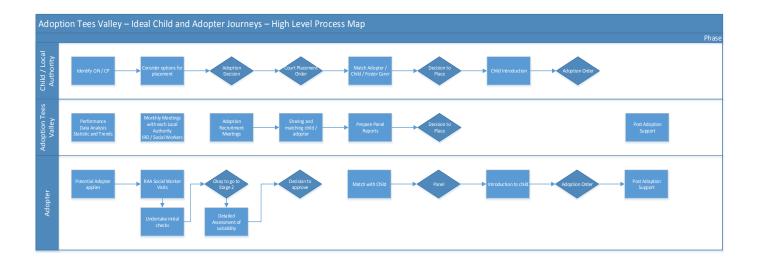
## **3.3 Adoption Tees Valley - Processes and Pathways**

In the service design workshops in August and September 2016 attendees used the agreed 'ideal' child and adopter experience to map the activities, pathways and processes which Adoption Tees Valley will be required to deliver.

These involved practitioners working through the 'pen picture' for each stage and identifying the ideal pathway and best practice needed to deliver that experience across the child, adult and birth parent journey.

The map in Appendix C sets out the detailed activities and processes proposed to support the child and adopter journey and the links/ dependencies across both. The figure below summarises this.

Figure 3.3.1 : Adoption Tees Valley process map included in Appendix C,



## 3.3.1 Development of ideal child and adopter journey

The development of this map required LA representatives from children's social work and adoption teams, and representatives from VAAs to establish a common process for supporting children and adopters through adoption to deliver the identified optimum experience.

The map in the top half of Appendix C provides a detailed 'blueprint' for key activities and processes needed to deliver the ideal journey to adoption from the perspective of a child, from pre-care proceedings to placement and post adoption support.

The map in the bottom half of Appendix C provides a detailed 'blueprint' for key activities and processes needed to deliver the ideal journey to adoption, from the perspective of an adopter, from pre-enquiry through to post adoption support.

The area in the middle of Appendix C provides proposed pathways, processes and activities to manage the links and dependencies between the child journey and adoption journey, and between Adoption Tees Valley and LAs / VAAs.

The whole map provides a procedural 'blueprint' for Adoption Tees Valley and the basis for the development of the detailed Adoption Tees Valley service delivery model (from process/policy documents to ICT requirements) which is directly informed by and built around the needs of children and adopters.

Further detailed work will be undertaken during the Implementation and Transition phase to further refine and streamline this work with a series of Lean reviews.

## **3.3.2** Adoption Tees Valley - Roles and Functions

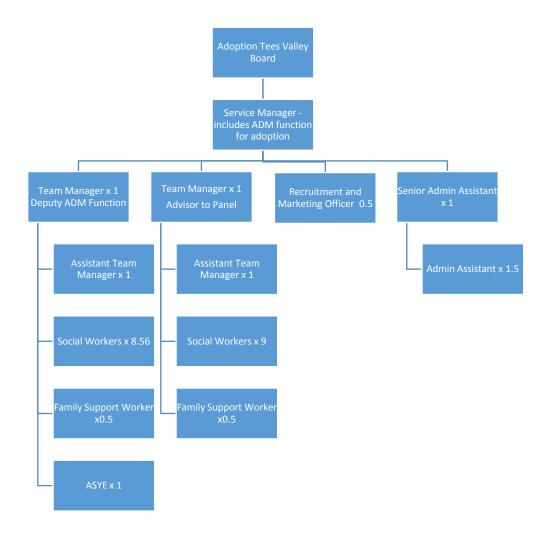
Based on the agreed activities, processes and pathways, the key roles and functions of the Adoption Tees Valley service were identified. This is set out in the section below and annotated on the adopter journey detailed in Appendix C.

Pro	posed functions - Adoption Tees Valley	
1.	Advertising and marketing to generate adopter enquiries	12. Monitoring Post Adoption Support
2.	Managing initial enquiries and contact	13. Collaborating with LAs / VAAs on forecasting, matching and panel process
3.	Assessment and training of adopters	14. Administering and coordinating Panel meetings
4.	Collaborating with LAs / VAAs on adopter recruitment	15. Collaborating with LAs / VAAs on Post Adoption Support
5.	Supporting adopters through the assessment process (including assessment)	16. Providing training and support to LAs / VAAs
6.	Coordinating adopter peer support	17. Managing and supervising ATV teams and individuals
7.	Finding and matching families and children	18. Managing performance of teams and service
8.	Managing matching, panel and placement process	19. Managing, supporting and coordinating ATV Board
9.	Managing approval process	20. Managing case recording systems, appointments and administration
10.	Assessing needs for Post Adoption Support (including financial allowances)	21. Managing staff recruitment, retention and workforce development
11.	Delivering / commissioning / brokering post adoption support	22. Managing ATV financials.

#### Table 3.3.2.1 Proposed Functions - Adoption Tees Valley

The Practice and Organisation Design Group then translated the functions of Adoption Tees Valley into operational roles that will be required to deliver the functions and developed a new organisational structure.

Table 3.3.2.2 Proposed Structure - Adoption Tees Valley



A number of staffing options have been discussed within the Practice and Organisational Design work stream. The finalised agreed budget for staffing is £1,202,205. The structure indicated in table 3.3.2.2 is calculated to cost £1,213,087, a budget increase of £10,910. There is also expected to be salary protection payments of approximately £5,000 pa in the first two years. A salaries savings target of around £16,000 will therefore be needed to ensure ATV manages within the agreed staffing budget. It is expected that this can be achieved as all posts have been budgeted for at the top of the grade and through savings from staff turnover. The structure includes:

- A Service Manager: provision of ADM function, reports directly to the Adoption Tees Valley Board
- Two Team Managers: one to provide ADM resilience and one to act as advisor to panel; supervision of all Social Workers and management oversight of their cases
- Two Assistant Team Manager : to provide additional management capacity to Team Managers
- 17.56 Social Workers plus 1 ASYE
- Two (1 FTE) Family Support Workers to support Life Story Book work

- A part time (0.5 FTE) Recruitment and Marketing Officer: responsible for coordinating recruitment of adopters including liaison with fostering teams in each LA for joint recruitment opportunities
- One Senior Admin Assistant: co-ordinating panel process together with oversight of general administrative duties
- 1.5 Admin Assistants: providing preparation and support to Panel.

## 3.4 Property

The preferred location for a property is in Stockton. This is due to its central location within the Tees Valley, proximity to Stockton support services and ICT connectivity. A specification has been developed and a search for an appropriate property is being conducted within a review of all property with the Stockton Borough Council portfolio. An allowance for the costs of property has been costed for within the overall total for support services.

Key features for the property are:

- It is assumed all the team will use one base.
- A front reception for the public.
- A training room.
- Ideally two meeting / waiting rooms.
- Space to hold confidential files this will need to meet security and regulatory requirements as data is highly confidential.
- Ideally set up for flexible working.
- Car parking for visitors and if possible staff.

## 3.5 ICT

A full assessment of ICT business case implications is attached at Appendix B. There are still several issues to be determined which will direct the ICT implementation, these are:

- Accommodation once the building is determined then the extent of connectivity issues can be assessed.
- Client system a decision has yet to be made on which system will best support adoption agency practice. Work has commenced on application assessment which involves representatives from Hartlepool and Middlesbrough and is being led by an ICT Project Manager/Business Analyst from Xentrall Shared Services. A Lean Review of the detailed working practices for Adoption Tees Valley will take place during September and October 2017. From this a

requirements specification will be developed, followed by market testing, procurement, evaluation etc. There is a possibility that the line of business system will not be fully implemented at the time the ATV goes live but this is not considered to be a major risk to the business and alternative ways of working will be implemented at initial go live.

• Work styles – the Lean reviews will determine the optimum work style for each role within the organisation. The equipment for each worker will then be able to be ordered and configured.

## 3.6 HR

A workstream has been established to manage all HR issues arising from the creation of the Adoption Tees Valley service. It has representatives from all five Tees Valley Borough Councils and is led by Stockton. The impact for individual members of staff is still being assessed and full consultation will take place once this is formulated. Adoption social work is undertaken as part of a number of people's role so the potential number of staff impacted is disproportionately high. This is demonstrated by the table below:

Council	Potential no. of Staff Impacted	Baseline FTE
Darlington	17	3.00
Hartlepool	7	3.30
Middlesbrough	13	10.23
Redcar & Cleveland	9	5.86
Stockton	22	5.64
Total	68	28.03

Table 3.6.1 Staffing Numbers

The detailed workplan and timescale will form a key part of the Transition and Implementation stages. Key tasks include:

- Staff and Union consultation
- Baseline current staffing structures (completed)
- Agree the principles to be adhered to in the management of change
- Former DBC staff pensions transfer
- Develop outline staffing structures / Job Descriptions / Person Specifications and Job Evaluation
- Agree those employees who have a right to be transferred under the TUPE Regulations to the new service. Agree terms and conditions of service.

- Recruit Service Manager Adoption Tees Valley
- Recruit into remaining posts / TUPE transfer
- Training and development

## **3.7** Performance Management and Information Governance

## 3.7.1 Performance Management Framework

The performance management strategy is designed to provide a clear framework on how Adoption Tees Valley will manage its business and be accountable to the Board on the delivery of the agreed business and performance improvements.

The diagram below shows the different stages of performance management and how they link together in a continuous cycle:



Performance management is ultimately about ensuring the delivery of efficient, high quality, value for money services for customers which are the five local authority delivery partners, the voluntary adoption agenices and everyone who uses the service especially prospective Adopters, Adopters, Children and Young People.

There will be a clear set of performance indicators that will support Adoption Tees Valley and the Strategic Management Board to assess how well the service is performing against the strategic objectives at each level of the organisation from the high-level objectives to objectives for teams and individuals. The key performance indicators must give a balanced picture of performance that reflects all aspects of the service. Adoption Tees Valley will use the Balanced Scorecard approach to make sure there is a comprehensive and detailed picture of performance including both quantitative and qualitative measures.

The scorecard covers four key aspects of performance:

- **Customers** this looks at the impact of the Partnership in terms of the community, services users and customers. It involves looking at how well Tees Valley Adoption has met the needs of service users and the perception of the organisation from the viewpoint of the community / service user which will include outcome indicators like customer satisfaction, and other feedback from users such as compliments and complaints.
- **Business** this focuses on how well the processes which are critical to effective service delivery are working, for example it might involve looking at aspects such as speed of response. This encourages managers to identify what the key business processes are, to look at performance in carrying out those processes and to establish targets for improving performance.
- **Resources** these indicators focus on how well the Partnership's resources are being used and might include finance, equipment or other physical assets.
- **People** indicators in this aspect focus on actions or initiatives intended to deliver service improvements, these might for example include employees training and development.

Finance Measures	Business Measures
<ul> <li>Budget</li> <li>Net adoption position (number of placements with Tees Valley Adfoption adopters and number of placements outside the service)</li> <li>Cost of Adoption</li> </ul>	<ul> <li>13 DfE Adoption Scorecard indicators:</li> <li>Some will be the responsibility of the LA</li> <li>Some will be joint</li> <li>Some will be TVA</li> <li>Outcome measures as identified in adoption national standards</li> </ul>
Employee Measures	Customer Measures
<ul> <li>Employee satisfaction (annual survey)</li> <li>Employee training / workforce development (CPD)</li> <li>No of days sickness</li> <li>Annual Turnover</li> </ul>	<ul> <li>Adopter satisfaction</li> <li>Adoptee satisfaction</li> <li>Partner local authority Children's Social Care satisfaction</li> <li>No. of Complaints / Compliments / Comments</li> <li>No. of FOI requests</li> </ul>

## 3.7.2 OFSTED and Regulatory Framework

Adoption services are inspected by Ofsted through their inspection framework. The advice that has been given by OFSTED is that the inspection framework (from January 2018) will consider the child's experiences in relation to adoption through the local authority inspection framework.

The RAA will need to provide information to the local authority in relation to adoption activity for children placed by the respective Council in particular information in relation to the timeliness and quality of service. The Local Authority will need to demonstrate how it is ensuring itself of the quality of the adoption service delivered by Tees Valley Adoption on its behalf.

If ATV becomes a legal entity in the future it will be a classified as a VAA and OFSTED have advised that it may be inspected in its own right, however, the VAA would need to take its own legal advice on this matter.

## 3.7.3 Information Governance

Information governance protocols will ensure that outcomes are delivered with regards to:

- Data Protection registration
- Privacy Impact Assessment
- Information Sharing Agreements
- Records Management / Storage / retention
- Information and Data ownership
- Freedom of Information
- Complaints / customer feedback / escalation policy / role of Adoption Tees Valley Board
- Training and Awareness
- Lone Working policy
- IG policies and procedures

And compliance with:

- ISO27001 Information Security Management System standard,
- PSN and PCIDSS requirements,
- ISO9001 Quality Management System standard
- Compliance with HSCN connection requirements
- Adoption Agencies Regulations and National Minimum Standards

## 3.8 Communications and Marketing

Adoption Tees Valley will have its own identity and its own brand. Part of the implementation project will include developing a logo and design for the organisation which is in keeping with its principles and vision. Adoption Tees Valley will have its own:

- Website and URL <u>www.adoptionteesvalley.org.uk</u>
- Email addresses will be <u>an.other@adoptionteesvalley.org.uk</u>
- Letterheads

The organisation needs to have a recognised and trusted brand with a high profile with all key stakeholders, local people and other Adoption Agencies who may want to work with it.

Local authorities will amend all their existing Adoption marketing material, including websites and leaflets, so that they are signposting people to the new organisation.

Marketing and recruitment campaigns will be a major activity for Adoption Tees Valley and it needs to build on the best practice which is in place across the partnership.

## **3.9 Governance Arrangements and Legal Implications**

As described in section 2.5 (Delivery Model) it is proposed that Stockton BC will host the Adoption Tees Valley service for the purposes of pay and rations. The diagram below shows the governance framework for the organisation with the Board holding a pivotal role and being the accountable body for performance, practice and operations. The Authorities will enter joint arrangements under Section 101 of the Local Government Act 1972.

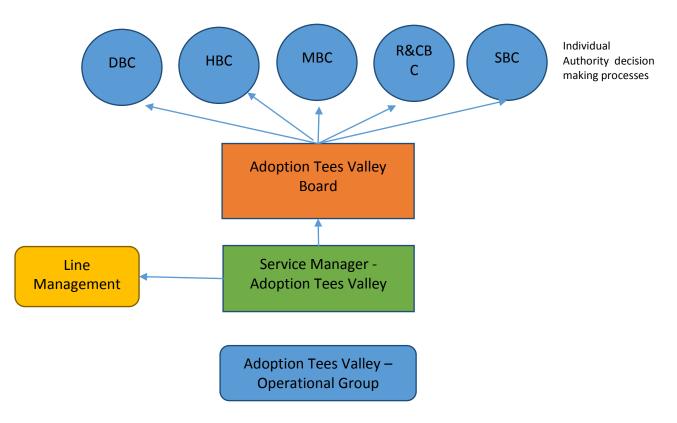


Figure 3.9.1 Governance Model

#### Adoption Tees Valley Board

The purpose of the Board is to be responsible for the strategic oversight of Adoption Tees Valley.

The principle functions of the Board are to:

- Agree the Balanced Scorecard
- Agree the budget and recommend to the authorities the appropriate financial contributions
- Monitor performance and volumetric data
- Develop strategy and set strategic direction for the organisation
- Evaluate the impact of legislation and ensure implementation as appropriate
- Evaluate the effectiveness of the service in meeting strategic objectives
- Agree changes to service design and delivery

Board Membership will be:

- Directors of Children's Social Care or their representatives (Authorised Officers) for Darlington BC; Hartlepool BC, Middlesbrough BC, Redcar and Cleveland BC, Stockton BC
- Voluntary Adoption Agencies
- Adopters and Adoption experienced individuals
- Health partners
- Education partners
- Additional stakeholder representatives with specific remits as determined by the Board

The Board will be responsible for appointing the chair of Adoption Tees Valley Board.

#### Service Manager - Adoption Tees Valley

The Service Manager will be responsible for the strategic development and operational management of Adoption Tees Valley, reporting to the Adoption Tees Valley Strategic Management Board. Specifically:

- Managing Adoption Tees Valley on behalf of the Authorities
- Delivering the service in line with the agreed design and ambition as set out by the Board
- Managing performance of Adoption Tees Valley Service
- Managing expenditure from within the budgets set by the authorities and in accordance with the agreed Service Plan
- Submitting quarterly reports and an annual report to the Board to enable them to monitor the success of Adoption Tees Valley

Line management and supervision, of the Service Manager, it is proposed that either:

- a. Independent supervision is provided (preferred, but budget dependent)
- b. A partner Council provides supervision

HR matters would be dealt with by Stockton Council as the employer, but under guidance from the Board.

### **Local Authority Members**

The Director of Children's Services (DCS) for each Local Authority will be responsible for ensuring that the requirements of local authority democratic processes are met through reporting to Elected Members / Portfolio Holders. There will be an opportunity for Lead Members to meet on a regular basis to receive updates on the RAA and visit the service. Under the National Minimum Standards for Adoption, there is a requirement that the executive side of the local authority receives six monthly report detailing the management outcomes and functioning of the adoption service.

The DCS will appraise Members and Directors of Finance, of any financial or budget implications for Adoption Tees Valley which has an impact on the Local Authority, seeking authority to proceed with any changes which are recommended by the Board. This recognises that financial decisions outside the normal / agreed budget, will need to be approved by all five Local Authorities.

It is proposed that each Council reviews their Scheme of Delegation to support this arrangement

### **Voluntary Adoption Agencies**

It is proposed that the VAAs continue to be partners in Adoption Tees Valley in an advisory capacity. They may be invited to attend Board meetings or the Board may want to set up a separate Forum for the VAA to ensure its views and issues are taken into consideration.

### **Customer Design Group**

A Customer Design Group will be established as a reference group once Adoption Tees Valley is live. The Voice of the Adopter and the Voice of the Children and Young people will be considered through this group.

## 3.10 Finance

## 3.10.1 Approach

The Finance Workstream consisted of representatives of all five councils and has collected and modelled data to create an acceptable funding model. The Finance Workstream has used the existing Tees Valley Directors of Finance Group as a reference point. The recommendation contained in the FBC has been ratified by the Directors of Finance Group.

## 3.10.2 Baseline costs

Baseline financial information has been collected for the five local authorities. The purpose of collecting base line data is to provide a comparator to the proposed budget for ATV, allowing the proposed budget to be compared against the cost of current arrangements. The base line information also allows comparison to the proposed split of the cost of ATV budget between the five Councils to allow each authority to consider their resource position.

The collection of baseline data has involved the investigation of spend at each Council on the work areas that are included within scope for ATV. Not all of the five Councils have a separate team for adoption services (there are Family placement teams at a number of the Councils that cover both fostering and adoption) therefore an estimation of the split of costs between the services has had to be taken.

A number of alternative methods of putting together baseline financial information were considered in creating the final baseline position; for example, current year's budget, previous years spend, average spend over three years. Each methodology was tested within the finance group to ensure that the most reliable/accurate data could be produced for the baseline. The final baseline figures were agreed as follows.

**Staffing** - the most appropriate data to use was the 2017/18 (current) budget. Both the average spend and actual spend figures produced some large variances as Councils have experienced staff turnover/changes during those years. It was felt that the current budget accurately reflected what resources were available to each Council with regard to staffing budgets and therefore this should be the baseline used. Several Councils have a budget allocation for staff turnover within their budget (i.e. budgeting for vacant posts); this has been included in the base line for determining the total cost of the ATV budget.

**Running costs and Inter-Agency Fees** - the most appropriate data to use was the average spend for the last three years. This method was chosen rather than using current budgets as it ensures that the resources reflected the demands rather than budgets that could be either over or under provided for. A three-year average was

used to provide a more typical level of spend rather than capturing a year where expenditure was particularly high or low for any Council(s).

Baseline	D'ton	H'pool	M'bro	Redcar	S'ton	TOTAL
Staffing baseline cost (2017-18 Budget)	£153,549	£157,948	£402,337	£237,658	£250,713	£1,202,205
Running Costs (3 year average)	£72,147	£29,725	£47,686	£22,650	£55,992	£228,200
Baseline Cost (excluding Inter-agency Fees)	£225,696	£187,673	£450,023	£260,308	£306,705	£1,430,405
Baseline Cost (excluding Inter-agency Fees)	15.8%	13.1%	31.5%	18.2%	21.4%	100%
Net Inter-agency Fees (3 year average)	£90,038	£37,305	£228,893	£58,774	£195,054	£610,064
Total Baseline Cost	£315,734	£224,978	£678,916	£319,082	£501,759	£2,040,469
Total Baseline Proportion	15.5%	11.0%	33.3%	15.6%	24.6%	100%

### 3.10.3 ATV Budget and funding options

An overriding principle of the business case development is that ATV can cost no more than current baseline costs

There are many methods that can be used to allocate a share of the costs to each partner Council. These include allocating the shares based on one or more of a number of metrics. In addition, different elements of the cost of the service could be charged differently, and there could also be a combination of fixed and variable elements within the contributions.

It is the preference of the contributing councils that the method should be as simple as possible whilst also being fair and equitable and minimising financial turbulence.

A number of metrics have been considered regarding the allocation of the costs.

These are: Current baseline costs Number of adoptions Number of Care Applications received

Number of Placement Applications received Total Population Population 0-15 years Population 0-10 years Number of LAC children

Exemplifications were produced for each of the above metrics. The outcome was considered by the Tees Valley Directors of Finance who concluded that these costs will be split on the basis of the current budgets. The budget allocation of £1.43m being split as detailed in paragraph 3.10.2 and in summary results in the following contributions.

Darlington	£226k (15.8%)
Hartlepool	£188k (13.1%)
Middlesbrough	£450k (31.5%)
Redcar & Cleveland	£260k (18.2%)
Stockton	£307k (21.4%)

The above funding formula will be fixed for future years to provide a stable financial base for the RAA and the five local authorities. . Any savings/overspends will be split between the five Councils on the same percentage basis as they have put in. No savings target is set for year one, however future savings / increased adoptions will be expected as the service benefits from efficiencies/economies of scale.

## 3.10.4 Inter-agency Fees

Inter-agency fees can vary significantly year on year based on demand, the level of in-house capacity to meet that demand, and the specific matching requirements of children being placed for adoption. Over the last three years spend has been fairly consistent across the Tees Valley, not varying too widely from the three-year average of £610k. However, there are ups and downs within this position for individual councils. A three-year average has been used to provide a more 'typical' level of spend rather than capture a year where expenditure was particularly high or low for any council(s). The Tees Valley Directors of Finance have concluded that:

- ATV will not be provided with the resource for inter-agency fees, the funding will stay with each Council.
- ATV will be set a target spend in year one of no more than £500k (net).
- It is expected that spend on inter-agency fees will decrease with a view to a nil net spend in future years. Year two onwards targets to be set at a future date.

 Any spend in year one will be charged to the five Councils on a split based on their share of the total average number of adoptions (ie. the total number of adoptions being the sum of both inter-agency and non inter-agency adoptions) over the last three year period. This element of the funding formula will also be fixed for future years and will reflect the following percentage contributions:

	Percentage contributions (based on average annual adoption numbers 2014/15 to 2016/17)
Darlington	20.2%
Hartlepool	14.0%
Middlesbrough	27.2%
Redcar and Cleveland	14.0%
Stockton	24.7%
	100.0%

## **3.10.5 Support Services**

Support Services are to be provided by Stockton Council. These have not been finalised as yet, but an upper working estimate of £0.180m is being used. This is made up of Premises (£0.080m), ICT (£0.070m), and Finance/HR/Legal (£0.030m). These costs have not been included in baseline costs. Once the actual budget is agreed, this will be split between each Council on an equal share basis.

## 3.10.6 Set Up Costs

ATV will have some one off set up costs, in particular for the premises, ICT and project management requirement. These are yet to be fully quantified as some of these are dependent on decisions around working practices.

Set-up costs will be funded by the grant held by HBC until this is exhausted and only if this insufficient should any remaining costs be shared between the five councils.

### 3.10.7 Redundancy Costs

The position regarding redundancies will not be known until the final structure has been agreed and TUPE arrangements completed.

The ATV budget has no provision for redundancy costs incurred upon set up. It is expected that an effective management of change process will minimise redundancies. However, it is

proposed that any redundancy costs that are incurred upon set up will be shared equally amongst the five Councils

No provision has been built into the ATV budget for any future redundancies that may arise within ATV after inception. It is expected that any redundancies would occur either from a reduction in service requirement (i.e. less demand) or as a result of efficiencies within working practices. Both of these situations would create a saving within the ATV budget, therefore it is proposed that future redundancies would be picked up with the ATV budget, pre-the return of any savings to the contributors.

## **4. PLAN AND NEXT STEPS**

There are five stages to the project:



The current phase of the project has seen the formulation of this Full Business Case document. Attached at Appendix D is an updated overall project plan which shows that the Business Case will be developed for initial approval at the Board meeting in September 2017 and submitted to each local authority for full sign off and approval in October/November 2017.

Once the Full Business Case is complete the project will move into the implementation phases. Set out in Figure 4.1 is a diagram of each of the phases and the proposed timelines (high level) for each phase.

Implementation – the establishment of Adoption Tees Valley.

**Transition – Local Authorities** – looks at the reorganisation of the Local Authority services. This is particularly important for those LA's where Fostering and Adoption are currently combined services.

**Infrastructure Live** – this is the milestone in January which needs to be achieved to ensure a go live for the full service in April 2018. The milestones are set out below.

**Transition to Adoption Tees Valley** – this will be the period from January to April 2018 when the work of the new organisation takes over from the existing local authority arrangements. It also takes account of all the workforce development / team building and culture issues.

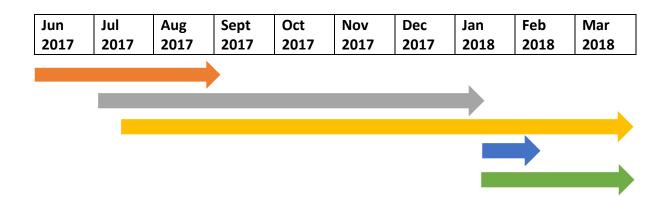
It is proposed that the initial work for Transition and Implementation commence as soon as possible to ensure a timely implementation. The impact of change on the local authorities cannot be underestimated. Additionally, go live is fully dependent upon a number of critical milestones being met:

- Service Manager Adoption Tees Valley recruited and in post
- Accommodation identified and made ready

- ICT system purchased and installed
- ICT networks established
- Staffing structure in place and recruitment completed
- Information governance issues resolved, including Data Protection registration and Information Sharing Agreements all signed off by the Caldicott Guardians
- Memorandum of Understanding / S101 agreement signed off by all five local authorities

#### Figure 4.1 Project Phases

Full Business Case	Implementation	Transition - LA's	Infrastructure Live	Transition to RAA
<ul> <li>Service Design</li> <li>Customer Interface</li> <li>HR Staffing</li> <li>Accommodation proposal</li> <li>ICT and Systems proposal</li> <li>Governance Model</li> <li>Critical Success Factors</li> <li>Overall business benefits / outcomes</li> <li>Financial Business Case</li> </ul>	<ul> <li>Legal</li> <li>Finance</li> <li>Performance Management</li> <li>HR &amp; Staffing</li> <li>ICT purchase and install</li> <li>Brand</li> <li>Information Governance</li> <li>Accommodation</li> <li>Communications and Engagement</li> <li>Design - policies and procedures</li> </ul>	<ul> <li>New Ways of Working</li> <li>New Staffing Structures</li> <li>Redesign of services (where fostering and adoption combined)</li> <li>Contracts</li> <li>Revised ICT</li> </ul>	<ul> <li>ICT</li> <li>Accommodation</li> <li>Head of RAA</li> <li>Transitional Budget</li> <li>Staff Structure</li> <li>Information Governance</li> <li>Legal / MoU</li> </ul>	<ul> <li>Set up ICT system / test</li> <li>Staff training / Workforce development</li> <li>Team Building</li> <li>Records Transfer</li> <li>Organisational Development / Culture</li> <li>Establish the business</li> <li>Logistics</li> </ul>



#### **Next Steps**

The immediate next steps are:

-	The Board to approve the financial business case and the HR	July / Aug 2017
	staffing proposals	

- The Full business case to be approved by Board Sept 2017
- Decision to proceed to be approved by all five Local Oct / Nov 2017
   Authorities

## **APPENDIX A – RISK MANAGEMENT**

Through the service design workshops and development of the business case, a range of risks were identified in relation to the development and implementation of the Adoption Tees Valley service. These are set out in the table below. For each risk the following is provided:

- Rating based on impact and likelihood (1=low, 5=high)
- Mitigating actions.

#### **Risk matrix**

Risk	Impact	Likeli- hood	Score	Mitigation
Performance and finance				
Unable to secure children or adopters to sustain model	5	2	10	Best practice activity to secure and forecast potential adopters and children as early as possible has been built into processes
Demand continues to fall as courts are seen to increase evidence threshold for placement orders and / or lose confidence in ability of TV LAs to find and support appropriate and stable placements	5	2	10	Build relationships with the courts; build a good track record with of achieving good outcomes for children and monitor trends carefully
Rise in adoption breakdowns	5	2	10	Best practice, experience and expertise has been built into service model
Costs of the new service are too high and or unsustainable	5	2	10	Detailed financial plans and close monitoring of both finance and performance.
ICT systems cannot be aligned impacting on delivery	4	2	8	Transition and Implementation phases will test feasibility of aligning ICT systems and establish a method for this.
Sharing risk and gain - there is a risk that one or more TV authorities might not commit due to lack of assurance on cost / benefit	4	2	8	Transparency and open dialogue about the potential risks and gains between authorities
The different Workstreams are dependent on each other and the sequencing of activity (e.g. design of Performance	4	2	8	Programme approach to co-ordinating the change work

Risk	Impact	Likeli- hood	Score	Mitigation
requirements and spec IT requirements) which could impact on the timely delivery of the new service.				
Under the Adoption Tees Valley model the LA (who has first contact with children) and Adoption Tees Valley (who will recruit adopters) will be split which could impact on process and relationships required for successful matching and timescales	4	2	8	Well-designed and effectively implemented pathways should mitigate this risk
Workforce				
Unable to transfer LA / VAA staff resource to Adoption Tees Valley where currently held across service areas	5	2	10	Develop and agree an approach to reconfiguring resource in each organisation to allow resource to be transferred Transition and Implementation phase
Unable to attract and retain the best adoption staff	5	1	5	Ensure Adoption Tees Valley provides an attractive and supportive offer to existing and prospective staff
Adoption Tees Valley fails to secure consistent high quality of service across internal and external workforce	5	1	5	Plan includes an Optimisation stage to support Adoption Tees Valley to achieve the practice model
Workforce and / or performance issues arising from 'culture clash' or failure to implement new processes and systems effectively	5	2	10	Include staff throughout the design and set up of the new service, ensure there is sufficient training on new processes
Wider stakeholders				
Fail to achieve buy in from Adoption Tees Valley staff	5	2	10	Ensure model and implementation is co-produced with staff
Fail to achieve buy in from adopters / children	5	2	10	Ensure design, implementation and delivery is developed in collaboration with adopters and children
Fail to achieve buy in of LA / VAA operational staff (e.g. Children's Social Workers)	4	2	8	Ensure model and implementation is co-produced with LA / VAA staff, and regular formal + informal lines of communication/ feedback
VAA presence in region is threatened destabilised	5	2	10	Ensure VAA role is clearly clarified and formalised in the design phase

## **APPENDIX B - ICT**

Adoption Tees Valley BUSINESS CASE

#### **ICT STRAND**

#### 1. Scene Setting

In the absence of final decisions and information in other key areas which impact on the ICT service provision, this proposal is based on the following assumptions and in the case of some, contains some options in light of these:

- 1. A team of around 30 staff.
- 2. Using a single office as a base which is connected to the Xentrall ICT network.
- 3. Working mobile and in other locations around the Tees Valley as and when necessary. Other locations may include; at home, at other Council offices, in client's homes, in public spaces, cafes and on the move.
- 4. Requiring suitable computing and fixed/mobile telephony provision.
- 5. Requiring the standard Microsoft Office suite of desktop software for email, word processing, internet etc.
- 6. Requiring access to a RAA specific adoption application for the management of caseloads.
- 7. Requiring the RAA adoption application to import and export records to the relevant Authority or organisation as necessary.
- 8. Requiring access to Stockton Council standard ICT services which are available to the typical Stockton Council ICT user e.g. Intranet, file storage.
- 9. Using the domain name <u>www.adoptionteesvalley.org.uk</u> for web and email presence.
- 10. Having a simple sign-posting and information giving, non-transactional RAA website (<u>www.adoptionteesvalley.org.uk</u>).
- 11. Requiring access to the Xentrall ICT supporting infrastructure and ICT services as with any other service of the Stockton Council.

### 2. RAA Office

The RAA office will require a network connection to Xentrall's ICT network and will also need a local area network installing around the office. A Wi-Fi service will also be installed for use by mobile devices e.g. smartphones, tablets and laptops, and will provide both corporate (for RAA devices) and public (for personal and visiting devices) Wi-Fi services.

Ideally the office will be an existing networked Stockton Council site. If not, for simplicity, a site/discrete office independent of any other existing organisation with ICT provision would be the next preference.

The following is a summary estimate of costs and all assume the office is not located in an existing networked Stockton Council building and displacing existing Stockton Council ICT users:

Network Item	Initial Cost	Annual Cost	Comment
100Mbps network link	£0	£8,000	Subject to survey and installation.
48 port network switch	£1,600	£0	
Office network cabling and cabinet	£2,500	£0	Assuming 30 network points.
Wi-Fi access points (x2)	£275	£0	Assuming 2 points are sufficient for the office area chosen.
Multi-Function Printing Device	£2075	Based on use	Canon C3520i £0.0157 per A3/4 b&w click £0.0571 per A3/4 colour click £0 per scan A4 paper £3.89/1000 sheets
Total	£6,450	£8,000	+ click and paper usage

### 3. RAA Application

A procurement exercise will be undertaken with RAA representatives and Xentrall ICT to identify a suitable adoption application for use by the RAA. Currently the ICT team are aware of at least two products in this area (Link Maker and Charms) and possibly a third (Liquid Logic). This sub-project is about to commence with requirements definition and market assessment.

In addition to the procurement of a suitable application, there is the initial upload of data and the on-going sharing of data between the RAA and the five Authorities to consider, and presumably reporting to Government and possibly other bodies. Discussions to date have indicated that the data volumes may be such that a manual initial load of data to the new application may be possible and a data cleanse may form part of this? Similarly, the future transfer of adoption records between the RAA and Authorities needs consideration (automatic/manual?). All this should become clear once suppliers have been engaged as part of the procurement process.

In the absence of the results of the procurement exercise, the following are indicative costs provided by the suppliers of the two known main applications in this market area. It is anticipated that only one application will be required. There may also be remote hosting options available as well as server provision from Xentrall ICT. On-site provision will be reflected in the management fee (see below). Final costs will only be known once the size and makeup of the adoption team is known and a formal application procurement exercise undertaken.

Application Item	Initial Cost	Annual Cost	Comment
Link Maker	£TBC	£14,067	There may be installation costs also, but information currently not available.

Charms	£31,850		Other payments options exist e.g. build install cost into monthly/annual fee.
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### 4. RAA ICT Users

There are a variety of ICT options available to the modern ICT office worker, whether they work traditionally at a fixed desk or work flexibly in various locations and possibly outside of standard office hours. Subject to cost, there are benefits in equipping perceived fixed desk workers with some mobile capability. Enabling flexible working when required can have the following benefits:

Enables flexible working when required:

- Ability to work occasionally from home for whatever reason (family commitments, adverse weather, tradespeople appointments).
- Working out of hours without access to the office.
- Ability to work away from the office at no notice e.g. any future temporary role, covering for others.
- Ability to support business continuity arrangements should these be invoked e.g. unable to access the office, working from another location, remote access to central records.

• Can aid recruitment and retention as part of modern flexible working practices

As a consequence, the estimated costs shown below show different options for mobile and fixed office workers. These can be blended to mirror the anticipated working arrangements for the RAA and can be changed in the future as work patterns shift.

Note also that subject to these future working arrangements, the existing ICT equipment of the Stockton and Darlington adoption staff who will form part of the RAA is likely to be suitable for continued use in the RAA as it already forms part of the overall Xentrall managed ICT estate. It is also assumed that due to compatibility and future support issues, none of the existing ICT equipment of the other three Authorities will be transferred into the RAA. Therefore, the existing SBC/DBC equipment can be pooled and considered as part of an overall view of how the team should be equipped.

There will be a requirement to transfer a user's emails and documents from their original Authority's ICT systems into Stockton's systems. Arrangements will also be needed to ensure future contact is signposted to the RAA. Any GCSx email accounts will also need migrating.

#1 Fixed Desk Worker	Initial	Annual	Comment
	Cost	Cost	
Microsoft Office 365 Business Premium		£113	
SAM Asset Management Licence	£13		
PC Base Unit	£374		
24" Monitor	£92		Multiple screens can be provided.
Keyboard & Mouse	£10		Standard version. Can be upgraded.
Lead(s)	£5		
Total	£494	£113	Subject to any additional options.

#2 Mobile Worker	Initial	Annual	Comment
(Laptop)	Cost	Cost	

#2 Mobile Worker (Laptop)	Initial Cost	Annual Cost	Comment
Microsoft Office 365 Business Premium		£113	
SAM Asset Management Licence	£13		
Laptop	£432		
Encryption Licence	£150		
24" Monitor	£92		Multiple screens can be provided.
Keyboard & Mouse	£10		Standard version. Can be upgraded.
Lead(s)	£5		
Docking Station	£87		
Carry Case	£14		
Car Charger	£15		Optional
Total	£818	£113	Subject to any additional options.

#3 Mobile Worker (Tablet)	Initial Cost	Annual Cost	Comment
Microsoft Office 365 Business Premium		£113	
SAM Asset Management Licence	£13		
Hybrid Tablet	£635		
Encryption Licence	£150		
24" Monitor	£92		Multiple screens can be provided.
Keyboard & Mouse	£10		Standard version. Can be upgraded.
Lead(s)	£5		

#3 Mobile Worker (Tablet)	Initial Cost	Annual Cost	Comment
Docking Station	£87		
Carry Case	£14		
Car Charger	£15		Optional
Total	£1,021	£113	Subject to any additional options.

Note, with regard to all ICT equipment, a financial model is required which builds in equipment refresh over suitable periods. A five year refresh can be applied to on-site network and end-user computing equipment.

In addition to the user's computing needs, there are telephony options to consider. The above observations relating to flexible working can be repeated here for telephony provision. In addition, even if a worker is considered to be fixed desk based and a PC user, there still may be some merit in providing them with a smartphone to enable out-of-office contact and some phone-based application functionality.

A Stockton Council smartphone user has unlimited calls and texts and a reasonable use policy pertaining to data.

#1 Standard Desk Phone	Initial Cost	Annual Cost	Comment
Cisco Handset	£100	£O	
Call Charges	£O	ТВС	A proportion of the SBC bill will be applied.
Total	£100	£0	+ call costs

Individual direct dial extension numbers will be assigned to each Cisco handset and this service will form part of the main Stockton Council telephone system. Hunt groups and other telephony facilities e.g. voicemail, can be set up as part of the creation of the RAA.

#2 Smartphone	Initial	Annual	Comment
	Cost	Cost	
iPhone SE	£230	£102	Mobile Device Management cost already covered. Larger and higher specification iPhones also available at increased cost.
Total	£230	£102	

There also exists a lone worker monitoring application that is managed by the Security Centre at Stockton. This costs £10/month/user.

Note #1 - With regard to all ICT equipment, a financial model is required which builds in equipment refresh over suitable periods. A three year refresh should be applied for any smartphones.

Note #2 – Equipment pricing is subject to variation due to exchange rates and other factors. The above are current prices and should be used as a guide as actual pricing at the time of purchase may differ.

### 5. RAA Website

On the assumption that the RAA will require a web presence, Xentrall ICT can initially develop a simple sign-posting and information giving, non-transactional website (<u>www.adoptionteesvalley.org.uk</u>) which can complement the creation and launch of the RAA. It is envisaged that a website similar to the Yorkshire & Humber example (<u>https://www.oneadoption.co.uk/</u>) is required.

A requirements and design exercise needs to be undertaken with the RAA to define the look, content and functionality of this new website. The estimate below is for the design and the website itself, with the RAA providing the content.

Nominated RAA team members will be trained to be able to amend the RAA website text.

RAA Website	Initial Cost	Annual Cost	Comment
Domain Name	£29	£O	Five year registration for <u>www.adoptionteesvalley.org.uk</u>

RAA Website	Initial	Annual	Comment
	Cost	Cost	
Registration			completed.
Website Development	£1,402	£O	On-going support will form part of the overall ICT support within the management fee.
Total	£1,431	£0	

Further development e.g. transactional capability, will be subject to agreement between Xentrall and the RAA at that time and may be subject to additional costs, depending upon complexity and effort required.

## 6. Xentrall ICT Implementation and On-Going Support & Maintenance

There are a number of activities and ICT resources required to set up the RAA and also maintain and support its ICT service as part of, and in some aspects alongside the overall Stockton ICT service. The managed service fee below is based upon 30 PCs/Laptops/Tablets.

It is proposed that the initial project management, business analysis, technical set-up and configuration effort will be met by Xentrall. This on the basis that other RAA set-up activities are also being absorbed by services. If this isn't the case, then a fee will be applied.

ICT Managed Service	Initial Cost	Annual Cost	Comment
ICT Managed Service	£0	£22,020	Based on an estimate of 30 devices.
Total	£0	£22,020	Set-up effort waived, subject to common approach.

Ian Miles

**RAA ICT Strand Lead** 

Assistant Director – Xentrall Shared Services

# **APPENDIX C – ADOPTION TEES VALLEY - PROCESS MAP**



# **APPENDIX D – PROJECT IMPLEMENTATION PLAN**



Dated

2017

Section 101 Agreement

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**Re Regional Adoption Agency** 

between

THE COUNCIL OF THE BOROUGH OF DARLINGTON

THE COUNCIL OF THE BOROUGH OF HARTLEPOOL

THE COUNCIL OF THE BOROUGH OF MIDDLESBROUGH

THE COUNCIL OF THE BOROUGH OF REDCAR AND CLEVELAND

THE COUNCIL OF THE BOROUGH OF STOCKTON-ON-TEES

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#### THIS DEED is dated

2017

#### PARTIES

- (1) **THE COUNCIL OF THE BOROUGH OF DARLINGTON** of Town Hall, Feethams, Darlington, County Durham, DL1 5QT ('**Darlington**').
- (2) **THE COUNCIL OF THE BOROUGH OF HARTLEPOOL** of Civic Centre, Victoria Road, Hartlepool, TS24 8AY ('Hartlepool')
- (3) **THE COUNCIL OF THE BOROUGH OF MIDDLESBROUGH** of PO Box 503, Town Hall, Middlesbrough, TS1 9FX (**Middlesbrough**)
- (4) **THE COUNCIL OF THE BOROUGH OF REDCAR AND CLEVELAND** of Redcar and Cleveland House, Kirkleatham Street, Redcar, TS10 1RT ('**Redcar & Cleveland**')
- (5) **THE COUNCIL OF THE BOROUGH OF STOCKTON-ON-TEES** of Municipal Buildings, Church Road, Stockton-On-Tees, TS18 1LD ('**Stockton**').

#### Background

- (A) Section 101 of The Local Government Act 1972 enables an authority to make arrangements for the discharge of any of its statutory functions by a committee, sub-committee or officer of the authority or by another authority.
- (B) Regulation 12 of the Public Contracts Regulations 2015 excludes from the scope of the Regulations arrangements between public sector bodies where the service is delivered on a Regional Adoption Service model and where control over the delivery (in the sense of strategic objectives and key decisions) is still retained in a similar way to an in house model.
- (C) The Authorities are entering into this Agreement in exercise of those powers.
- (D) Pursuant to each of the Authorities' respective statutory function to maintain an Adoption Service under Section 3 of the Adoption and Children Act 2002, and further to the insertion of section 3ZA in the Adoption and Children Act 2002, which provided the Secretary of State with a new power to direct that one or more local authorities in England make arrangements for all or any of their specified adoption functions to be carried out on their behalf, the Authorities are committed to ensuring the establishment of 'Adoption Tees Valley', a Regional Adoption Agency (RAA) which will seek to address the inefficiencies of the current system, and therefore wish to enter into the arrangements under this Agreement.
- (E) This Agreement provides the framework within which the Authorities will work together to achieve the Objectives.

#### AGREED TERMS

#### 1. DEFINITION AND INTERPRETATION

1.1 The definitions and rules of interpretation in this clause apply in this Agreement.

#### Additional Board Members: [TBC]

**Agreement**: this Agreement between Darlington, Stockton, Hartlepool, Middlesbrough and Redcar & Cleveland comprising these terms and conditions together with all schedules attached to it.

Adoption Functions: the requirements set out in Sections 3 and 3ZA of the Adoption and Children Act 2002 and any subsequent modification or reenactment thereafter, which provide for a service designed to meet the needs, in relation to adoption, of, and provide facilities for:- children who may be adopted; their parents and guardians; persons wishing to adopt a child; and adopted persons, their parents, natural parents and former guardians.

**Authority**: Darlington, Stockton, Hartlepool, Middlesbrough and Redcar & Cleveland and "**Authorities**" shall be construed accordingly.

Authorities Assets: collectively Darlington's Assets, Stockton's Assets, Hartlepool's Assets, Middlesbrough's assets and Redcar & Cleveland's Assets.

Authorities Financial Contributions: the aggregate of Darlington's Financial Contribution, Stockton's Financial Contribution, Hartlepool's Financial Contribution, Middlesbrough's Financial Contribution and Redcar & Cleveland's Financial Contribution.

Authorities Premises: collectively Darlington's Premises, Stockton's Premises, Hartlepool's Premises, Middlesbrough's Premises and Redcar & Cleveland's Premises.

#### **Balanced Scorecard: [TBC]**

**Change in Law:** a change in Law that impacts on the RAA, which comes into force after the Commencement Date.

#### Commencement Date: ###

**Darlington Assets:** the assets used prior to the Commencement Date by Darlington employees in the discharge of Darlington's Adoption Functions.

#### Darlington's Authorised Officer: ###

**Darlington's Financial Contribution:** Darlington's financial contribution for the relevant Financial Year. Darlington's Financial Contribution for the First Financial Year is set out in Schedule 2.

**Darlington Premises:** any premises provided by Darlington for the purposes of the agreement.

Data Protection Legislation: this includes:

- (a) the Data Protection Act 1998 (**DPA 1998**);
- (b) Directive 95/46/EC on the protection of individuals with regard to the processing of personal data and on the free movement of such data;
- (c) the Regulation of Investigatory Powers Act 2000;
- (d) the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000 (*SI 2000/2699*);
- (e) Directive 2002/58/EC concerning the processing of Personal Data and the protection of privacy in the electronic communications sector;
- (f) the Privacy and Electronic Communications (EC Directive) Regulations 2003 (*SI 2003/2426*); and
- (g) all applicable laws and regulations relating to processing personal data and privacy, including the guidance and codes of practice issued by the Information Commissioner, where applicable.

Dispute Resolution Procedure: the procedure set out in clause 33.

**Financial Contributions:** the financial contributions of the Authorities as set out in Schedule 2.

Financial Year: 1 April to 31 March.

## First Financial Year: [TBC]

**FOIA:** the Freedom of Information Act 2000 and any subordinate legislation made under it from time to time, together with any guidance or codes of practice issued by the Information Commissioner or relevant government department concerning this legislation.

**Hartlepool Assets:** the assets used prior to the Commencement Date by Hartlepool employees in the discharge of Hartlepool's Adoption Functions.

#### Hartlepool's Authorised Officer: ###

**Hartlepool's Financial Contribution:** Hartlepool's financial contribution for the relevant Financial Year. Hartlepool's Financial Contribution for the First Financial Year is set out in Schedule 2.

Hartlepool Premises: any premises provided by Hartlepool for the purposes of the agreement.

**Host:** the host authority for the Adoption Functions under this Agreement, namely Stockton.

Information: has the meaning given under section 84 of FOIA.

**IPRs:** any and all intellectual property rights of any nature anywhere in the world whether registered, registrable or otherwise, including patents, utility models, trademarks, registered designs and domain names, applications for

any of the foregoing, trade or business names, goodwill, copyright and rights in the nature of copyright, design rights, rights in databases, moral rights, know-how and any other intellectual property rights which subsist in computer software, computer programs, websites, documents, information, techniques, business methods, drawings, logos, instruction manuals, lists and procedures, marketing methods and procedures and advertising literature, including the "look and feel" of any websites.

**Law:** any applicable law, statute, bye-law, regulation, order, regulatory policy, guidance or industry code, rule of court, directives or requirements of any Regulatory Body, delegated or subordinate legislation, or notice of any Regulatory Body.

**Middlesbrough Assets:** the assets used prior to the Commencement Date by Middlesbrough employees in the discharge of Middlesbrough's Adoption Functions.

#### Middlesbrough's Authorised Officer: ###

**Middlesbrough's Financial Contribution:** Middlesbrough's financial contribution for the relevant Financial Year. Middlesbrough's Financial Contribution for the First Financial Year is set out in Schedule 2.

**Middlesbrough Premises:** any premises provided by Middlesbrough for the purposes of the agreement.

**Objectives:** the objectives of the Authorities, setting out how the RAA are likely to lead to an improvement in the way the Adoption Functions are exercised, as described in Schedule 1.

Personal Data: shall have the same meaning as set out in the DPA 1998.

**Pre-Existing Contracts:** any contracts entered into before the Commencement date for the purpose of their respective Adoption services by either Stockton or Darlington.

Quarter: one of the following periods in each Financial Year:

- (a) 1 April to 30 June;
- (b) 1 July to 30 September;
- (c) 1 October to 31 December; and
- (d) 1 January to 31 March.

**RAA:** shall mean the Regional Adoption Agency established by the Authorities to discharge Adoption Functions in accordance with the arrangements set out in this Agreement, which shall be known as 'Adoption Tees Valley'

RAA Board: shall have the meaning set out in Clause 16 of this Agreement

**RAA IPRs:** IPRs in items created by Stockton (or by a third party on behalf of Stockton) specifically for the purposes of this agreement or arising as a consequence of this agreement.

**RAA Service Plan:** shall have the meaning set out in Clause 6 of this Agreement

**Redcar And Cleveland Assets:** the assets used prior to the Commencement Date by Redcar And Cleveland employees in the discharge of Redcar And Cleveland's Adoption Functions.

#### Redcar And Cleveland's Authorised Officer: ###

**Redcar And Cleveland's Financial Contribution:** Redcar And Cleveland's financial contribution for the relevant Financial Year. Redcar And Cleveland's Financial Contribution for the First Financial Year is set out in Schedule 2.

**Redcar And Cleveland Premises:** any premises provided by Redcar And Cleveland for the purposes of the agreement.

**Regulatory Body:** those government departments and regulatory, statutory and other entities, committees and bodies that, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate or influence the matters dealt with in this Agreement, or any other affairs of the Authorities.

Relevant Transfer: a relevant transfer under TUPE.

**Representative:** an Authority's employee, agent or subcontractor and any employee of the other Authority who is seconded to the Authority and is acting in accordance with the Authority's instructions.

**Request for Information:** a request for Information or an apparent request under the Code of Practice on Access to Government Information, FOIA or the Environmental Information Regulations 2004 (*SI 2004/3391*) (**EIR**).

**Service Provider:** a third-party provider of any of Adoption Functions now to be discharged by the RAA, as commissioned by any of the Authorities before the Commencement Date or Stockton from the Commencement Date.

**Regional Adoption Agency (RAA):** the joint arrangements made between the Authorities under this Agreement.

**Stockton Assets:** the assets used prior to the Commencement Date by Stockton employees in the discharge of Stockton's Adoption Functions.

**Stockton Premises:** any premises provided by Stockton for the purposes of the agreement.

Stockton's Authorised Officer:

**Stockton's Financial Contribution:** Stockton's financial contribution for the relevant Financial Year. Stockton's Financial Contribution for the First Financial Year is set out in Schedule 2.

**Third party organisations:** organisations who receive an Adoption service, through a contract or service level agreement with Stockton.

**Term:** the period commencing on the Commencement Date and ending on the termination of this Agreement in accordance with its terms.

**TUPE:** the Transfer of Undertakings (Protection of Employment) Regulations 2006 (*SI 2006/246*).

**Working Day:** any day other than Saturday, Sunday, a public or bank holiday in England.

- 1.2 Clause, Schedule and paragraph headings shall not affect the interpretation of this Agreement.
- 1.3 The Schedules form part of this Agreement and shall have effect as if set out in full in the body of this Agreement. Any reference to this Agreement includes the Schedules.
- 1.4 Words in the singular include the plural and vice versa.
- 1.5 A reference to one gender includes a reference to the other genders.
- 1.6 A reference to a statute or statutory provision is a reference to it as it is in force for the time being, taking account of any amendment, extension or reenactment and includes any subordinate legislation for the time being in force made under it.
- 1.7 A reference to **writing** or **written** includes faxes and e-mail.
- 1.8 Any obligation in this Agreement on a person not to do something includes an obligation not to agree or allow that thing to be done.
- 1.9 A reference to a document is a reference to that document as varied or novated (in each case, other than in breach of the provisions of this Agreement) at any time.
- 1.10 References to clauses and Schedules are to the clauses and Schedules of this Agreement. References to paragraphs are to paragraphs of the relevant Schedule.

## 2. COMMENCEMENT AND DURATION

2.1 This Agreement shall take effect on the Commencement Date and shall until terminated in accordance with clause 34.

# 3. DELEGATION OF ADOPTION FUNCTIONS

- 3.1 The Authorities enter into joint arrangements under section 101 of the Local Government Act 1972 to provide a RAA to more efficiently meet the needs of each local authority than if the Authorities were operating independently.
- 3.2 The RAA shall comprise the delegation by Darlington, Hartlepool, Middlesbrough and Redcar & Cleveland to Stockton of their Adoption Functions, so that Stockton may exercise the Adoption Functions alongside Stockton's own Adoption Functions and accordingly Darlington, Hartlepool, Middlesbrough and Redcar & Cleveland hereby delegates the exercise of the Adoption Functions to Stockton to exercise alongside Stockton's Adoption Functions.

# 4. REGIONAL ADOPTION AGENCY (RAA)

- 4.1 Stockton is the Host for the RAA, and agrees to act as provider of the RAA Services listed in clause 4.2.
- 4.2 Stockton shall provide the RAA Services or procure that they are provided and shall be accountable to the Authorities for the Adoption Functions for the benefit of all the Authorities:
  - (a) to ensure the proper discharge of the Authorities' Adoption Functions;
  - (b) with reasonable skill and care, and in accordance with best practice guidance;
  - (c) in all respects in accordance with the Objectives, the [RAA Service Plan], the provisions of this Agreement, and each Authority's applicable policies.
  - (d) in accordance with its standing orders or other rules on contracting; and
  - (e) in accordance with all applicable Law.
- 4.3 The specific Objectives of the RAA are described in Schedule 1

# 5. HEAD OF RAA

- 5.1 Stockton shall appoint a senior manager (the **Head of RAA**), who shall be responsible for:
  - (a) managing the Regional Adoption Agency on behalf of the Authorities;
  - (b) managing expenditure from within the budgets set by the Authorities and in accordance with the [RAA Service Plan]; and
  - (c) submitting quarterly reports and an annual report to the Authorities, to enable them to monitor the success of the RAA.
- 5.2 The Head of RAA (or their delegated representative) will attend meetings as required with:
  - (a) the Authorised Officers, (who may also be one of the officers listed below).
  - (b) the Director of Children's Services of each Authority;
  - (c) the Chief Executive of each Authority;
  - (d) the Chief Finance Officer (section 151 officer) from each Authority;
  - (e) the Monitoring Officer of each authority;
- 5.3 The Head of RAA (or their delegated representative) shall be responsible for providing appropriate briefings for the Authorised Officers.
- 5.4 The Head of RAA (or their delegated representative) shall attend at such other senior management meetings or other relevant meetings with senior managers, including but not limited to directors, assistant directors and heads of service that are necessary for the proper discharge of the Adoption Functions (for example to address management issues, assist in service planning and strategy and to progress confidential matters).
- 5.5 Nothing in this Agreement shall prejudice or affect the rights and powers, duties and obligations of the Authorities in the exercise of their Adoption Functions as local authorities or in any other capacity;

# 6. [RAA SERVICE PLAN]

- 6.1 The Authorities (acting through the RAA Board) shall agree a [RAA Service Plan] for the RAA at least four weeks before the start of the Financial Year. The [RAA Service Plan] shall:
  - (a) set out the agreed Objectives for the RAA;
  - (b) describe any changes or development required for the RAA;

- (c) provide information on how changes in funding or resources may impact the RAA; and
- (d) include details of the estimated contributions due from each Authority for the RAA.
- 6.2 The [RAA Service Plan] shall commence on 1 April at the beginning of the Financial Year and shall continue for 12 months.
- 6.3 The [RAA Service Plan] may be varied by written agreement between the Authorities. Any variation that increases or reduces the costs of the RAA in the scope of the Agreement shall require the Authorities to make corresponding adjustments to the Authorities Financial Contributions.
- 6.4 If the Authorities cannot agree the contents of the [RAA Service Plan], the matter shall be dealt with in accordance with clause 33. Pending the outcome of the dispute resolution process or termination of the Agreement under clause 34, the Authorities shall make available amounts equivalent to the Financial Contributions for the previous Financial Year.

# 7. PERFORMANCE MANAGEMENT

7.1. The Authorities shall adhere to the [RAA Service Plan] prepared in accordance with clause 6.

# 8. FINANCIAL CONTRIBUTIONS

- 8.1 The Authorities shall pay the Authorities Financial Contributions to Stockton to allocate to the Service Budget and to manage in accordance with this Agreement and the [RAA Service Plan].
- 8.2 Stockton shall contribute Stockton's Financial Contribution to the Service Budget and shall manage the Service Budget in accordance with this Agreement and the [RAA Service Plan].
- 8.3 The Authorities Financial Contributions for the First Financial Year are set out in Schedule 2.
- 8.4 The Authorities shall pay the Financial Contributions into the Service Budget quarterly in advance.
- 8.5 The Authorities shall agree the Authorities Financial Contributions for the following Financial Year by 31 March.
- 8.6 The Authorities shall contribute all income or other allocations that are intended to support the provision of the RAA to the Service Budget.

#### 9. OVERSPENDS AND UNDERSPENDS

- 9.1 Stockton shall use all reasonable endeavours to arrange for the discharge of Stockton's own Adoption Functions and the Adoption Functions within the Financial Contributions available in each Financial Year.
- 9.2 Stockton shall endeavour to manage any in-year overspends within its arrangements for the RAA.
- 9.3 Stockton shall make the other Authorities aware of any potential overspend as soon as it becomes aware of this possibility. Stockton will highlight reasons for the overspend, both current and projected, and make recommendations for action to bring the relevant Financial Contributions back to balance.
- 9.4 If, at the end of the Financial Year or on termination or expiry of this Agreement, it becomes apparent that there has been an overspend of the Authorities Financial Contribution, the Authorities shall meet the overspend proportionately to their respective Financial Contributions;
- 9.5 Stockton shall make the Authorities aware of any potential underspend in relation to Financial Contributions, prior to the end of the Financial Year.
   Stockton shall highlight reasons for the underspend and identify any part of that underspend which is already contractually committed.
- 9.6 The benefit of any underspend at the end of the Financial Year or on termination or expiry of this Agreement (whichever is appropriate) shall:
  - a) if the Authorities agree, be applied to the RAA;
  - b) if the Authorities agree, be deducted proportionately from the Authorities' Financial Contributions for the following Financial Year; or
  - c) if the Authorities cannot agree, be returned to the Authorities in proportion to their Financial Contribution for the Financial Year;

#### 10. CAPITAL EXPENDITURE

The Financial Contributions shall be directed exclusively to revenue expenditure. Any arrangements for the sharing of capital expenditure shall be made separately and in accordance with such arrangement as Stockton and the other Authorities (or anyone of them) may from time to time agree.

# 11. SET UP COSTS

Each Authority shall bear its own costs of the establishment of the RAA under this Agreement.

#### 12. PREMISES

- 12.1 The Authorities shall provide Stockton with such accommodation and facilities in the Authorities Premises for the Term as are necessary for the reasonable performance of the Services and which are agreed by the parties from time to time.
- 12.2 Stockton shall make available Stockton's Premises to the RAA for the Term as are necessary for the performance of the Services.

#### 13. ASSETS

- 13.1 The Authorities shall each make available to Stockton for the purposen of the RAA the Authorities Assets.
- 13.2 Stockton may use the Financial Contributions to maintain or replace Authorities Assets as and when required and shall hold any new assets for itself and and the other Authorities.
- 13.3 The provisions of clause 35 shall apply on termination of this Agreement.

#### 14. IPRs

- 14.1 Subject to clause 14.3 and clause 14.5 no Authority shall not acquire any right, title or interest in or to the IPRs of any other Authority or its licensors existing prior to the execution of this Agreement.
- 14.2 Where any Authority acquires, by operation of law, title to IPRs of any other Authority referred to in clause 14.1, and this acquisition is inconsistent with the allocation of title set out in that clause 14.1, such IPRs shall be assigned by it to the other Authority on the request of the other, whenever that request is made.
- 14.3 Stockton grants a non-exclusive, assignable, irrevocable and perpetual licence (including the right to sub-license) to the other Authorities to use the RAA IPRs.
- 14.4 The Authorities may only assign their rights under clause 14.3 to a successor body or duration the continuation of this agreement to Stockton.

- 14.5 The other Authorities each hereby grant to Stockton a royalty-free, nonexclusive, non-transferable licence during the Term to use:
  - (a) any software.;
  - (b) any documentation, processes and procedures;
  - (c) any data and any databases, including the right to grant sub-licences to its contractors,

related to their Adoption Functions.

- 14.6 The licence granted in clause 14.5 is granted solely to the extent necessary for the RAA in accordance with this agreement. Stockton shall not use the licensed materials for any other purpose.
- 14.7 Stockton shall not have any right to use any of the other Authorities names, logos or trademarks without the other Authority's prior written consent.
- 14.8 In the event of the termination or expiry of this agreement, the licences referred to in clause 14.3 and clause 14.5 shall terminate automatically and Stockton shall deliver to the other Authorities all material licensed to Stockton pursuant to this Agreement that is in its possession or control. However, the licences granted pursuant to clause 14.3 shall continue in full force and effect.

#### 15. STAFFING

- 15.1 The Authorities agree that notwithstanding Regulation 3(5) TUPE pursuant to which TUPE does not apply to administrative transfers of staff in the public sector, the Authorities agree
  - (a) that the Principles of Good Employment Practice issued by the Cabinet Office in December 2010 apply to the treatment of employees
  - (b) to nevertheless apply the principles of TUPE to any:
    - a) Relevant Transfer of staff under this Agreement; and
    - b) secondments of the other Authorities' staff to Stockton.

#### 16. CONTRACTS (PRE-EXISTING AND FUTURE)

16.1 The Authorities shall novate all Pre-Existing Contracts to Stockton. Where a Pre-Existing Contract is incapable of novation the Authorities each appoint Stockton to act as agent for these contracts until their expiry or early termination, or until the termination of this Agreement, whichever is the earlier.

16.2 Stockton shall enter into such contracts with third parties as it sees fit for the purpose of facilitating the discharge of the Adoption Functions. Stockton shall take reasonable steps to ensure that all contracts entered into concerning the Adoption Functions are capable of assignment or novation to the respective Authorities and any successor body.

# 17. GOVERNANCE

- 17.1 Each Authority shall nominate an Authorised Officer, who shall be the main point of contact for Stockton and each of the other Authorities and shall be responsible for representing the respective Authority and liaising with Stockton's Authorised Officer in connection with the RAA.
- 17.2 Stockton shall nominate Stockton's Authorised Officer, who shall be the main point of contact for the Authorities and shall be responsible for representing Stockton and liaising with the other Authorities Authorised Officers in connection with the RAA.
- 17.3 The RAA shall have a RAA Board comprised of the Authorised Officers and no more than [NUMBER] Additional Board Members who are appointed by the Authorised Officers in accordance with the agreement.
- 17.4 Subject to the terms of this agreement and any applicable legislation, and subject to any matter which the Authorities may reserve, the RAA Board shall be responsible for the strategic oversight of the RAA and shall have the authority to guide Stockton to carry out the purpose of the RAA.

#### 18. MONITORING AND REPORTING

- 18.1 The Head of RAA shall submit a quarterly report to the Authorised Officers setting out:
  - (a) the performance of the RAA against the [RAA Service Plan] in the preceding Quarter; and
  - (b) any forecast overspend or underspend of the Financial Contributions.

#### 19. ANNUAL REVIEW

- 19.1 The Authorities may, at their option, carry out a review of the RAA within three months of the end of each Financial Year (**Annual Review**), including:
  - (a) the performance of the RAA against the Objectives;
  - (b) plans to address any underperformance in the RAA;

- actual expenditure compared with agreed budgets, and reasons for and plans to address any actual or potential underspends or overspends;
- (d) review of plans and performance levels for the following year; and
- (e) plans to respond to any changes in policy or legislation applicable to the RAA or the RAA.
- 19.2 The Head of RAA shall prepare an annual report
  - (a) if an Annual Review has been requested, following the Annual Review
  - (b) if no Annual Review has been requested, within three months of the end of the Financial Year

for submission to the Authorities' respective Authorised Officers.

#### 20. VARIATIONS

20.1 This Agreement may be varied by the Authorities at any time by agreement in writing in accordance with the Authorities' internal decision-making processes.

#### 21. STANDARDS

- 21.1 The Authorities shall collaborate to ensure that the RAA are discharged in accordance with:
  - (a) the prevailing [national standards] for local authority Adoption ;
  - (b) the requirements specified by the Authorities respective standing orders; and
  - (c) the requirements specified by any relevant external regulator.
- 21.2 The Head of RAA shall develop operational guidance and procedures to reflect compliance with clause 21.
- 21.3 The Head of RAA shall ensure that each employee is appropriately managed and supervised in accordance with all relevant prevailing standards of professional accountability.
- 21.4 Stockton shall ensure that the Head of RAA is appropriately managed and supervised in accordance with all relevant prevailing standards of professional accountability and may secure additional independent supervision from a third party to assist it in this requirement.

# 22. HEALTH AND SAFETY

- 22.1 Stockton shall (and shall use reasonable endeavours to ensure its Representatives) comply with the requirements of the Health and Safety at Work etc Act 1974 and any other acts, orders, regulations and codes of practice relating to health and safety, which may apply to the RAA and persons working on the RAA.
- 22.2 Stockton shall ensure that its health and safety policy statement (as required by the Health and Safety at Work etc Act 1974), together with related policies and procedures, are made available to the other Authorities on request.
- 22.3 Stockton shall notify the other Authorities if any incident occurs in the performance of the RAA, where that incident causes any personal injury or damage to property that could give rise to personal injury.

# 23. EQUALITY DUTIES

- 23.1 The Authorities acknowledge their respective duties under equality legislation to eliminate unlawful discrimination, harassment and victimisation, and to advance equality of opportunity and foster good relations between different groups.
- 23.2 Stockton agrees to adopt and apply policies in its carrying out of the Adoption Functions, to ensure compliance with their equality duties.
- Stockton shall take all reasonable steps to secure the observance of clause
   by all servants, employees or agents of Stockton and all Service
   Providers employed in delivering the RAA described in this Agreement.

#### 24. FREEDOM OF INFORMATION

The Authorities acknowledge that each is subject to the requirements of FOIA and the EIR, and shall assist and co-operate with one another to enable each Authority to comply with these information disclosure requirements, where necessary.

# 25. DATA PROTECTION

25.1 Each Authority shall (and shall procure that any of its Representatives involved in the provision of the RAA shall) comply with any notification requirements under Data Protection Legislation. Both Authorities shall duly observe all their obligations under Data Protection Legislation, which arise in connection with this Agreement.

# 26. ADOPTION RECORDS

26.1 The Authorities shall make available to Stockton from the Commencement such adoption records that are necessary for the proper and effective discharge the Adoption Functions and Stockton shall hold, and be responsible for maintaining and the safekeeping of the adoption records for the Term, in accordance with Data Protection Legislation.

#### 27. CONFIDENTIALITY

- 27.1 The Authorities agree to keep confidential all documents relating to or received from the other Authority under this Agreement that are labelled as confidential.
- 27.2 Where an Authority receives a request to disclose Information that the other Authority has designated as confidential, the receiving Authority shall consult with the other Authority before deciding whether the Information is subject to disclosure.

#### 28. AUDIT

- 28.1 Stockton shall arrange for the audit of the accounts of the Service Budget in accordance with its statutory audit requirements.
- 28.2 Stockton shall provide to any other Authority any reports required concerning the Adoption Functions on reasonable notice.
- 28.3 The Authorities shall co-operate in the provision of Information, and access to premises and staff, to ensure compliance with the requirement of any statutory inspection, or other monitoring or scrutiny of the Adoption Functions. The Authorities shall implement recommendations arising from these inspections, where appropriate.

#### 29. INSURANCE

- 29.1 The Authorities shall effect and maintain a policy or policies of insurance, providing an adequate level of cover for liabilities arising under any indemnity in this Agreement.
- 29.2 Each Authority shall be responsible for insuring the premises and assets it contributes to the RAA, as set out in Schedule 2.

#### 30. INDEMNITIES

Each Authority (**Indemnifying Authority**) shall indemnify and keep indemnified the other Authorities (**Indemnified Authorities**) against all actions, proceedings, costs, claims, demands, liabilities, losses and expenses whatsoever, whether arising in tort (including negligence), default or breach of this Agreement, to the extent that any loss or claim is due to the breach of contract, negligence, wilful default or fraud of itself, the Indemnifying Authority's employees, or any of its Representatives or subcontractors, except to the extent that the loss or claim is directly caused by or directly arises from the negligence, breach of this Agreement, or applicable Law by the Indemnified Authorities or their Representatives.

#### 31. LIABILITIES

- 31.1 No Authority shall be liable to any other Authority for claims by third parties arising from any acts or omissions of the other Authority in connection with their respective Adoption Functions prior to the Commencement Date.
- 31.2 Each Authority shall, at all times, take all reasonable steps to minimise and mitigate any loss or damage for which the relevant Authority is entitled to bring a claim against any other Authority under this Agreement.

#### 32. COMPLAINTS AND INVESTIGATIONS

- 32.1 The Authorities shall deal with all complaints received concerning the RAA in the first instance through Stockton's complaints procedures.
- 32.2 The Authorities shall each fully comply with any investigation by the Ombudsman, [agency relevant to adoption] or the Authorities external auditors or the Audit Committee of any Authority, including providing access to Information and making staff available for interview.

#### 33. DISPUTE RESOLUTION

- 33.1 The Authorised Officers shall use their best endeavours to resolve disputes arising out of this Agreement.
- 33.2 If any dispute referred to the Authorised Officers is not resolved within 30 days, any Authority, by notice in writing to any others, may refer the dispute to the chief executives (or equivalent) of the Authorities, who shall cooperate in good faith to resolve the dispute as amicably as possible within 30 days of service of the notice.

- 33.3 Subject to clause 32.4, if the chief executives (or equivalent) fail to resolve the dispute in the allotted time, the Dispute Resolution Procedure shall be deemed exhausted and the aggrieved Authority may commence legal proceedings.
- 33.4 This clause 32 shall not prevent any Authority from seeking injunctive relief at any time during the Term (regardless of whether the Dispute Resolution Procedure set out in this clause 32 has been exhausted or not) in the case of any breach or threatened breach by any other Authority of any obligation under this Agreement.

#### 34. TERMINATION

- 34.1 Without prejudice to other rights and remedies at law, and unless terminated under clause 33.2 or 33.3, any Authority may terminate this Agreement at any time by giving 12 months' written notice to the other Authority.
- 34.2 Subject to clause 33.3, any Authority may terminate this Agreement at any time by giving 12 months' written notice to the other Authorities, if for budgetary reasons:
  - (a) it is no longer able to make its Financial Contributions or otherwise contribute sufficient resources to the RAA (or any part of them); or
  - (b) it is of the reasonable opinion that in light of the other's proposed Financial Contribution the RAA (or any part of them) are no longer viable.
- 34.3 Any Authority (for the purposes of this clause 33.3, the **First Authority**) may terminate this Agreement in whole or part with immediate effect by the service of written notice on the other Authorities
  - (a) if there is in breach of any material obligation under this Agreement, provided that, if the breach is capable of remedy, the First Authority may only terminate this Agreement under clause 34.3, if the breaching Authority has failed to remedy the breach within 28 days of receipt of notice from the First Authority (**Remediation Notice**) to do so;
  - (b) there is a Change in Law that prevents an Authority from complying with its obligations under this Agreement; or
  - (c) following a failure to resolve a dispute under clauses 32.1 and 32.2.
- 34.4 The provisions of clause 35 shall apply on termination of this Agreement.

#### 35. CONSEQUENCES OF TERMINATION

- 35.1 On the expiry of the Term, or if this Agreement is terminated in whole or in part for any reason:
  - (a) premises and assets shall be returned to the contributing Authority in accordance with the terms of their leases, licences or agreed Schedule of condition;
  - (b) assets purchased jointly shall be disposed of by Stockton and the proceeds of sale allocated according to the Authorities' Financial Contributions or, if otherwise agreed and subject to the conditions of such agreement, shall be retained by Stockton;
  - (c) contracts entered into by Stockton concerning each of the other Authorities' Adoption Functions shall be novated to the Authority to which the contracts relate, and the relevant Authority shall accept the novation; and
  - (d) Stockton shall transfer to the relevant Authority all records in its possession which relate to their respective Authority's Adoption Functions.
- 35.2 Overspends on termination of the Agreement shall be dealt with in accordance with clause 9.4.
- 35.3 Subject to clause 35.4, underspends on termination of the Agreement shall be dealt with in accordance with clause 9.6.
- 35.4 Subject to clause 9.4, Stockton shall be entitled to direct any underspends to the following purposes:
  - (a) to meet obligations under existing contracts;
  - (b) to meet the costs of any redundancies arising from the termination of the RAA.
- 35.5 The provisions of the following clauses shall survive termination or expiry of this Agreement:
  - (a) Clause 24 (Freedom of Information);
  - (b) Clause 25 (Data Protection);
  - (c) Clause 26 (Adoption Records);
  - (d) Clause 28 (Audit);
  - (e) Clause 30 (Indemnities);
  - (f) Clause 31 (Liabilities); and
  - (g) Clause 35 (Consequences of Termination).

# 36. PUBLICITY

36.1 The Authorities shall use reasonable endeavours to consult one another before making any press announcements concerning the RAA or the discharge of any Authority's Adoption Functions under this Agreement.

## 37. NO PARTNERSHIP

37.1 Nothing in this Agreement shall be construed as constituting a legal partnership between the Authorities or as constituting any Authority as the agent of any other for any purpose whatsoever, except as specified by the terms of this Agreement.

# 38. THIRD PARTY RIGHTS

38.1 No one other than a party to this agreement, their successors and permitted assignees, shall have any right to enforce any of its terms.

# 39. NOTICES

- 39.1 Notices shall be in writing and shall be sent to the other Authorities marked for the attention of the monitoring officer (or equivalent) or another person duly notified by the Authority for the purposes of serving notices on that Authority, at the address set out for the Authority in this Agreement.
- 39.2 Notices may be sent by first class mail. Correctly addressed notices sent by first class mail shall be deemed to have been delivered 72 hours after posting.

# 40. ASSIGNMENT AND SUBCONTRACTING

40.1 No party shall assign, transfer, mortgage, charge, subcontract, declare a trust over or deal in any other manner with any or all of its rights and obligations under this agreement without the prior written consent of the other party.

#### 41. SEVERABILITY

41.1 If any provision or part-provision of this Agreement is or becomes invalid, illegal or unenforceable, it shall be deemed modified to the minimum extent necessary to make it valid, legal and enforceable. If such modification is not possible, the relevant provision or part-provision shall be deemed deleted. Any modification to or deletion of a provision or part-provision under this clause shall not affect the validity and enforceability of the rest of this agreement.

# 42. WAIVER

- 42.1 The failure of any Authority to enforce any of the provisions of this Agreement at any time or for any period of time shall not be construed to be a waiver of any such provision and shall in no matter affect the right of that Authority thereafter to enforce such provision.
- 42.2 No waiver in any one or more instances of a breach of any provision of this Agreement shall be deemed to be a further or continuing waiver of such provision in other instances.

# 43. ENTIRE AGREEMENT

43.1 This Agreement, the Schedules and the documents annexed to it or otherwise referred to in it contain the whole agreement between the parties relating to the subject matter of it and supersede all prior agreements, arrangements and understandings between the parties relating to that subject matter.

# 44. GOVERNING LAW AND JURISDICTION

44.1 Subject to clause 34, this Agreement and any dispute or claim arising out of or in connection with it or its subject matter shall be governed by and construed in accordance with the law of England and Wales, and the Authorities irrevocably agree that the courts of England shall have exclusive jurisdiction to settle any dispute or claim that arises out of or in connection with this Agreement.

#### 45. FAIR DEALINGS

45.1 The Authorities recognise that it is impracticable to make provision for every contingency which may arise during the life of this Agreement and they declare it to be their intention that this Agreement shall operate between them with fairness and without detriment to the interests of either of them and that if in the course of the performance of this Agreement, unfairness to either of them does or may result then the other shall use its reasonable endeavours to agree upon such action as may be necessary to remove the cause or causes of such unfairness.

This document has been executed as a deed and is delivered and takes effect on the date stated at the beginning of it.

# Schedule 1 Objectives

The Authorities agree that the RAA will enable the delivery of the following Objectives across the Authorities:

(a) [DETAIL FROM THE BUSINESS CASE ONCE APPROVED]

.

#### Schedule 2 Contributions

]

- 1.1 Relevant proportions
  - (a) Darlington %
  - (b) Hartlepool %
  - (c) Middlesbrough %
  - (d) Redcar And Cleveland %
  - (e) Stockton %
- 1.2 Contribution in financial year [
  - (a) Darlington £
  - (b) Hartlepool £
  - (c) Middlesbrough £
  - (d) Redcar And Cleveland  $\pounds$
  - (e) Stockton £

Schedule 3 Governance Overview

[INSERT GOVERNANCE DIAGRAM]

# Schedule 4 RAA Board

## 1. Functions of the RAA Board

- 1.1. The RAA Board shall
  - (a) agree the Balanced Scorecard
  - (b) agree the RAA budget and recommend to the Authorities the Authorities Contributions
  - (c) monitor performance and volumetric data
  - (d) develop strategy and set out strategic direction for the organization
  - (e) evaluate the impact of legislation and ensure implementation as appropriate
- 1.2. The RAA Board may at any time resolve, to remove any Additional Board Member from the RAA Board or appoint any person as a Additional Board Member and such removal or appointment shall be effective as the RAA Board may determine.
- 1.3. The RAA Board shall be responsible for appointing the chair of the RAA Board who shall be an Authorised Officer, but may not be Stockton's Authorised Officer.
- 1.4. Meetings of the RAA Board shall be held regularly as determined by the chair and in any event at least [NUMBER] times per financial year.
- 1.5. Every meeting of the RAA Board shall be governed by the following provisions:
  - 1.5.1.a meeting of the RAA Board may be called by the chair of the RAA Board or any [two] Board Members giving notice of the meeting of at least [one] Business Day to all Board Members, specifying the place, day and time of the meeting and a statement of the matters to be discussed at the meeting, provided that valid shorter notice is deemed to have been given if all Board Members attend the meeting or if it is ratified by the Board Members at a subsequent duly convened meeting;
  - 1.5.2.the quorum for a meeting of the RAA Board is [NUMBER] Authorised Officers (including the chair) present in person or by video or telephone conference call or by alternate (which shall mean another substitute Authorised Officer authorised to attend and vote on behalf of the appointing Authorised Officer);

- 1.5.3. where the appropriate quorum is not present within [NUMBER] minutes of the start time stated in the notice of the meeting, any resolution passed at the inquorate meeting is deemed to have been passed if it is ratified later by the required majority in attendance at a duly convened quorate meeting;
- 1.5.4. [VOTING TBC]
- 1.5.5.meetings of the RAA Board may be conducted by electronic means, such as via telephone or video conference. Board Members participating in a RAA Board meeting via electronic means shall be deemed to be present in person at the meetings and shall be entitled to be counted in the quorum and to vote; and
- 1.5.6.minutes shall be prepared of all RAA Board meetings and shall be approved and signed by the chair of the RAA Board as evidence of the proceedings.

EXECUTED as a DEED

.....

.....

[INSERT AGREED METHOD OF EXECUTION]

# CHILDREN'S SERVICES COMMITTEE

17 October 2017



6.1

#### Director of Children's and Joint Commissioning **Report of:** Services

**REFUGEE RESETTLEMENT PROGRAMME-**Subject: **EDUCATION** 

#### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non Key Decision.

#### 2. PURPOSE OF REPORT

- 2.1 To provide an overview of the education element of the Refugee Resettlement Programme.
- 2.2 To show the current position in relation the transition of refugees resettled under the programme into Hartlepool schools.

#### 3. BACKGROUND

Set up

- 3.1 The Education Hub ('The Hub') has been created by Hartlepool Virtual School to provide a nurturing, educational environment for the children resettled in Hartlepool prior to transition into mainstream education. We hope to equip the children and young people with the social, emotional and basic academic skills in order to ensure that they integrate guickly into Hartlepool's schools and communities.
- 3.2 The motivational factors to set up such a provision stemmed from our understanding of the deterioration of Syria's education system. It was recognised that a disruption to schooling in Syria resulted in a lack of achievement and once resettled, children would need to catch up, while simultaneously learning a new language and adjusting to a new cultural and

1

social environment. Additionally, the emotional trauma experienced by many refugee children may affect their cognitive, emotional and social development and increase their academic challenges. Research which has focused on best practice in supporting refugee children has shown that resettled pupils perform better in school when educators understand the trauma associated with the refugee experience. Educators who have this understanding are more likely to recognise when any social and emotional difficulties, as well as any apparent learning difficulties, are trauma related and can offer support accordingly<sup>1</sup>. Prior to transition to schools, Hartlepool Virtual School decided to take steps to ensure emotional and social needs were addressed as a priority before access to school was offered.

- 3.3 In order to ensure The Hub provides holistic nurturing support, the psychological framework of Human Givens<sup>2</sup> was used in the planning of The Hub as a tool to guide us through the educational resettlement strategy. The Human Givens approach is a method of organising ideas taken from many psychological theories and models of emotional wellbeing. Using this theory, The Hub was created to provide emotional, social, practical and educational support, as well as a centre for play, recreation and education. The Hub also has a multi-agency approach and works closely with specialist providers such as Mental Health Services, Early Help Team and Adult Education.
- 3.4 The Hub is part of Hartlepool's Virtual School and is managed by the Virtual School Head Teacher. The staffing structure within The Hub consists of a Senior Teaching Assistant (who has the responsibility for the day to day running of The Hub) and a Specialist Teaching Assistant who can speak Arabic and English to act as translator for the children and their families, and to support the Senior Teaching Assistant in carrying out the varied activities on a daily basis.

#### **Operation**

- 3.5 Within the first two weeks of the families arriving in Hartlepool The Hub is used as a family support base. Both parents and children can access The Hub every day. The Hub liaises with support workers and other agencies to organise medical appointments, DWP appointments, hospital visits, and so on.
- 3.6 Children's Mental Health (CAMHS) staff liaise closely with the Virtual School staff carrying out initial assessments of the emotional needs of children and young people where necessary. CAMHS visit The Hub and observe until they, along with The Hub staff, feel the children are ready to access the service if required.
- 3.7 After two weeks of holistic support for families, the parents are encouraged to begin to leave their children in the care of the staff to start a more

<sup>&</sup>lt;sup>1</sup> The Educational and Mental Health Needs of Syrian Refugee Children – Migration Policy Institute October 2015.

<sup>&</sup>lt;sup>2</sup> The Human Givens is a set of organising ideas that provides a holistic, scientific framework for understanding the way that individuals and society work. The Human Givens Institute. <u>www.hgi.org.uk</u>

education-based approach. The Hub continues to be a contact base for parents and strong multi-agency links remain. The planning and delivery of activities in The Hub is focused primarily on development of language alongside the national curriculum and activities to support transition into school.

- 3.8 All children are enrolled at schools prior to their arrival. The Virtual School staff meet with school Head Teachers and other school staff who will be working directly with the children class teachers, teaching assistants etc to discuss the individuals and their experiences, and to describe the support that The Hub will provide. Clear communication and planning with schools continues on a regular basis. This commences with visits from key school staff into The Hub to support the children and develop relationships with their identified school. All professionals involved meet on a regular basis to plan and review the children's integration into school. This integration takes a range of forms and timescales depending on the individual needs of the children. The Hub also provides activities for other children from the schools that the resettled children are on roll at. This allows friendships to develop in a safe and secure environment making transition into schools smoother.
- 3.9 Once the children have made the transition to their mainstream school, the staff from The Hub support the children in their schools in order to continue the safe relationship that they have formed. This ensures that the transition into school is as successful as possible. This support continues until the next cohort of children arrive, tapering off as the resettled pupils become settled and more independent.
- 3.10 The table below shows the numbers of children, by year group, resettled in Hartlepool at the time of their arrival.

	Pre- school	Rec	Y1	Y2	Y3	Y4	Y5	Y6	¥7	Y8	Y9	Y10	Y11	Y12	Y13	Total
May 2016	2	3	0	0	0	2	1	1	2	1	0	1	0	1	0	14
Nov 2016	4	2	1	2	2	1	0	1	1	1	0	0	0	0	0	15
Feb 2017	1	0	0	1	2	1	1	0	2	1	1	1	0	1	0	12
Total	7	5	1	3	4	4	2	2	5	3	1	2	0	2	0	41

3.11 The 41 children and young people are on roll at the following schools:

Primary	Secondary	Post 16
Grange	High Tunstall	Hartlepool FE College
Eskdale	Dyke House	
Rift House	Catcote	
St Aidan's		
Rossmere		
Springwell		
Lynnfield		
Stranton		
Kingsley		

# 4. PROPOSALS

- 4.1 The Hub is to continue to provide intensive support to children and families resettled in Hartlepool from Syria.
- 4.2 The Hub will continue to provide support to the schools the children attend.

# 5. **RISK IMPLICATIONS**

5.1 There are no risk implications relevant to this report.

# 6. FINANCIAL CONSIDERATIONS

6.1 There are no financial considerations relevant to this report.

# 7. LEGAL CONSIDERATIONS

7.1 There are no legal considerations relevant to this report.

# 8. CONSULTATION

8.1 No consultation was required during the production of this report.

# 9. CHILD AND FAMILY POVERTY CONSIDERATIONS

9.1 Options have been considered and there are no child and family poverty impact issues.

# 10. EQUALITY AND DIVERSITY CONSIDERATIONS

- 10.1 Hartlepool continues to play it part in the national resettlement programme. Resettled families are offered a welcoming, safe and secure home and new life for these traumatised families. Council officers and staff from a wide range of our other partners work hard with our schools and communities to ensure community cohesion in Hartlepool. This celebrates Hartlepool's place in a modern Britain with a diverse range of cultures that espouses equality for all.
- 10.2 The Hub received a visit from the North East Migration Partnership and the Home Office in the summer term. Feedback during the visit was extremely positive. The visitors were impressed with the delivery model and the positive impact The Hub is having on the children and their families.

#### 11. STAFF CONSIDERATIONS

11.1 There are no staffing considerations relevant to this report.

### 12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations relevant to this report.

### 13. **RECOMMENDATIONS**

- 13.1 It is recommended that Committee:
  - Agree that Hartlepool Virtual School continues to support children and families resettled in Hartlepool from Syria;
  - Agree that Hartlepool Virtual School continues to support schools in relation to the teaching of children resettled in Hartlepool from Syria;
  - Agree that an annual summary report will be presented to Children's Services Committee.

### 14. REASONS FOR RECOMMENDATIONS

- 14.1 The support provided by Hartlepool Virtual School ensures that the children resettled in Hartlepool from Syria feel safe. This allows them to begin to integrate into a new country and to learn English in a highly supportive environment.
- 14.2 The ongoing support from The Virtual School into Hartlepool schools, once the children are ready to make the transition, ensures that the high level of support continues and utilises the strong positive relationships that have been built between staff, children and their families. This allows a smooth transition for all children.

#### 15. BACKGROUND PAPERS

15.1 There are no background papers to this report.

#### 15. CONTACT OFFICER

Emma Rutherford Virtual School Headteacher Centre for Excellence in Teaching and Learning (01429) 284370 emma.rutherford@hartlepool.gov.uk Mark Patton Assistant Director: Education Children's & Joint Commissioning Services Hartlepool Borough Council (01429) 523 736 mark.patton@hartlepool.gov.uk

# **CHILDREN'S SERVICES COMMITTEE**

17 October 2017



## **Report of:** Director Children's & Joint Commissioning Services

## Subject: PUPIL PERFORMANCE 2017: INDICATIVE DATA

#### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-key.

#### 2. PURPOSE OF REPORT

2.1 To provide a summary of the indicative pupil performance measures for Hartlepool from public examinations in the summer of 2017.

#### 3. BACKGROUND

- 3.1 The report follows on from the Member Briefing event on 11 October 2017.
- 3.2 There have been significant changes to curriculum content, testing methodology, national assessment frameworks and to school performance measures over the last two years. There will be further changes until 2020. These changes mean that it is extremely difficult to compare one year's performance with previous years. Indeed, in a special edition of Ofsted's School Inspection Update issued to all schools and inspectors in September 2017<sup>1</sup>, Ofsted's National Director, Education (Sean Harford) wrote:
  - a. "There should be no knee-jerk reactions to the new GCSE or A-level results this year and no over-interpretation of variability in results at school level."
  - b. "2017 marks a year of significant changes to GCSE examinations. Inspectors should not compare results from last year with results this year for the new GCSEs."

1



<sup>&</sup>lt;sup>1</sup> www.gov.uk/government/publications/school-inspection-update-academic-year-2017-to-2018

- c. "There will be some variability in attainment at school level as a result of changes to the qualifications and numerical grading ... Small fluctuations from previous years at school level should not be over interpreted."
- d. "The way Attainment 8 scores have been re-scaled to 2017 points means that schools with high proportions of high prior attainers, such as selective schools, may have higher Attainment 8 scores for legacy GCSEs in 2017 than they would have had for 2016. Most other schools could see a small decrease in the Attainment 8 scores although other effects, such as the reformed qualifications and behaviour changes, mean it is very difficult to predict Attainment 8 and Progress 8 in 2017. Progress 8 and Attainment 8 will be available when the checking data is available from 26 September 2017. Schools **are not able** to calculate Progress 8 before this date because the data for all schools is needed for the calculation."

#### 4. OUTCOMES SUMMARY

- 4.1 The indicative pupil performance measures for 2016 and 2017, along with national averages where known, are presented at **APPENDIX A**.
- 4.2 The headline performance measures of a Good Level of Development (GLD) at the end of early years and the Phonics Screening Check at the end of Year 1 are now well embedded in primary schools. These measures have been in place since 2013 and 2012 respectively. Variations in performance in these measures at school level are now likely to be due to cohort characteristics rather than changes to assessment and testing regimes. For this reason a 'direction of travel' arrow appears next to these measures in **APPENDIX A** showing whether performance has increased or decreased on the previous year.
- 4.3 This summer (2017) marked the second year of the new testing arrangements at the end of key stage 2 (KS2). As teachers and children adjust to the demands of the new arrangements performance is more likely to increase. This can be seen in the improvements in KS2 outcomes for Hartlepool children, and children nationally. Improvements in KS2 performance are also anticipated as the Year 6 cohorts in schools experience more and more of the new primary National Curriculum introduced in September 2014. Variations in KS2 performance at school level are now more likely to be due to cohort characteristics rather than changes to curriculum content or assessment and testing regimes. For this reason a 'direction of travel' arrow appears next to these measures in **APPENDIX A** showing whether performance has increased or decreased on the previous year.
- 4.4 The secondary data presented at **APPENDIX A** does not account for any appeals or remarks currently being considered by Awarding Bodies (exam boards). There is likely to be some change to the Hartlepool figures. Variations in KS4 performance at school level are likely to be due to changes to curriculum content and testing arrangements, as well as variation in cohort characteristics. For this reason no 'direction of travel' arrow appears next to these measures in

**APPENDIX A** because comparison with previous years is meaningless (para 3.2 b).

#### 5. **RISK IMPLICATIONS**

There are no risk implications.

#### 6. FINANCIAL CONSIDERATIONS

There are no financial considerations.

#### 7. LEGAL CONSIDERATIONS

There are no legal considerations.

#### 8. CONSULTATION

No consultation was required in the production of this report.

#### 9. CHILD AND FAMILY POVERTY CONSIDERATIONS

There are no child and family poverty considerations.

#### 10. EQUALITY AND DIVERSITY CONSIDERATIONS

There are no equality and diversity implications.

#### 11. STAFF CONSIDERATIONS

There are no staff considerations.

#### 12. ASSET MANAGEMENT CONSIDERATIONS

There are no asset management considerations.

#### 13. **RECOMMENDATIONS**

13.1 It is recommended note the contents of this report.

13.2 It is recommended that Committee agree that a further report, or reports, is brought to Committee once national validated data for primary schools and secondary schools is available for comparison.

#### 14. REASONS FOR RECOMMENDATIONS

14.1 It is important that Committee scrutinises pupil performance data in order to support and challenge Hartlepool schools and Council officers to ensure that children receive a first class education in Hartlepool. This will also help to realise this Committee's stated ambition that every school in Hartlepool will be graded at least GOOD by Ofsted.

#### 15. BACKGROUND PAPERS

There are no background papers to this report.

#### 16. CONTACT OFFICER

Mark Patton Assistant Director: Education Children's & Joint Commissioning Services Hartlepool Borough Council Tel: (01429) 523 736 Email: <u>mark.patton@hartlepool.gov.uk</u>

## 6.2 APPENDIX A

	20	16	20	17
Performance measure	Hartlepool	National	Hartlepool	National *
	%	%	%	%
EARLY YEARS				
Good Level of Development	68	69	70 🛧	-
KEY STAGE 1				
Phonics Screening Check	85	81	82 🗸	-
Expected standard KS1 Re	73	74	75 🛧	76
Expected standard KS1 Wr	65	65	69 🛧	68
Expected standard KS1 Ma	71	73	75 🛧	75
KEY STAGE 2				
Expected standard KS2 Re	65	66	72 🛧	71
Expected standard KS2 Wr	76	74	81 🛧	76
Expected standard KS2 Ma	72	70	81 🛧	75
Exp standard combined RWM	53	53	64 🛧	61
Progress score Re	0	0	0 =	0
Progress score Wr	+1.0	0	+1.3 🛧	0
Progress score Ma	+0.4	0	+0.9 🛧	0
KEY STAGE 4				
5+ A*-C incl English and maths	48	54	Gr4+ 56	-
			Gr5+ 36	-
Basics (C+ in English and maths)	55	59	Gr4+ 58	-
			Gr5+ 36	-
Attainment 8 (ave score per pupil)	47.2	48.5	44.5	-
Progress 8 (ave score per pupil)	-0.33	0	-	-

\* 2017 national figures are an early indication - not validated

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# **CHILDREN'S SERVICES COMMITTEE**

17<sup>th</sup> October 2017



# Report of: Director of Children's and Joint Commissioning Services

## Subject: CHILDCARE SUFFICIENCY ASSESSMENT 2016/17

### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-key decision.

#### 2. PURPOSE OF REPORT

- 2.1 To provide Members with the latest findings of The Childcare Sufficiency Assessment 2016-2017 attached as **Appendix 1.**
- 2.2 For Members to approve the publication of the Childcare Sufficiency assessment 2016-2017 attached as **Appendix 1.**

#### 3. BACKGROUND

- 3.1 The Childcare Act 2006 and subsequent 'Early education and childcare: Statutory guidance for local authorities (March 2017)' provides the framework for local authorities to discharge their duties in relation to free nursery entitlement and childcare.
- 3.2 Much of The Childcare Act 2006 has been repealed however the following duties remain in place for local authorities:
  - Secure prescribed early years provision free of charge;
  - Secure sufficient childcare (as far as is reasonably practicable) for parents who work, are studying or training for employment;
  - Provide information, advice and assistance to parents and carers;
  - Provide information, advice and training to childcare providers;
  - Report annually to Members on how we are meeting our duties.

### 4. CHILDCARE IN HARTLEPOOL

- 4.1 The childcare market is overseen by The Children's Hub. The Hub receives daily information from Ofsted on registered childcare providers in Hartlepool. The Hub has a duty to publish this information for parents and this is available via The Directory <u>http://hartlepool.fsd.org.uk</u>.
- 4.2 The Hub undertakes an annual assessment of sufficiency of childcare. Data collection takes place in October each year in order to collect census information from early years providers so that an accurate picture of 2,3,4 year old early education take up can be obtained. In addition, all providers (childminders, day nurseries, playgroups) are contacted to collect information which is included in the annual assessment and uploaded onto The Directory. The assessment can be found at Appendix 1.
- 4.3 In 2016/17 there were -

56 childminders offering 336 places at a cost of between £3.50 and £6.00 per hour. 41 providers reported over 61% vacancy availability.
15 day nurseries offering 695 places at a cost of between £32.00 and £38.50 per day. 6 providers reported over 61% vacancy availability.
6 holiday schemes offering 255 places at a cost of between £17.50 and £37.00 per day. 6 providers reported over 61% vacancy availability.
26 before school clubs offering 875 places at a cost of between 50p and £7.00 per session. 17 providers reported over 61% vacancy availability.
20 after school clubs offering 713 places at a cost of between 50p and £22.50 per session. 12 providers reported over 61% vacancy availability.

- 4.4 86% of providers have been judged 'Good' or 'Outstanding' by Ofsted.
- 4.5 Hartlepool continues to perform well in its take up of 2,3,4 year old early education with participation by eligible 2 year olds at 92% and by 3 and 4 year olds at almost 100%.

#### 5. RISK IMPLICATIONS

5.1 Funding from government continues to pose some risks to the participation rate for early education. The local authority is paid on three census dates per year and is not funded for children that become eligible in between these dates. If the council chooses to place a child before census date then they incur a cost that is not reimbursed by government.

#### 6. FINANCIAL CONSIDERATIONS

6.1 The government has introduced a new Early Years National Funding Formula. As a result, Hartlepool has benefitted from an increase in funding for early years providers.

### 7. LEGAL CONSIDERATIONS

7.1 There are no legal considerations within this report.

### 8. CONSULTATION

8.1 Childcare providers have been consulted throughout the preparation of the sufficiency report.

### 9. CHILD AND FAMILY POVERTY

9.1 Childcare forms an essential part of Hartlepool's Child and Family Poverty Strategy enabling parents to train and work.

### 10. EQUALITY AND DIVERSITY CONSIDERATIONS

10.1 All childcare should be fully inclusive and Ofsted oversees this as part of their registration and inspection process.

### 11. STAFF CONSIDERATIONS

11.1 There are no staff considerations in this report.

#### 12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations in this report.

#### 13. **RECOMMENDATIONS**

- 13.1 Members are asked to note the contents of the report.
- 13.2 Members are asked to approve the Childcare Sufficiency Assessment for publication.

### 14. REASONS FOR RECOMMENDATIONS

14.1 The local authority is required to publish a Childcare Sufficiency Assessment as a duty within the Childcare Act 2006.

#### 15. BACKGROUND PAPERS

15.1 Early education and childcare: Statutory guidance for local authorities (March 2017) <u>http://www.gov.uk/government/publications/early-education-and-childcare--2</u>

#### 16. CONTACT OFFICER

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6.3 Appendix 1



# **Hartlepool Borough Council**

# **Childcare Sufficiency Assessment**

2016 - 2017

## Acronyms List

CSA	Childcare Sufficiency Assessment
CHub	The Children's Hub
DLA	Disability Living Allowance
FNE	Free Nursery Entitlement
FSD	Family Service Directory
FTE	Full time equivalent
HMRC	Her Majesty's Revenue and Customs
LA	Local Authority
NEET	Not in Education, Employment or Training
PVI	Private Voluntary and Independent sector
SEND	Special Educational Need Disability

#### **List of Definitions**

*After school care:* registered or approved childcare that takes place after school has finished – usually between 3.00pm and 6.00pm term time only

Approved childcare: childcare run by a school on school site which does not have to be registered with Ofsted

**Before school care:** registered or approved childcare that takes place before school and ends when school starts – usually between 7.45am and 9.00am term time only

Childcare provider: registered, unregistered or approved provider of childcare

**Childminder:** registered childcare provider that operates childcare in their own home on a self employed basis catering for a wide age range of children

**Daycare:** for the purposes of this report the registered provision of group-based childcare ('day nursery') for children aged under 5 years from early in the morning until early evening – usually between 7.30am and 6.00pm, 50+ weeks of the year

*Extended school service:* a service offered on school site or through school signposting which is available outside of the school curriculum and beyond the school day, usually term time only

*Holiday care:* registered or approved childcare that operates each day of the school holidays – usually between 8.30am and 6.00pm

*Integrated care:* the care of children aged 3 and 4 years old before and/or after their free nursery entitlement – eg childcare on an afternoon following morning nursery session

*Free nursery entitlement:* statutory provision of 570 hours of free nursery education per year for all eligible children aged 2/3/ 4 years, often offered by schools as an am or pm session (term time only) and by private providers as part of their full daycare offer

**Ofsted:** Office for Standards in Education with overarching responsibility for the registration and inspection of registered childcare

**Registered childcare:** childcare that operates for more than 2 hours per session and is inspected and approved by Ofsted

**Special Educational Need:** for the purposes of the report this includes perceived and formally identified physical and learning disabilities

*Tax credit:* administered by HMRC, a preferential tax rate offered to eligible individuals depending on a number of factors including hours worked and gross income earned; can include a Childcare Element with funding for up to 70% of registered childcare for parents that meet eligibility criteria

**Unregistered childcare:** childcare that operates for less than 2 hours per session or for a limited number of sessions in a year or cares for children aged over 8 years and therefore cannot be registered with Ofsted

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Childcare Sufficiency Assessment Annual Childcare Audit 2016-2017

#### 1. Introduction and Local Authority Legal Requirements

The Childcare Sufficiency Assessment (CSA) is a measurement of the nature, extent and supply of childcare within the borough. It is intended to help the Local Authority (LA) identify where there are potential gaps in the childcare market and plan how to support the market to address them. It remains a legal duty for the LA to undertake an assessment at least every three years and to keep their current assessment up-to-date with a published copy available for parents, carers and elected members.

A range of legislative changes have taken place since the last CSA including The Children and Families' Act 2014 (which repealed certain aspects of The Childcare Act 2006) and The Childcare Act 2016 making LAs responsible for 30 hours of free early years entitlement to eligible children.

In summary the LA remains responsible for a number of key duties including (but not limited to) -

- Securing prescribed early years provision free of charge
- Securing sufficient childcare, so far as is reasonably practicable, for working parents or parents who are studying or training for employment, for children aged 0 -14 or up to 18 for disabled children
- Providing information, advice and assistance to parents and carers
- Providing information, advice and training to childcare providers.

Childcare information is available to parents and carers via Hartlepool's 'Family Service Directory' (FSD) which can be accessed at <u>http://hartlepool.fsd.org.uk</u>. Parents and carers that do not have access to the internet can contact The Children's Hub on 01429 284284 for all their childcare information needs.

The process of managing the childcare market is a difficult one not least because the LA does not control the schools or the private, voluntary and independent (PVI) sector that provides the majority of childcare in the town. This report therefore provides the LA with essential detail on the supply of childcare in Hartlepool and makes clear any actions the LA needs to take to effectively manage the market.

#### 2. Methodology

In order to prepare the assessment the following research methodology was used:

- An analysis of Ofsted childcare data was undertaken in October 2016. This data includes all childcare that is registered on the Early Years Register and on the Compulsory and Voluntary part of the Childcare Register. The LA has access to this information via a daily information feed from Ofsted into The Children's Hub
- An analysis of the availability and take up of Free Nursery Entitlement (FNE). October is a key headcount period for PVI and maintained early years providers with information collected on under 5s participation in FNE
- Collection of vacancy information from childcare providers in order to understand their occupancy levels compared to their available places.

It should be noted that this analysis represents a brief snapshot in time and the childcare market is constantly changing. Providers tend to have low take up of places in the Autumn term (September) as children take up their full time school places but build their capacity as the year progresses.

#### 3. Context

Hartlepool is a small unitary authority on the North East coast of England. The overall population is c92,500 (ONS Population 2016) of which c17,775 are children aged 0-15 years (19.3%). Despite significant regeneration over the past twenty years the town continues to experience high levels of deprivation. According to the Government's Child Poverty Unit 31% of our 0-15 year olds live in poverty

#### 4. Childcare supply

The following tables provide a snapshot of Hartlepool's childcare supply. It should be noted that childcare providers, available childcare places and vacancies change on a regular basis. There is often a difference between the numbers of registered/ approved childcare places compared to those that the childcare provider actually makes available to the public. This is often due to staffing availability or by provider choice in order to maintain levels of quality.

Carescheme	Number of active	Number of registered/	Range in cost of care
type	carescheme providers	approved childcare	
		places	
Childminder	56	336	£3.50 - £6.00 per hour
Daycare (day	15	699	£32.00 - £38.50 per day
nursery)			
Holiday care	6	255	£17.50 - £37.00 a day
(excludes ad hoc			
play schemes)			
Before school	26	875	50p - £7.00 per session
After school	20	713	50p - £22.50 per session
Sessional (ie	1	12	£7.00 per session
playgroup)			
Total	124	2890	

#### Table 1 Carescheme types, available childcare places, cost of care, October 2016

In 2016 the number of daycare settings decreased from 16 to 15 settings however the number of childminders increased from 53 to 56. During the same period the number of holiday clubs decreased from 8 to 6. The number of sessional settings, breakfast clubs and afterschool clubs has remained static.

#### Table 2 Atypical childcare, October 2016

	Weekend care	Pre 7.30am	After 6pm	Overnight care	Bank Holiday	Professional Dev (PD) days
Total number of care scheme providers	6	10	8	4	16	97

Some childcare providers are working hard to improve the flexibility of their childcare. 19% of childcare providers open before 8am and 14.5% of providers offer care on an evening and weekend. A high proportion of childcare providers take children to and pick up from local schools.

Ward	Childminder	Daycare	Before School	After School	Holiday	Playgroup
Hart	8	0	2	1	0	0
De Bruce	1	1	3	2	1	0
Jesmond	3	2	3	3	1	0
Victoria	8	4	3	3	1	0
Burn Valley	10	1	1	0	1	0
Rural West	2	1	1	1	0	0
Foggy Furze	6	1	2	3	0	0
Manor House	5	2	3	3	1	0
Fens and Rossmere	11	1	4	2	0	0
Headland and Harbour	1	1	2	1	0	1
Seaton	1	1	2	1	1	0
TOTAL	56	15	26	20	6	1

Table 3 Carescheme types by ward, October 2016

The childcare market has shown a high level of resilience throughout turbulent economic times. Based on enquiries into The Children's Hub the geographical spread of places reasonably matches families need.

#### 5. Occupancy

Careschemes that are registered by Ofsted have an agreed number of childcare places that can be made available. Some providers choose to offer less places than Ofsted allows. The following table provides a snapshot of Hartlepool's childcare occupancy levels in October 2016 and gives an indication of available vacancies. It should be noted that carescheme vacancies change on a regular basis and that not all providers responded to the survey.

Carescheme	0-20%	21-40%	41-60%	61-80%	81-100%
type	occupancy	occupancy	occupancy	occupancy	occupancy
	level	level	level	level	level
Childminder	3	1	11	18	23
Daycare	0	0	9	5	1
Holiday care (excludes ad hoc play schemes)	0	0	5	0	1
Before school care	0	3	6	6	11
After school care	1	2	5	6	6
Sessional (i.e playgroup)				1	

#### Table 4 Carescheme Occupancy Levels, October 2016

#### 6. Quality

Ofsted inspects relevant schools and childcare settings. The following table shows the available inspection results as at October 2016.

Setting type	Outstanding	Good	Meets	Requires	Only
			Requirements	Improvement**	registration
					visit carried
					out
Childminders	6	43	1	2	4
Daycare	4	8	0	0	3
Sessional care	0	1	0	0	0
Holiday care	1	5	0	0	
Before school	4	18	0	3	1
After school	4	13	0	1	2

\*\* Before and after school provision that requires improvement in schools.

In some settings there has been an improvement in quality. The market has a higher proportion of good and outstanding providers. The evidence indicates:

- 10.7% of registered childminders are graded outstanding
- 76.8% of registered childminders are graded good
- 26.7% of registered daycare providers are graded outstanding
- 53.3% of registered daycare providers are graded good

#### 7. Extended School provision

There are 5 secondary schools (of which 3 are academies), 30 primary schools (of which 7 are academies), the Pupil Referral Unit and 2 special schools in Hartlepool. The majority of schools in Hartlepool are extended schools providing services to children, families and in some cases the wider community beyond the school day. 18 primary schools in the town provide childcare including before, after, holiday and/or integrated care. In addition a wide range of extended services are available outside of the school day and many parents take advantage of this provision in order to support their childcare choices.

#### 8. Comparison of childcare places

The table below shows the development of the market from 2007 through to 2017. In summary there has been a reduction in careschemes in 2015-17 however the number of places remains relatively stable.

	No. of active care – schemes	Total number childcare places	No. of child- minders/ no of places	No. of daycare providers/ no of places	No. of holiday providers/ no of places	No. of before school providers/ no of places	No. of after school providers/ no of places	No. of sessional care providers/ no of places
2014/2015	125	3,045	59/288	16/815	8/355	23/724	19/602	1/12
2015/2016	124	2774	53/270	16/720	8/345	26/780	20/647	1/12
2016/2017	124	2890	56/336	15/699	6/255	26/875	20/713	1/12

 Table 6 Comparison of childcare places 20014 – 2017

#### 9. Free Nursery Entitlement (FNE)

#### **Two Year Old Free Nursery Entitlement**

Hartlepool has been delivering free nursery entitlement places for the past eight financial years to the most vulnerable two year old children. The statutory duty to deliver two year old places commenced on the 1<sup>st</sup> September 2013. In 2013/14 eligible children were from the 20% most income deprived families – this was estimated to be approximately 400 eligible children in Hartlepool using this criteria. In 2014/15 eligibility was extended to the 40% most vulnerable families which included those on a low income. Places are now available to families that are in receipt of Universal Credit, working but on a low income, children in foster care, children looked after, children under special guardianship, adopted children, children with additional needs (DLA) bringing the total estimated number of eligible two year old places in Hartlepool to 648. Places must be allocated to eligible two year old children the term *after* their second birthday.

WARD	No. of cares	schemes cui	rrently taking 2 yea	ar old funded	No of	Proposed	No of
	children (O	ctober 2016)			2 year	new two year	proposed
			olds	olds	new		
					placed	careschemes	places
						providers	
	SCHOOLS	DAYCARE	CHILDMINDERS	SESSIONAL			
Hart	0	0	0		0	0	0
*De Bruce	1	1	0		60	0	0
*Jesmond	0	2	2		52	0	0
*Victoria	2	4	6		131	1	4
*Burn Valley	1	1	4		61	0	0
Rural West	0	1	2		9	1	4
*Foggy	0	1	3		26	1	4
Furze							
*Manor	2	2	2		94	0	0
House							
*Fens and	1	1	2		34		
Rossmerre							
*Headland	0	1	1	1	40	0	0
and Harbour							
Seaton		1			37	1	4
TOTAL	7	15	22	1	544	4	16

#### Table 7 Current and proposed two year old free nursery entitlement provision, October 2016

Wards marked \* have higher levels of disadvantage and therefore may have a higher demand for two year old places. Hartlepool has responded well to the offer of free early years entitlement for two year olds and has the best take up across the country. Participation is currently at 92%. Participation has increased by 4% from 2015 – 2016.

#### Three and Four Year Old Free Nursery Entitlement

Every eligible 3 or 4 year old child has access to 570 hours of Free Nursery Entitlement (FNE) across the year in either a maintained or approved setting. This is universal provision that is not affected by the circumstances of the parent or child, including their parents' income. Children are eligible for a place the term *after* their third birthday. In October 2016 15 schools were fully flexible in delivering their FNE and 11 offered flexi sessions where parents can adjust their nursery care to suit their family needs.

The table below shows the take up of free nursery entitlement in both the maintained and PVI sectors. Traditionally parents have used maintained providers for FNE as attendance at a school nursery is thought to aid transition into full time school, however some parents prefer PVI providers to provide the service as they can top up their free hours with paid for care.

	No of children taking up an FNE place in the maintained sector	No of children taking up an FNE place in the PVI sector
2014 -2015	1,075	106
2015-2016	1,250	108
2016-2017	1,223	106

Table 8 Comparison of Free Nursery Entitlement places 2014 - 2017

The Childcare Act 2016 has legislated for an *additional* 570 hours of free 3 and 4 year old childcare for qualifying children of working parents. The government expects the extended entitlement to be available across England by September 2017. Work is underway to determine how this new commitment will be delivered in Hartlepool.

#### 10. Priorities for the Local Authority

Legislative changes will require action by the LA. Based on enquiries into The Children's Hub together with knowledge and experience of Officers working in the early years and childcare sector the following priorities have been identified:

#### Funded places for two, three and four year olds

Take up and demand for early years places needs to be closely monitored. Where providers begin to reach capacity, the opportunity to increase provision needs to be explored.

# Action – work with existing and new providers to develop provision where there is evidence of demand.

#### Extended early years entitlement

Some three and four year old children will be eligible for an additional 15 hours of entitlement from September 2017.

Action – develop a plan to ensure that providers can meet demand and ensure parents are aware of the new offer.

#### Early Years Pupil Premium

Some children are eligible for additional funding which is paid to their early years provider to support children to reach their full potential.

Action – ensure eligible children are identified early and funding is awarded to providers in a timely manner. Ensure funding follows the child (where appropriate) throughout their statutory education.

#### Costs of childcare for SEND

Generally, there are enough childcare places to match parental demand. However, the cost of care for a disabled child remains above the cost of standard care and finding suitable ways to fund this continues to

prove challenging. The government has introduced new funding for children with SEND in their revised 2017/18 Early Years formula.

Action – identify potential funding sources from relevant partners to support SEND children's access to childcare and make appropriate use of the new early years disability fund.

#### Childcare costs

Whilst HMRC Tax Credits offer up to 70% funding and Universal Credit up to 85% funding of childcare costs to eligible parents, national figures show that there are still a significant number of parents not getting the childcare money they are entitled to. New legislation has introduced tax free childcare for some parents. Action – ensure parents aware of the help available towards childcare costs and are fully informed of their options.

#### Impact of welfare reform

Welfare reforms continue and more and more families will see their benefit entitlements reduced. This may result in an increase in the number of children eligible for a free two year old place. In addition the extended entitlement offer of an extra 15 hours for working parents with children aged 3 and 4 may see more parents take up employment and therefore increase demand for places.

Action – carefully track take up of 2,3,4 year old places and keep abreast of legislative changes that impact on families and their demand for places.

#### 11. Final Comments

Childcare in Hartlepool continues to be a strong market and fulfils a vital role for parents that train and work. 124 carescheme providers are registered to deliver 2260 childcare places. Whilst it is impossible to ensure every parent is accommodated according to their specific needs, generally childcare in Hartlepool meets the needs of parents and their children. Where it does not The Children's Hub works hard to come up with practical solutions.

For more information about the childcare market in Hartlepool contact Penny Thompson or Lorraine Hutchinson. If you would like copies of any of the previous CSAs please contact The Children's Hub on 01429 284284 alternatively email <u>childrenshub@hartlepool.gov.uk</u>.

#### **Contact Officers**

Penny Thompson, Head of Service Hartlepool Borough Council, Child and Adult Services Department 01429 284878/ 284284 penny.thompson@hartlepool.gov.uk

Lorraine Hutchinson, Business Support Hartlepool Borough Council, Child and Adult Services Department 01429 523195 Iorraine.hutchinson@hartlepool.gov.uk

#### Childcare Sufficiency Assessment Annual Childcare Audit 2016-2017

Hartlepool Borough Council has a duty to undertake an annual childcare audit. The purpose of the audit is to gain comprehensive information on the supply of childcare in Hartlepool. Please complete the survey below. **If you offer more than one childcare service then you need to fill in a separate form for each.** Your responses will be used to update The First Contact and Support Hub database and The Directory. Your response will remain anonymous and you will not be named within the childcare sufficiency report. It will also be included in the next Childcare Sufficiency Assessment. Please return completed surveys using the prepaid envelope enclosed no later than **8**<sup>th</sup> **November 2016**. For more information on childcare sufficiency contact Lorraine Hutchinson Business Support Officer, 01429 523195 / email lorraine.hutchinson@hartlepool.gov.uk

#### Please check the label below and make any necessary amendments.

Insert mailing label here

#### 1. Please tell us what type of childcare you offer (circle all that apply) -

registered childminderday nurserybefore school clubafter school clubholiday club'wraparound' / integrated careplaygroupother......

- 2. Your OFSTED grade is:
- 3. Registered/ approved to deliver a maximum of  $\Box$  childcare places.
- 4. For a number of reasons we/ I choose to make available  $\Box$  childcare places.
- 5. We/ I offer childcare in the following age ranges:

By age range	0–2 years	3-5 years	5-8 years	8+ years
Total number of registered/ approved childcare places				

Please Turn Over

#### 6. We/ I offer childcare at the following times:

Day	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
Open							
Close							

#### I am/ we are open -

school PD days	Bank Holidays
weekends	overnight
term time only	week days only

- 7. We/I estimate our occupancy levels to be approximately  $\square$ %.
- 8. We/ I currently have a waiting list. Yes / No
- 9. We/ I currently have vacancies. Yes / No

By age range	0–2 years		3-5 ye	ears	5-8 years		8+ years	
Vacancies	AM	PM	AM	PM	AM	PM	AM	PM
Monday								
Tuesday								
Wednesday								
Thursday								
Friday								
Saturday								
Sunday								

\*please amend this table as appropriate

#### 10. Charges for childcare are as follows -

 $\pounds \dots \text{ per hour } \quad \pounds \dots \text{ per session } \quad \pounds \dots \text{ per day } \quad \pounds \dots \text{ per week}$ 

Thank you for taking the time to complete this questionnaire – your input is appreciated.

Completed questionnaires should be returned by 8<sup>th</sup> November 2016 using the reply paid envelope enclosed.

# **CHILDREN'S SERVICES COMMITTEE**

17 October 2017



# **Report of:** Director of Children's and Joint Commissioning Services

# Subject: UPDATE OF THE WORK OF THE JUNIOR AND YOUNG INSPECTORS

#### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-key.

#### 2. PURPOSE OF REPORT

- 2.1 The purpose of the report is to present to Children's Services Committee the inspection and consultation reports produced by the young inspectors requested by Children's Services Committee.
- 2.2 The inspection reports and consultation reports attached as appendices 1 to 6 provide an insight into services and organisations that have been scrutinised by young people and have been given feedback and recommendations for improvement.

#### 3. FINDINGS

- 3.1 Hartlepool Borough Council Participation Team within the Standard, Engagement and Development Team facilitate a number of young inspectors groups comprising of young people aged 12-22 years and junior inspectors aged 7-11.
- 3.2 Reports of inspections and consultation undertaken by the Young Inspectors and Junior Young Inspectors are attached in **Appendix 1 to 6** and cover the following areas:
  - North Tees Hospital Children's Inpatients and Outpatients Ward 1, 2 & 3
  - Hartlepool Hospital Children's Outpatients Ward 4 & 5
  - Mental Health and Digital Technology 6

#### 3.3 Summary of junior (7-11) and senior (12-19) inspection findings

The general outcome of young people's findings of the services inspected and consulted on were positive. Young people were satisfied with the inspections and made few recommendations on ways in which services could be improved. All of the services inspected were found to be accessible and welcoming, while staff were friendly and approachable. Each service will receive a six month review.

#### 3.4 North Tees Hospital Children's Inpatients Review

#### Strengths

- The staff are very friendly and welcoming
- The ward was very clean
- Parents are supported
- Children and young people are consulted
- Lots of activities available
- Garden
- Privacy for the older young people
- The bays had more than one bed
- The reception was welcoming
- The walls were very colourful with cartoon/film themes

#### Recommendations

- Consider making the teenager room bigger
- If possible look to make the outdoor play area bigger
- Consider offering free Wi-Fi all of the time (for both young people and parents)
- Consider having a charging dock (for mobile phones) for everyone to use during their stay
- Look into making signs in the entrance for the children's ward a bit more clearer
- Consider having fans when the weather is warm
- Consider changing the staff uniforms so that they are more appropriate to the weather summer/winter
- Change the comments card which currently looks like a thank you card.
- We think there should be more food choices for varied ages.
- We think the temperature in the ward was hot, there be more air conditioning.

• We also suggest there should be more colour outside as it was dull and grey.

# 3.5 North Tees Hospital Children's Outpatients Review Strengths

- Waiting area was very colourful and child friendly.
- Reception people welcoming and kind.
- Pictures when we walked in were nice and bright for every age.
- The rooms were very reassuring.
- The reception staff were very sympathetic to patients.
- It was suitable for young children.
- It was attractive and vibrant.
- The hospital was very clean.
- It was a lot better than we thought.

#### Recommendations

- Outside the children's ward it should be more colourful.
- Colourful footsteps taking you to the children's ward.
- Child friendly displays.
- More magazines in the waiting area for children.
- Reception to be brighter.
- Activities for older children in the waiting area

#### 3.6 Hartlepool Hospital Children's Ward Review

#### Strengths

- The staff are very friendly and welcoming
- The ward was very clean
- Parents are supported
- Children and young people are consulted

#### Recommendations

- Consider making a dedicated teenager ward and more young people friendly
- Consider offering free Wi-Fi all of the time (for both young people and parents)
- Consider having a charging dock (for mobile phones) for everyone to use during their stay
- Consider changing the staff uniforms so that they are more appropriate to the weather summer/winter
- Change the comments card which currently looks like a thank you card.
- Consider overnight stay for service users
- A step to be provided for smaller children to reach/see.
- I pads in the waiting room (connected to wires)
- Sound to be louder or subtitles to be on the TV or Bluetooth earphones.
- The floor was a bit too hard should be softer because of falls.
- The reception desk should be immediately as you go in.
- Toys to be checked to make sure they're not broken
- The toys should be labelled property of Hartlepool Hospital.
- The reception desk could be lower.
- Toys/entertainment for older children and teenagers in the waiting area.

#### 3.7 Summary of Junior (7-12) Inspector Findings

There are over 20 Junior Inspectors engaged through the commissioned work of the West View Project.

The junior inspectors were involved in the Hartlepool and North Tees hospital inspections with the senior inspectors to give a clear view of the service with for different age groups. (Strengths and recommendations are included above)

# 3.8 Mental Health and Digital Technology Consultation (Hartlepool and Stockton)

The NHS Clinical commissioning Group for Hartlepool and Stockton commissioned Hartlepool Borough Council to indentify young people from Hartlepool and Stockton to be trained to become Young Inspectors/Peer Researchers. A support worker from Hartlepool co-ordinated the work and delivered training to the young people. Young people from both Hartlepool and Stockton were consulted on emotional wellbeing and mental health and the use of digital technology.

The aim of the consultation was to identify if young people would;

- Use digital technology to find out about services and support for emotional health and wellbeing.
- To find out if young people accessing CAMHS services would use digital technology?
- To find out if young people had used digital technology to access support?

### Recommendations

In general young people were against using an app for mental health issues but if one were to be commissioned the young inspectors felt that;

- Young people help design mental health apps
- Young people help promote mental health apps
- Young people to develop news and blogs for mental health apps
- Schools to offer more support and information on mental health issues
- Teachers and support staff to be given more training on how to notice the signs of mental health issues
- Parents/carers offered more information and support on mental health issues
- Make sure any mental health apps for young people are safe and secure

#### 4. ONGOING CONSULTATION

# 4.1 Hartlepool Health Watch/York University - The Co-Production of Young People's Health and Social Services (CYPHER)

*Cypher* is a participatory research project designed to enable children and young people to have an impact upon their local health and social care policy formulation and service provision. Funding has been sourced through Healthwatch, Participation Team and York University.

A partnership has been formed between the Centre for Political Youth Culture and Communication (Department of Sociology) and the Department of Health Sciences based at the University of York, Hartlepool Borough Council, Hartlepool Healthwatch, and 3 digital artists. The project will enable young people to learn why research is important, research techniques and how this information can be used. It will also help raise the aspirations of the young people.

Planning for the project started in March 2017 and young people have been involved in the interview and selection process for the artists. 20 young people have been recruited and a 2 day residential at York University took place on the 2<sup>nd</sup> and 3<sup>rd</sup> of August.

The young people are currently meeting every week and have developed questions on mental health and social care issues for young people in Hartlepool which include experiences of mental health, experiences of health services and leisure services for emotional wellbeing.

The results of the consultation will be presented to the Health and Wellbeing Board on the  $16^{th}$  October 2017

4.2 **Dementia Awareness -** Young Inspectors have been trained in dementia awareness and hope to use this training to look at ways to make more young people in Hartlepool Dementia aware. (Ongoing)

### 5. RISK IMPLICATIONS

5.1 There are no risk implications as this report only sets out recommendations for improving practice.

### 6. FINANCIAL CONSIDERATIONS

6.1 There are no specific financial recommendations. The report sets out recommendations that different agencies are asked to consider in their ongoing delivery and development of their services.

### 7. LEGAL CONSIDERATIONS

7.1 There are no legal considerations within this report.

#### 8. CONSULTATION

8.1 The Young Inspectors have consulted children, young people and staff in all the work shared in this report.

# 9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

9.1 There are no specific child and family poverty considerations within this report. The young inspectors have reviewed all the services shown above and taken into account that all children should be able to access these services if needed.

# 10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

10.1 There are no specific equality and diversity considerations within this report. The young inspectors have reviewed all the services shown above and taken into account that all children should be able to access these services if needed.

#### 11. STAFF CONSIDERATIONS

11.1 There are no staff considerations within this report.

#### 12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations within this report.

#### 13. **RECOMMENDATIONS**

- 13.1 Children's Services Committee is asked to note the findings and recommendations of the Inspection reports undertaken by the Young Inspectors.
- 13.2 That Elected Members consider the content of Young Inspector reports when and where appropriate both currently and in the future; and suggest areas / organisations / departments that may be suitable for Young Inspectors to evaluate on behalf of the committee.

#### 14. REASONS FOR RECOMMENDATIONS

14.1 To ensure that children and young people are influencing service design and delivery to continuously improves services for children and young people.

#### 15. BACKGROUND PAPERS

None

#### 16. CONTACT OFFICERS

Juliette Ward, Young Inspectors Co-ordinator, Level 4, Civic Centre, Telephone: 01429 523198 Email: juliette.ward@hartlepool.gov.uk

# 6.4 Appendix 1

# Young Inspectors Inspection Report Template – Initial Inspection



Support worker name:		Area: Hartlepool			
Juliette Ward					
Young Inspectors' name	s: Marlene, Hannal	n, Leonie, Olivia, Ka	atie		
Service inspected:		Who requested t	he inspection?		
North Tees Hospital Child	en's Ward	Clare Wise			
Name and contact detail inspection: Juliette Ward Young Inspectors Co-ordir Standards, Engagement a Level 4 Civic Centre Victoria Road Hartlepool TS24 8AY Inspection start date:	nator	am	Report date:		
1/6/17	inspection end d	ale.	Report date.		
About how many hours	did the inspection	activitios tako?	8. 1/2brc		
•	•		. Please attach the young		
inspectors' reports and a	any additional doc	umentation.	. Flease allach the young		
Observation(s)	Interviews conducted? Yes		Surveys conducted? No		
<b>conducted?</b> Yes	What was the foo interviews? Ques		What was the focus of the surveys?		
What/who was	Who was interviewed? Individual or group interviews? 2 play workers and young people on ward		N/A		
observed? The ward, facilities and			Who were they given out to?		
staff	How were the interviews recorded? Notes		N/A		
How were observations recorded? Notes			What type of survey was it – paper, electronic? N/A		

# Overall impressions of the service including strengths and areas for further development

#### Question 1: Is the service accessible?

We found the service to be accessible as it was on a main bus route which had access from all areas. There were lots of signs leading to the service and clear signs at the entrance which made it easily identified by members of the public and service users. Once inside the hospital we found the signs weren't as clear to find the children's ward and we went to the wrong department.

Once on the children ward we found that everything was accessible for all; There were accessible toilets, showers with hoists a makaton board with signs, and a language board. The service used 'passports' for children with learning disabilities for parents to fill in for children and young people which gave information on them.

#### **Question 2: Is the service welcoming?**

The service was brightly decorated throughout with lots of recognizable themes from films and children's characters. The idea of using the wall decoration was a really good idea to distract children while they were receiving treatment. Staff were very friendly and welcoming and the children and young people had separate rooms to play in. The rooms were very well stocked with lots of arts and crafts and toys for the younger children, while the teenager room had lots of games, a television, music, play stations with lots of games, books, magazines, etc.

There was a very nice garden area if anyone wanted to sit outside and it seems that the space has been used very well.

All rooms had access to televisions which were free from 7am till 7pm and the rooms were large and comfortable for the children and young people with plenty of room for parents to stay over if needed. The young people we spoke to were happy that their parents could stay with them as this made them feel more comfortable. A parent's room was also available to make a cup of tea and have something to eat while having a break.

Young people were given the opportunity to walk to surgery if they wanted and the young inspectors thought that the prep box was a really good idea to prepare children and young people before an operation and there stay.

Everything was very clean and tidy and was regularly checked. All bedding was changed every time a patient left and everything was signed clearly.

The young people we spoke to were happy with the food that was provided and we were told that the staff if a child or young person was in for a long time they could contact the kitchen and make arrangements for different food if needed.

Snacks, fruit and drinks were available to the young people and special diets are catered for.

The young people we spoke to felt comfortable enough to speak to staff about any issues they might have during thee stay and that the staff had made them feel welcomed. All young people said that they felt the staff talked to them as well as their parents and they understood what was happening during their stay.

The day we visited the ward was very warm so fans would be a good idea for the people staying there.

#### Question 3: Is it clear what the service does?

Everything was clearly labeled and there were posters with information on all over the ward. There were pictures of the different uniforms on the walls to show which staff were doctors, nurses and play workers, etc.

The reception area was clearly marked and had a fun element to it as a castle with lots of information around it and there was a tv screen with the children and young people's first names on stating which rooms they were in.

#### Question 4: How satisfied are you/do other young people seem to be with the service?

All of the young people we spoke to were very happy with the service they were receiving and a baby there at the time was happy and walking about.

# Question 5: How are young people involved in the development, delivery and evaluation of the service?

Young people were offered a choice of having a private room if any were available with the option of more privacy.

Questionnaires were sent out to schools in the Tees area asking what they would like in the ward and this information was used to make any changes. And questionnaires were offered in hospital as well

Feedback cards were available once treatment was finished though these were headed as thank you cards so this needs to be looked at to make them clearer.

#### Strengths:

The staff are definitely the strengths of the service as everyone was very friendly and welcoming followed by the relaxed environment with all of the different themed walls.

The ward was very clean and everyone wants to offer the best support they can to all of the children, young people and parents.

The children and young people's rooms were great but the teenager room is quiet small so a bit more space might improve this. The same with the outdoor area as this is very small as well.

#### Areas for further development:

- Consider making the teenager room bigger
- If possible look to make the outdoor play area bigger
- Consider offering free wi-fi all of the time (for both young people and parents)
- Consider having a charging dock (for mobile phones) for everyone to use during their stay
- Look into making signs in the entrance for the children's ward a bit more clearer
- Consider having fans when the weather is warm
- Consider changing the staff uniforms so that they are more appropriate to the weather summer/winter
- Change the comments card which currently looks like a thank you card.

#### General impressions and comments:

Overall it was a very positive visit and it was good to speak to the young people that were on the ward. The young people and their parents were happy with the way staff had treated them and felt well looked after. The staff had answered all of their questions while giving them all the information on what treatment their child would be getting.

The ward was very clean and there was lots of information on the walls including the complaints procedures.

6.4 - Appendix 2

# OUR INSPECTION AT NORTH TEES HOSPITAL





#### **INTRODUCTION**

- Junior Inspectors are young people who visit places in our community.
- We observe places to look at any improvements that need to be made.
- We were asked to inspect North Tees Hospital on the children's inpatient ward.
- We planned what we wanted to know and the questions we would ask.
- We attended planning sessions after school and at West View Project.

#### **THE ENVIRONMENT**

- \* The environment was accessible to the public and patients because there were wide corridors and ramps for people using wheelchairs.
- \* In the reception the staff were welcoming and cooperative with the patients and public.
- \* The hospital was very hygienic.
- \* It was suitable for children in the ward.
- \* The staff were quick to respond.
- \* It was child friendly eg: colourful paintings on the walls.



#### **ACCESSIBILITY**

- \* There were signs on the journey to the hospital which meant it was accessible for people who needed to get there.
- \* There were automatic doors for patients to easily access the entrance and exit.
- \* There were ramps for those in wheelchairs and wide doors.
- \* There are shuttle buses from Hartlepool.
- \* The children's ward was clearly signposted.

### **IS IT CLEAR WHAT THE SERVICE DOES?**

- There were leaflets that included information about the hospital and what they do.
- There were signs directing us to the hospital on our journey which would make it easy for patients to locate the building when needed.
- There were notice boards with the staff information.
- There were also Health and Safety notice boards.



# How satisfied are you/others with the service?

- The parents of the inpatients described the service as caring and helpful.
- The parent we spoke to said she would rather be at home and not in hospital but she was happy her child was getting the care she needed.
- We thought the service was really good and the food was healthy.
- We thought the patients were being treated well.
- We sampled the food and thought it was very child friendly but didn't think there was enough choice.
- We thought the staff we met were kind and helpful.
- The toys were very good.
- We thought it was very age appropriate as there were toys for younger children and game consoles for teenagers.

#### How satisfied are you/others with the service?

- \* There were arts and crafts room for children so they had things to do.
- \* All the toys were cleaned after they had been used.
- \* TV was free for children to watch between 8am-8pm.







# How are children involved in the delivery, planning and evaluation of the service?

- Hospital staff always explained to the children and parents what was going to happen.
- Questionnaires were given to all children and parents about their time in the hospital.
- There were feedback boxes in the hospital.



#### Observations

- \* The bays had more than one bed, we liked this because it meant the children would have company.
- \* Some of the rooms only had one bed, these were for older patients and meant they could have more privacy.
- \* We liked the desk because it looked like a castle, this meant children would feel more at home.
- \* There were child friendly paintings on the wall.
- \* The hospital was raising money to paint the rest of the walls.
- \* There were lots and lots of choice of games and activities to occupy the children.

#### Recommendations

- \* We think there should be more food choices for varied ages.
- \* We think the temperature in the ward was hot, there be more air conditioning.
- \* We also suggest there should be more colour outside as it was dull and grey.



Thank you for listening to our presentation. Would anyone like to ask any questions? ©:

6.4 - Appendix 3

#### OUR INSPECTION AT THE NORTH TEES HOSPITAL OUTPATIENTS (APPENDIX3)

By Oscar, Elisha, Jacob, Keona and Carl.

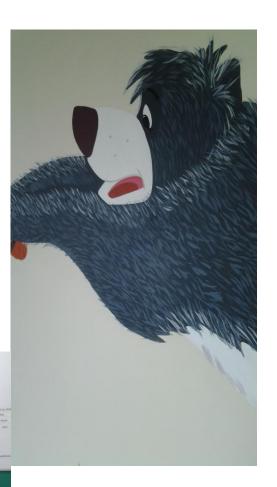


## **Introduction**

- The Junior Inspectors have been working hard with the hospital inspection.
- We inspected the North Tees hospital because children would be more honest than adults.
- When we inspect the hospital we need to see if it is fit for children and young people.
- We need to see if we can try and find the pros and cons about the hospital.
- Before we went we learnt about the hospital and thought about what it would be like to be a child in hospital.
- We planned the questions we would ask.

## **Environment (positive things)**

- Waiting area was very colourful and child friendly.
- Reception people welcoming and kind.
- Pictures when we walked in were nice and bright for every ages.
- The rooms were very reassuring.
- The reception staff were very sympathetic to patients.
- It was suitable for young children.
- It was attractive and vibrant.
- The hospital was very clean.
- It was a lot better than we thought.



## What we would improve

- The reception could have been brighter.
- More magazines in the waiting area for children.
- Displays weren't that child friendly, said 'what not to do, not what you should do.
- The hospital corridors could be brighter they were grey and green.
- The sign for the children's outpatients was too high up.

## Accessibility (positive things)

- The signs were very instructive.
- There were ramps and lifts so the people with wheelchairs can get up.
- Signs to the children's ward were clear.
- There was automatic doors with good security.



← South	Wing	
	sthetics Depar	tment
← Breast		
	al Engineering	
- Discha	arge Liaison Tea	m
← Dept.	of Respiratory	Medicine
	tes Service	
	Ion / Organisation	Development
	copy Unit	
+ Lung I	Health	
	al Illustration/P	hotography
	ational Therapy	Centre
	ational Health	
	ell Centre	
- Tees B	owel Cancer Scre	ening Centre
	y Department	
	graduate Centr	9

#### Accessibility (what we would change?)

- The door buzzer wasn't answered as quickly as it should have been.
- The waiting room was based around the littler children instead of the older children. The paintings and the toys were for younger children.
- The reception wasn't very interesting to children.
- More automatic doors not push doors.





## Is it clear what the service does?

- Clearly signposted.
- Notice boards told us what happened in the hospital.
- The hospital staff spent time demonstrating machines and equipment to us.
- It was obvious from the equipment in the rooms.
- Signs on the doors to say if the room was occupied.
- The hospital staff took time to introduce themselves and what their roles were.



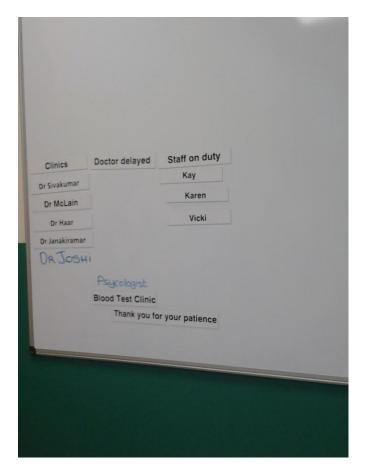


## How satisfied are you/others seem to be with the service?

- When we talked to some of the parents they said that sometimes the service was a bit slow and they'd had to wait to be seen. She said there had been an emergency that day.
- One parent said that sometimes they have been called in early for their appointments.
- The staff we spoke to said they enjoyed their jobs and they wouldn't want to do anything else.
- One parent said that her child was well cared for in the hospital.

## How are children and young people involved in the delivery, planning and evaluation of that service?

- Feedback forms
- Comments boxes
- Parent said she was asked about her experience by staff.



#### **Observations**

- The staff were very friendly.
- We were made to feel very welcome and we were comfortable asking our questions.
- We were asked to wash our hands-good hygiene.
- The waiting area had good books and toys.
- We liked the way they disguised needles for smaller children.
- Good distractions for children eg: pictures on the ceiling.
- TV in the waiting area with children's programmes.







#### Recommendations

- Outside the children's ward it should be more colourful.
- Colourful footsteps taking you to the children's ward.
- Child friendly displays.
- More magazines in the waiting area for children.
- Reception to be brighter.
- Activities for older children in the waiting area

#### Questions?

#### 6.4 Appendix 4

#### Young Inspectors Inspection Report Template – Initial Inspection



Support worker name:		Area: Hartlepool			
Juliette Ward					
Young Inspectors' names Maddy.	<b>s:</b> Dylan, Teegan, I	Neve, Katie, Marle	ne, Terri Lee, Charlie,		
Service inspected:		Who requested the inspection?			
Hartlepool Children's Ward		Clare Wise			
Name and contact details inspection: Juliette Ward Young Inspectors Co-ordin Standards, Engagement an Level 4 Civic Centre Victoria Road Hartlepool TS24 8AY Inspection start date:	ator	eam	Report date:		
2/6/17					
About how many hours did the inspection activities take? 45 mins Below, please briefly describe the inspection activities used. Please attach the young					
inspectors' reports and any additional documentation.					
Observation(s) conducted?	Interviews cond		Surveys conducted? No		
Yes	What was the for interviews? Que		What was the focus of the surveys?		
What/who was	Who was intervi		N/A		
observed? The ward, facilities and	Individual or gro 1 play worker and		Who were they given out to?		
staff	How were the inter		N/A		
How were observations recorded? Notes	recorded? Notes		What type of survey was it – paper, electronic? N/A		

#### Overall impressions of the service including strengths and areas for further development

#### Question 1: Is the service accessible?

We found the service to be accessible as it was on a main bus route which had access from all areas. There was also a shuttle bus that runs between Hartlepool and North Tees hospital every 30 minutes. There were lots of signs leading to the service and clear signs at the entrance which made it easily identified by members of the public and service users. Once inside the hospital we found the signs were very clear and found the children's ward easily.

Once on the children's ward we found that everything was accessible for all; There were accessible toilets, the corridors were wide enough to get wheelchairs through and the doors were automatic.

There was an area for children and young people and lots of toys in the waiting area.

Children and young people are not able to stay overnight in the hospital as it is only a day service, in emergencies they would be transported to north tees hospital.

Interpreters were available if needed.

#### Question 2: Is the service welcoming?

The service was brightly decorated throughout with lots of information on the walls and although it was bright and friendly it was a bit dated.

The walls have lots of information on them with posters and a parent's information board. The ward was clean and there were lots of hand sanitizers throughout the ward.

The staff had a board with their names on and the young inspectors found this very helpful. There is a very large waiting room with plenty of seats, a tv and toys for children to play with while waiting to be seen.

The staff used books and pictures to distract the children and young people when taking blood samples and they would be rewarded with a certificate.

Staff were very friendly and welcoming and the children and young people had a room to play in which was stocked with lots of arts and crafts and toys for the younger children. For the older young people there was lots of games, a television, music, play stations and a WII with lots of games, books, magazines, etc. Though this was all in the same room.

All rooms had access to televisions which were free and the rooms were large and comfortable for the children and young people. Unfortunately we did not have the opportunity to speak to any children or young people because they had either gone home or were still in theatre. Everything was very clean and tidy and was regularly checked. All bedding was changed every time a patient left and everything was signed clearly.

Older children were given the opportunity to decide if they wanted to be on the children's ward or moved to the adult ward and the young inspectors felt this was a good option as the ward was more for children rather than young people.

#### Question 3: Is it clear what the service does?

Everything was clearly labeled and there were posters with information on all over the ward. There were pictures of the different uniforms on the walls to show which staff were doctors, nurses and play workers, etc.

The reception area was clearly marked and had a relaxed feel to it with lots of seating and information on the walls.

#### Question 4: How satisfied are you/do other young people seem to be with the service?

Unfortunately we were unable to speak to any children or young people but staff told us that the general feel was they were happy with the service.

#### Question 5: How are young people involved in the development, delivery and evaluation of the service?

Young people were offered a choice of having a private room if any were available with the option of more privacy; this was usually taken by the older young people.

Questionnaires were sent out to schools in the Tees area asking what they would like in the ward and this information was used to make any changes. And questionnaires were offered in hospital as well and there was a suggestions board.

Feedback cards were available once treatment was finished though these were headed as thank you cards so this needs to be looked at to make them clearer.

#### Strengths:

The staff are again the strengths of the service as everyone was very friendly and welcoming followed by the relaxed environment with all of the different themed walls.

The ward was very clean and everyone wants to offer the best support they can to all of the children, young people and parents.

The service offer as many games and activities to the children and young people and are open to suggestions from the service users.

#### Areas for further development:

- Consider making a dedicated teenager ward and more young people friendly
- Consider offering free wi-fi all of the time (for both young people and parents)
- Consider having a charging dock (for mobile phones) for everyone to use during their stay
- Consider changing the staff uniforms so that they are more appropriate to the weather summer/winter
- Change the comments card which currently looks like a thank you card.
- Consider overnight stay for service users

#### General impressions and comments:

Overall it was a very positive visit and it was good to speak to the staff from the ward young people that were on the ward. The staff do a very good job on what seems to be a restricted service

The ward was very clean and there was lots of information on the walls including the complaints procedures.

Hartlepool Hospital Outpations Inspection Report By Nathan, Emily, Billy, Lara, Millie, Beth, Izzy and Lucas. 6.4

Appendix 5

cline

## Introduction

- We were asked to inspect Hartlepool Children's Ward.
- We planned what questions we would ask.
- We looked at the hospital information before we went.
- We met with staff and patients during the visit.



## Is the service accessible?

- We think it was accessible because the hospital had automatic doors and lifts.
- If you were in a wheelchair you would be able to get to the ward as there were ramps and wide corridors.
- The beds moved up and down so you could get on them easily.
- The desk was low so children could see the receptionist.



## Things we would change

- If you were in a wheelchair you wouldn't be able to reach the vending machines or the chemist counter.
- Doors to the café were not wide enough for a wheelchair and not automatic.
- The desk could be smaller for younger children.



## Is the service welcoming?

- Parent we spoke to said it was welcoming
- She was comfortable being there and the children were entertained in the waiting room.
- We thought it was 'ideal'
- The pictures on the wall were child friendly, children would feel happier seeing them.
- Liked the jigsaw pieces on the floor.
- It smelled clean.
- The toys were awesome.





## Things we would change

- Not enough colour in some areas ie: front desk.
- Some sensory buttons/noises.
- Some toys for older children/teenagers.



## Is it clear what the service does?

- Notice boards telling us what staff did.
- Signs signalling where the hospital was.
- Equipment in the rooms let children know what is happening in there.























# How satisfied are you/do other people seem to be with the service?

- Parent we spoke to said she was very satisfied, the staff are good and kind.
- The children we met were happily playing.
- We thought the service was good.
- The people we spoke to were very helpful and friendly.
- They were happy to answer our questions.
- All children are treated well and fairly, they may be nervous about being in hospital.

How are children, young people and parents involved in the development, delivery and evaluation of the service?

- Questionnaires given out to all patients.
- Feedback box where people could put suggestions.
- Staff will explain to children what's going to happen to them.







# Recommendations

- A step to be provided for smaller children to reach/see.
- Ipads in the waiting room (connected to wires)
- Sound to be louder or subtitles to be on the TV or bluetooth earphones.
- The floor was a bit too hard should be softer because of falls.
- The reception desk should be immediately as you go in.
- Toys to be checked to make sure they're not broken.

## Recommendations cont...

- The toys should be labelled property of Hartlepool Hospital.
- The reception desk could be lower.
- Toys/entertainment for older children and teenagers in the waiting area.



## Questions

### Hartlepool and Stockton Young Inspectors Consultation Report on Emotional Wellbeing and Mental Health and the Use of Digital Technology

### Purpose of Report

The NHS Clinical commissioning Group for Hartlepool and Stockton commissioned Hartlepool Borough Council to indentify young people from Hartlepool and Stockton to be trained to become Young Inspectors/Peer Researchers. A support worker from Hartlepool co-ordinated the work and delivered training to the young people. Once the training had been completed the young people would consult with young people in Hartlepool and Stockton on emotional wellbeing and mental health and the use of digital technology.

The aim of the consultation was to identify if young people would;

- Use digital technology to find out about services and support for emotional health and wellbeing.
- To find out if young people accessing CAMHS services would use digital technology?
- To find out if young people had used digital technology to access support?

### **Methodology**

Organisations across Hartlepool and Stockton were contacted asking to refer any young people that they felt might be interested in becoming a young inspector/peer researcher. Once contacts were received the support worker visited the young people and recruited them. The recruitment stage was quiet difficult initially as organisations were slow to get back in touch and once contact details were passed over many of the young people particularly from Stockton had other obligations so were not able to attend the planned training weekend. Many of the young people from both areas that were recruited were quite young and the group was made up of mostly 12 to 15 years.

The training was delivered over two days in Hartlepool and included;

- Teambuilding
- Communication skills
- Equality and diversity
- Positive and negative body language
- Interview skills
- Report writing and presentation skills
- Confidentiality and research skills

The training included learning about the 5 big questions of the young inspectors which are;

- Is the service accessible?
- Is the service welcoming?
- Is it clear what the service does?
- How satisfied are young people with the service?
- And how are young people involved in the development, delivery and evaluation of the service?

From the outset it was clear that this was not going to be an easy task in the sense that emotional wellbeing and mental health is a very large and important area and initially the young people only had basic knowledge on mental health. To tackle this enquiry the young inspectors decided to meet up every week and also some weekends so that they could gain a good understanding on mental health and emotional wellbeing and to look at what digital apps were available for young people. The Stockton young people requested to meet in Hartlepool as they liked the venue that we used so transport was provided to pick them up every week.

9 young inspectors from Stockton and 16 young inspectors from Hartlepool were involved in this enquiry process; aged between 12 years and 17 years of age; 21 female and 4 male.

To understand mental health the inspectors looked at what mental health was, how it affected young people, the different areas i.e. depression, bereavement, etc, the stigma, the affect on the whole family, what mental health looked like, what support was available to young people, the symptoms and risks, and how we talk to young people with mental health problems. The group also looked at the importance of looking after yourself and how to speak to someone to help with emotional wellbeing.

During the weekly sessions it became apparent that all of the young people in the group had experienced some form of mental health problems (either themselves or family members). This helped the group identify with the issues that surround mental health and they discussed how this could lead to being bullied and added pressure from their peers and family. Many of the group had had experience of working with CAMHS in their local area.

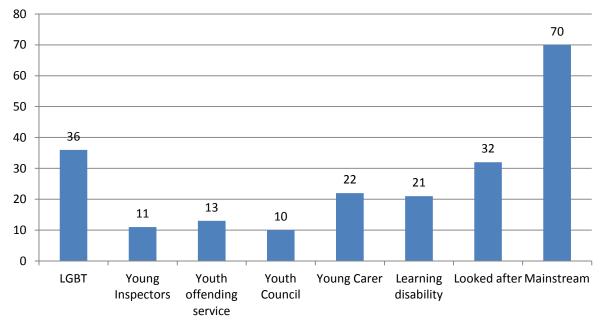
A series of questions were devised by the young inspectors, to ask targeted young people across Hartlepool and Stockton using a questionnaire. A list of organisations was developed who the young inspectors thought should answer the questionnaires. These included youth offending services, looked after children, young people with learning disabilities, LGBTQ, young carers and mainstream young people. The questionnaires asked the young people for information including age, gender and if they would like to be involved in focus groups to discuss mental health and emotional wellbeing further.

The focus groups met across Stockton and Hartlepool and the young people were asked to prioritise a list of factors from important to least important on being healthy mentally. They were also asked to search for mental apps for young people and to suggest what should be on an app (what they felt important).

Although most of the services we contacted took part many of the services did not get back in touch, had low responses or lost the questionnaires (different staff dealing with the questionnaires). The questionnaires we did receive back were answered openly and honestly though some of the answers on the questionnaires were quiet worrying and the young inspectors feel that more work needs to be done to offer support to young people.

### **Findings**

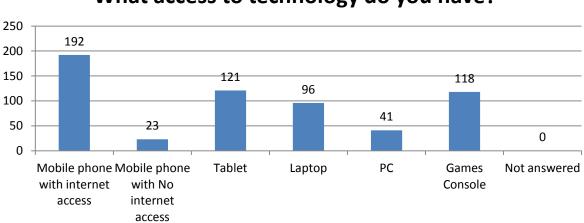
A total of 215 young people (149 from Hartlepool and 66 from Stockton) aged between 12 and 22 years of age answered the questionnaires, 132 Female and 83 Male. While 53 young people took part in the focus groups.



### **Questionnaires completed by**

### Access to technology

89% of young people had access to the internet by mobile phone, while others had access at school, at relatives and friends houses. Many of the young people had access to tablets and laptops and a large proportion had access to games consoles.



### What access to technology do you have?

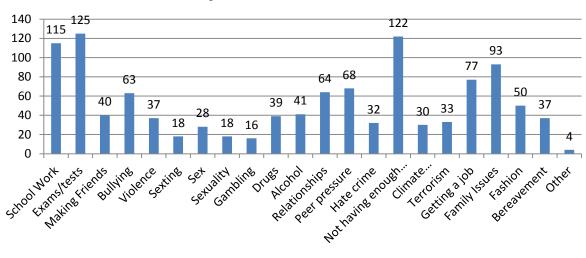
### Worries and concerns

### The biggest worries and concerns for young people were;

- School work and exams
- Not having enough money
- Family issues
- Getting a job
- Peer pressure
- Relationships
- Bullying

#### Other worries and concerns mentioned were;

- Mental/physical health
- Friendship groups
- The way people think about me
- The decisions I make



### What are your worries and concerns?

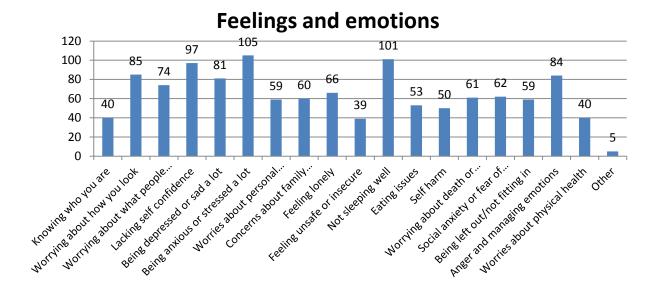
### Feeling and emotions

### The most common feelings and emotions of the young people were;

- Worrying about how they looked
- What other people thought about them
- Being anxious or stressed a lot
- Not sleeping well
- Anger and emotional issues
- Lacking self confidence

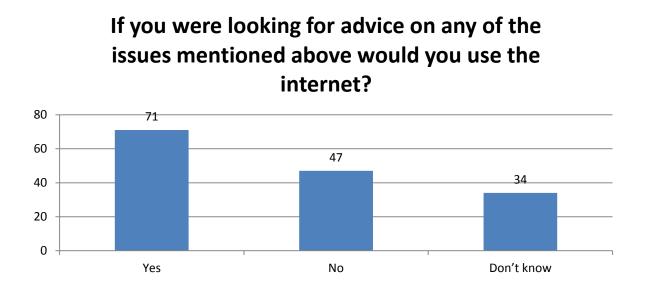
### Other feeling and emotions mentioned were;

- I can be violent
- Tried taking my own life
- Bottling things up
- Don't like being on my own
- Lonely



### Help and advice

Less than half of the young people said that they would use the internet to look for advice for any of the issues mentioned.



### Who would you go to for advice?

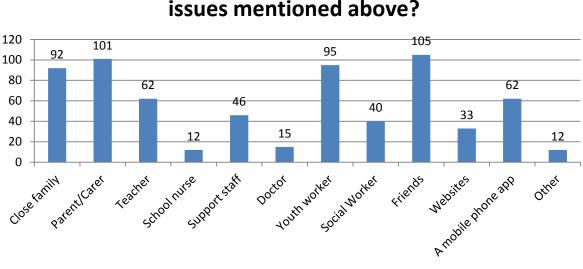
Friends came out higher as the person they would more likely to go to for support, followed by parents or carers. Many said that they would go to a youth worker or close family.

### Other people they would go for advice were;

- Girlfriend
- No one
- Because I have leant that I can only depend on myself
- No one- No one takes me seriously
- Therapist
- Church group
- People at hart gables
- I don't go to anyone
- Don't want real people to know my problems because people will try to help or tell people i don't want to know
- No one takes me seriously because I am young
- No one else
- Independent Visitor

### They would go to the above for advice because;

- I trust them more than my family
- Because I trust my nana with anything and i can trust my uncle
- They are my family
- Trust them
- I am very close to my family
- I can trust my uncle and nephew
- Because they will help us if we are upset
- It's because i trust these people and would go to them straight away
- Because I don't like talking to people about my feelings but I know my friends will not say anything unless I need to
- Because I am very close to my carer
- They look after me
- I trust them more than my family
- They help me when I need them
- I can talk to them easily
- They know when something is wrong with me
- They are confidential
- Good advice for me
- Not as personal as family sometimes anonymous so not as stressful
- They listen to me

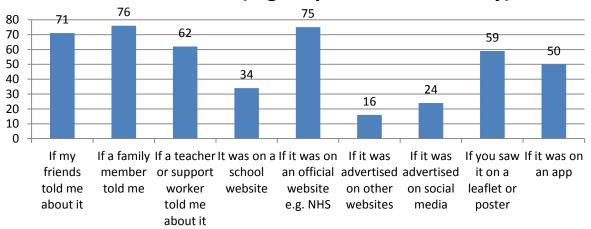


## Who would you go to for advice on any of the issues mentioned above?

### What would make you trust information?

The young people were more likely to trust information from an official website (NHS) and again if a family member told them followed by a friends or support workers.

# What would make you trust information from a website which provided information about mental health? (e.g. depression or anxiety)

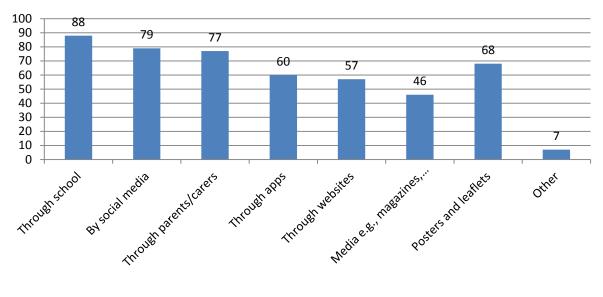


### How to make young people aware where to get help and advice

School was identified as the best way to make young people aware of how to get advice followed by social media. Many also thought that parents and carers were a good way to get information out. Posters and leaflets came high followed by apps.

Comments made by young people said that regular assemblies would be a good way to get information out.

### What do you think is the best way to make young people know what help and advice is available to them if they have mental health worries?



The young people suggested that the below would be a good way to get help and advice;

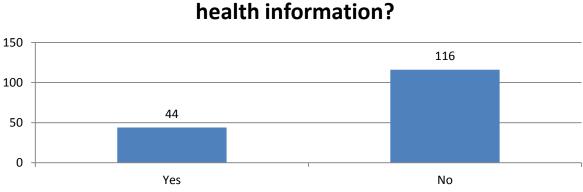
- Doctor
- Speeches and personal stories
- My friends
- Conferences
- Assemblies
- Youtube
- Music adverts

### Have you ever used an app for mental health information?

The majority of young people had never used an app before for mental health while those that did many could not remember the names of the apps they used. The common theme was that many of them had used an app recommended by school when they were doing exams. Mindfulness apps were mentioned many times to help with anxiety.

### The young people had used;

- Tests online
- We tried but hardly any applied to my age
- Child line app
- Mindfulness when I did my exams
- Sam
- Can't remember something for my anxiety
- Calm
- Silent secret
- Mindshift lite
- One app for serious anger issues
- It was a tester app developed by my old schools anti-bullying group which didn't launch and a Swedish app
- Can't remember it was for exams
- Mindfulness app

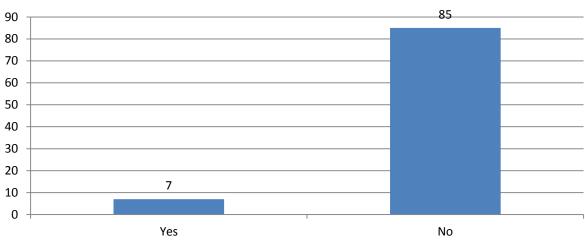


## Have you ever used an app to find out mental health information?

### Can you name any mental health apps?

The apps named were;

- Mind
- Booster Buddy
- Mindshift
- Silent Secret
- Calm
- Anti bullying
- Mindfulness
- NSPCC
- Flowy

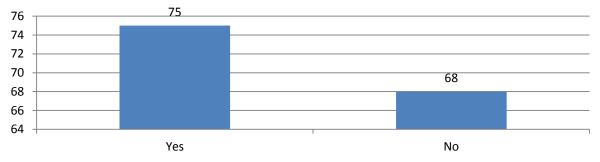


### Can you name any mental health apps?

### Have you ever had support from CAMHS?

75 of the young people consulted had accessed CAMHS or were waiting for an appointment.

### Have you ever had support from CAMHS for any mental health issues?



#### Those who said yes, said an app would help them because;

- It would make me more organised
- Yes definitely because I always have my phone
- It would as I can remind my mam and I would know when it is
- When we have lost the letter
- Yes my mam has a lot to think about for my brothers and sisters
- I would know when I was going
- My mam forgets
- Wouldn't have to ask my mam all the time
- Depression
- Waiting for appointment
- It would work well for appointment reminders and if there were resources to use
- So my mam wouldn't have to remind me

#### Those who said no they wouldn't use an app because;

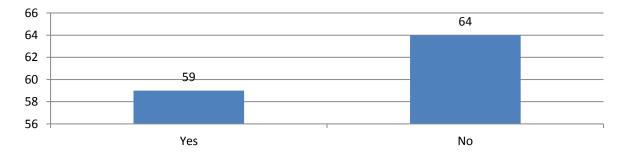
- No not trustworthy
- No I get a timetable for that
- No my teacher reminds me
- No my mam tells me

### Would you use an app or online service for counselling?

Many of the young people said that they would not use an app as they preferred face to face support as they found this to be more personable. This also helped build a trusting relationship and helped them feel safe.

The young people that said yes to an app felt that it would be easier for them as they don't like talking to people and this could make them more anxious. They also felt that they would be dealt with quicker and have easier access when they needed it.

### If you needed counselling would you use an app or an online service to support you instead of face-to-face support?



#### Those who said yes they would use an app because;

- I'm shy
- In case you don't like talking in front of people
- It's important
- Don't have to see worker
- Because talking in person panics me
- Because if there on the internet they are free
- Because they know what they are doing
- Easier to access
- More confidential
- It would be free
- Its anonymous
- So you don't have to face that person and don't get nervous
- Might not like talking to people
- Don't like talking to people
- It would be free
- Prefer using my phone
- Don't like people asking a lot of questions

- They can't see you
- It would be quicker
- I strongly don't like human interaction
- Because it's easier
- I'm always busy
- To help build trust with the counsellor for the first few meetings
- I would feel a lot more comfortable
- Would be easier
- I would know when to go
- Stop me stressing out about meeting new worker
- Help me see if I want to go
- I get anxious at night so if you could access it then it would help me

#### Those who said no they wouldn't use an app because;

- Rather talk to someone face to face as its nicer
- Because it's pointless
- Because the internet makes stuff up
- Prefer face to face
- I like to know who I'm exactly communicating with
- Face to face is easier and more direct
- Trust issues
- I wouldn't trust it
- Because I'm talking to them in person, over an app I could be talking to anyone
- Because I find it very hard to trust people
- Because it might not be true
- I'm too afraid to let out my emotions, what if they don't really care? What if they don't understand about how I feel I don't tell myself my own problems
- Because speaking feels more comfortable when you know them
- Because you know the person you're talking to
- Because I would rather do it face to face
- Cos a person can make their advice more relevant to your particular condition
- Would speak to family
- Don't like talking about how I feel
- Because if it's a face I can trust them
- It's not always true
- Because I would need to know if it existed and it would help
- Rather speak face to face so not ignored
- I prefer face to face, it seems more personal
- Don't have internet
- I like talking to my worker
- Better speaking to a person so they get to know you
- What if it was someone else pretending to be me
- Like talking to a person
- They know how to calm me down
- I've been before its crap, no help

- Not reliable
- Don't like it
- Because you can get more advice in a way you can understand
- Don't need them
- Face to face can be better because you can have true facts
- You don't know who you're talking to through the website
- Is it safe
- Can answer my questions if face to face
- Prefer talking to people

### **Focus Groups**

The focus groups discussed the positives and the negatives of using digital apps to support mental health, stigma, where to access support, how an app would support them, and what should be on the app. They then discussed what was most and least important to them for emotional wellbeing.

### Positives

- Convenient
- Can remain anonymous
- Can help someone new to the support and counselling system (first steps)
- Free to use
- Open to a wider audience (help people in remote areas who can't access support)

### Negatives

- Won't work for everyone
- How secure is it?
- Loose the trusting relationship which is gained through face to face support

### Stigma

The young people felt that there is too much focus on being 'normal' and young people having to live up to the need to be 'normal'. They felt that mental health in young people isn't talked about enough and this adds to the stigma which causes more problems.

### Where to access support

The young people felt that schools are the best place to access support but not enough is being done in the schools. Many felt that lots of information is provided in the schools but not followed up regularly. If schools did have access to counsellors the young people felt that it could be difficult to access them as they didn't have enough time. Schools could promote conferences, have services come in to talk in assemblies and have information on the school websites. A lot of the young people felt that youth clubs were good to access support as you could speak more freely to the youth workers.

### How could an app support?

The young people felt that an app could offer advice on services, tools, techniques, free up school counsellor's time and help young people recognise if they have a mental health issue.

### What should be on the app?

The young people thought that the app should have contact numbers, advice for different situations, access to counsellors, access to mentors, coping strategies, games, blogs from other young people, and advice on who to talk to in a crisis and videos on breathing exercise, etc. The app should be bright and appeal to young people and young people should be consulted in the design of the app. The app should be available 24 hours a day and support to counsellors available at times when young people are able to use this support, i.e. early morning or late at night as they felt this is the time when young people are more anxious.

### **Emotional Wellbeing**

### The young people were given a list of themes for having positive emotional wellbeing and asked to put them in order of importance.

- Feeling loved, trusted, understood, valued and safe
- Accepting who they are and recognising what they are good at
- Feeling they have control of their own life
- Having a sense of belonging in their family, school and community
- Being interested in life and having opportunities to enjoy themselves
- Having time and the freedom to play, indoors and outdoors
- Being hopeful and optimistic
- Being able to learn and having opportunities to succeed
- Being part of a family that gets along well most of the time
- Taking part in local activities
- Going to a school that looks after the wellbeing of all its pupils
- Having the strength to cope when something is wrong
- Being in good physical health

While discussing this with the young people many found it difficult to think about what they felt was most important as they felt that most of the things on the list supported each other so you could not have one without the other.

### Recommendations

- Young people help design mental health apps
- Young people help promote mental health apps
- Young people to develop news and blogs for mental health apps
- Schools to offer more support and information on mental health issues
- Teachers and support staff to be given more training on how to notice the signs of mental health issues
- Parents/carers offered more information and support on mental health issues
- Make sure any mental health apps for young people are safe and secure

### Conclusion

The young inspectors worked really hard on this project and some interesting information came out of it. There is clearly a lot more work that needs to be done on mental health but the general feel of the young inspectors is that an app on mental health would benefit young people.

Many of the young people that took part in the questionnaires said that they would not use an app but after further discussion during the focus groups it became more apparent that young people would use them.

At the moment there isn't a lot of information around about mental health apps and if young people were included more in the design of them the young inspectors feel that many young people would use them.

As mentioned earlier a lot of the young people had accessed CAMHS and some felt that they had to wait a long time before they got an appointment so an app would help with this.

It also became clear that the young people feel that schools should offer more support around mental health as the pressures of school cause young people a lot of anxiety.

### **CHILDREN'S SERVICES COMMITTEE**

17<sup>th</sup> October 2017



**Report of:**Director of Children's and Joint Commissioning<br/>Services

Subject: REVIEW OF ADDITIONALLY RESOURCED PROVISION (ARP)

### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-key

### 2. PURPOSE OF REPORT

2.1 For Children's Services Committee to approve a review of all Additionally Resourced Provision (ARP) within the town as part of the SEND review.

### 3. BACKGROUND

- 3.1 An Additionally Resourced Provision is where a school is additionally funded to provide education to children with Special Educational Needs and Disabilities (SEND). Each ARP specialises in a particular area of special educational needs e.g ASD (Autistic Spectrum Disorder)
- 3.2 A review of Special Educational Needs and Disabilities (SEND) provision across the town began in the last academic year (2016-17) in order to address the increasing needs of children and young people in Hartlepool. This increasing need is placing significant pressure on the High Needs Block funding.
- 3.3 There are a number of pieces of work that are being carried out to review these needs, provision to meet these needs and the funding. These include; a review of the banding descriptors for children with additional needs alongside funding allocations and an SEMH review.
- 3.4 This phase of the SEND review is focusing on the Additionally Resourced Provision to ensure that it can meet the needs of young people both now and in future years. Officers will review the needs of each cohort taking into



consideration the recent Autistic Spectrum Disorder (ASD) and Social Emotional and Mental Health (SEMH) reviews. The aim is to further improve outcomes for children with special needs and build capacity in identified areas of need across the town. This will involve the reshaping of services to allow earlier support and intervention for children when they first present with special needs. It is hoped this will increase the number of young people transitioning from an ARP back into a mainstream school and reduce demand for specialist placements both in and out of area.

- 3.5 The provision which is commissioned from schools, presently in Additionally Resourced Provisions (ARPs), will be considered against the needs of the existing cohort, future demand and geographical split across the town to ensure children and young people can access appropriate a support near to where they live, this would also minimise the need for transport across the town. Any changes would be phased and transitional arrangements would be put in place to accommodate children in their placement until the end of the key stage.
- 3.6 The Additionally Resourced Provision currently available in Hartlepool is as follows:

School	Key Stage	Type of provision	Number of places
Eskdale Academy	1	Speech and Language	10
Kingsley Primary School	1 and 2	Autistic Spectrum Disorder	25
Grange Primary School	1 and 2	Autistic Spectrum Disorder/Physical and Medical	16
High Tunstall College of Science	3 and 4	Autistic Spectrum Disorder/Physical and Medical	20
Manor Community Academy	3 and 4	Autistic Spectrum Disorder	25

- 3.7 It is critical that we review SEND provision in Hartlepool for the following reasons:
  - The current ARP provisions are designated for needs which are now not in proportion with the cohort needs. This has been identified with particular reference to the lack of provision for children and young people with Social, Emotional and Mental Health (SEMH) needs and young people with ASD at key stage 1 and 2.
  - Earlier intervention and support to schools when a pupil first presents with special educational needs would enable more pupils to remain in their home schools.
  - Some children are being sent out of the Borough to access specialist, independent placements which are very costly.

### 4. PROPOSALS

- 4.1 It is proposed to move to a model with the following principles:
  - Provision to match the four areas of need as defined in the SEND code of practice in proportion to the cohorts in Hartlepool Communication and Interaction, Social, Emotional & Mental Health (SEMH), Physical and Medical, Cognition and Learning.
  - Provision to provide an early transition from primary to secondary provision.
  - Provision to be located in geographical locations spread across the town.
- 4.2 As part of the review the following work programme will be undertaken:
  - To allow schools an opportunity to comment on the current provision and possible future models, a questionnaire will be issued to schools at the end of Sept/beginning of October. Consultation sessions will also be held with schools to understand their views.
  - Parents/carers of children accessing Additionally Resourced Provision will also receive a questionnaire at the end of Sept/beginning of October, to capture their views on the current provision.
  - A further detailed analysis of current need against current provision will be undertaken in the autumn term to ensure that future provision is aligned to the needs of our children and young people.
  - Children's Services Committee will receive a report detailing the feedback from the consultation exercise and outlining the outcome of the needs analysis. Approval will be required at this stage to progress with the next stage of the process.
- 4.3 If approval is received from Children's Services Committee, progress will be as follows:
  - Schools and academies will be informed of the proposed model for future provision.
  - All schools and academies will have an opportunity to submit applications to deliver the proposed provision in each of the specialist areas. These applications will be assessed against a clear specification that will be shared with schools as part of the application process.

- A further report will be taken to Children's Services Committee outlining the outcome of the application process.
- Where necessary transition arrangements will be implemented to ensure a planned transfer from one provision to another.
- All successful schools/academies will be monitored and assessed on a regular basis as part of the commissioning process.
- 4.4 A significant amount of work has already been undertaken in relation to identifying solutions for the growing issue of Social Emotional and Mental Health provision for children and young people across the town. Schools, academies and local authority officers have undertaken a review which has highlighted the need to address this issue across all stages of education provision. In order to address these priorities the Council will have to review all ESFA funded places to ensure that they are aligned with the needs of the children and young people in the town. The Council is unable to obtain additional places from the ESFA and therefore has to utilise the current places to the best effect.

### 5. RISK IMPLICATIONS

5.1 Failure to undertake a review of the Additionally Resourced Provision will result in a mismatch of placements against need, over or under commissioning of place funding and a lack of placements for areas of identified need resulting in Hartlepool provision not being able to meet need.

### 6. FINANCIAL CONSIDERATIONS

6.1 The review of places will make savings to the current High Needs Funding spend with a view to reducing the number of out of area placements.

### 7. LEGAL CONSIDERATIONS

7.1 The Children and Families Act 2014 is the legal basis for the changes to the SEND system which place legal duties on the Local Authority and partner agencies (across education, health and social care) in respect of children and young people with SEND and their families.

### 8. CONSULTATION

- 8.1 Questionnaires will be sent to schools, academies, parents/ carers and the Parent/Carer forum in September to allow feedback on the current provision.
- 8.2 Consultation sessions will take place with schools.
- 8.3 Feedback from the Schools, Schools' Forum and the Parent/Carer Forum will be reported to Children's Services Committee for agreement of the model to be commissioned.

### 9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

9.1 There are no child and family poverty considerations.

### 10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

10.1 There are no equality and diversity considerations.

### 11. STAFF CONSIDERATIONS

11.1 There are no staff considerations.

### 12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations.

#### 13. **RECOMMENDATIONS**

13.1 It is recommended that Children's Services Committee approve the department's intention to undertake a review of all Additionally Resourced Provision within the town.

#### 14. REASONS FOR RECOMMENDATIONS

14.1 To ensure that future Additionally Resourced Provision is based on the needs of the children and young people of Hartlepool, with the aim of reducing demand for specialist placements and addressing needs earlier.

### 15. BACKGROUND PAPERS

#### 15.1 There are no background papers for this report.

#### 16. CONTACT OFFICER

Danielle Swainston, Assistant Director, Children and Families Services Level 4, Civic Centre, Victoria Road, Hartlepool, TS24 8AY Telephone 01429 523736 e-mail danielle.swainston@hartlepool.gov.uk

### CHILDREN'S SERVICES COMMITTEE

17 October 2017



## **Report of:** Director of Children's and Joint Commissioning Services

Subject: ANNUAL COMPLAINTS REPORT 1 April 2016 – 31 March 2017

### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information only.

### 2. PURPOSE OF REPORT

2.1 To present the Annual Complaints, Compliments and Representations report for 2016/17.

### 3. BACKGROUND

3.1 The Annual Complaints, Compliments and Representations Report provides information on the complaints and representation framework for children's social care functions. It summarises information in relation to complaints that have been received and responded to, as well as compliments received, during the reporting period.

### 4. PROPOSALS

- 4.1 The report is attached as **Appendix 1** and provides an analysis of complaints and compliments and demonstrates learning that has occurred from complaints and actions implemented as a result.
- 4.2 The report includes:
  - Complaints and compliments received in 2016/17;
  - Outcomes of complaints;
  - Learning lessons and service improvement; and

• Complaints considered by the Local Government and Social Care Ombudsman in 2016/17.

### 5. **RISK IMPLICATIONS**

5.1 There are no risk implications identified.

### 6. FINANCIAL CONSIDERATIONS

6.1 There are no financial considerations identified.

### 7. LEGAL CONSIDERATIONS

7.1 There are no legal considerations identified.

### 8. CONSULTATION

8.1 There is no consultation required in relation to this issue.

### 9. CHILD AND FAMILY POVERTY

9.1 There are no child and family poverty considerations identified.

### 10. EQUALITY AND DIVERSITY CONSIDERATIONS

10.1 There are no equality and diversity considerations identified.

### 11. STAFF CONSIDERATIONS

11.1 There are no staff considerations identified.

### 12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations identified.

### 13. **RECOMMENDATIONS**

13.1 That members of the Children's Services Committee note the contents of the Annual Complaints, Compliments and Representations and note that the report will be published online.

### 14. REASONS FOR RECOMMENDATIONS

14.1 It is a requirement that an Annual Report regarding complaints is prepared; presented to the relevant Policy Committee; and then made available to staff, Ofsted and the general public.

### 15. CONTACT OFFICER

Sarah Ward Principal Social Worker Email: sarah.ward@hartlepool.gov.uk



Complaints, Compliments and Representations Report 1 April 2016 - 31 March 2017

Hartlepool Borough Council Child and Adult Services



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Cover photograph courtesy of www.careimages.com

### 1. Introduction

Welcome to Hartlepool Borough Council's Child and Adult Services Department's Complaints, Compliments and Representations Annual Report. The report covers statutory complaints for adult services, children's services and public health for the period 1 April 2016 to 31 March 2017.

The report outlines:

- Details of the complaints and compliments received over the reporting period;
- Actions implemented, any lessons learned and resulting improvements following enquiry into complaints;
- Performance in relation to 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 Social Care, Children's Social Care and Public Health complaint handling is derived from separate statutory complaint procedures. Complaints which fall outside of statutory complaint regulations are handled under the corporate complaints procedure. The complaints function for Adult Social Care, Children's Social Care and Children's Services sits within the Department's Standards, Engagement and Development Team under the management of the Principal Social Worker. The remit of the Complaints Manager's function 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. The full detail of the complaints procedure is available on the council's website. 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 dependent 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 maximum 6 month timescale to investigate and respond to a complaint. This offers 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. 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 full detail of the complaints procedure is available on the Council's website.

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.

A child, young people or their families/carers 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 Investigating Officer who must be independent of the service area 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 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 the Assistant Director).

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

#### » Stage 3

Independent 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 within 5 working days of the Panel meeting.

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. Public Health Complaints

When complaints are received into the department relating to a public health function the Public Health Complaints, Compliments and Comments Procedure provides the framework for resolution.

Where a person is dissatisfied with a public health function they have received, they have a right to complain. The complaint will be acknowledged within 3 working days. The complaint would usually be investigated by a senior officer. The regulations allow a maximum of 6 months to respond to a complaint (NHS Bodies and Local Authorities Partnership Arrangements, Care Trust, Public Health and Local Healthwatch Regulations 2012) but the person allocated to the investigate the complaint will endeavour to respond as quickly as possible.

### 3.4. Corporate complaints

Where complaints are received in to the Department that do not come under the jurisdiction of the statutory social care or public health complaints procedures, the Corporate Complaints Procedure provides the framework for resolution. A mechanism exists for those complaints which are considered by the Department under the Council's Corporate Complaints Procedure to be reported via corporate arrangements within the Chief Executive's Department. 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.

### » Pre-formal Complaint Stage

An initial attempt should be made to resolve a complaint as quickly as possible. A complaint at this stage should be responded to within 5 working days.

### » Formal Complaint

Where a person remains dissatisfied with a service they have received, they have a right to proceed to a formal complaint. The complaint should be completed within 20 working days.

### 3.5. Referral to the Local Government and Social Care 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 and Social Care Ombudsman (LGSCO) to investigate their complaint. Complainants may also approach the LGSCO directly without accessing the complaints process. In these cases it is usual for the LGSCO 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 factsheets 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 2016/17, 94 compliments have been received relating to Adult Social Care. These range from an expression of thanks and appreciation in the form of a thank-you card to written letters where the benefit of social work or care interventions can be seen to have improved a person's quality of life. Appendix 1 provides some examples of compliments received during the period.

### 6.1.2. Complaints received in 2016/17

A total of 19 complaints were received. One complaint, which was suspended pending the conclusion of the safeguarding adult process, has been carried forward for investigation in 2017/18. The number of complaints received has increased by 3 from last year.

Of the 18 complaints investigated in 2016/17, 17 have concluded local statutory complaints processes and one remains ongoing. To date, one complainant, from the 17 complaints that have concluded local statutory complaint processes, has approached the Local Government and Social Care Ombudsman (LGSCO) with their complaint.

There were no complaints carried forward from 2015/16.

Complaints that were either partly upheld or upheld are outlined in Appendix 2.

### 6.1.3. Client groups

Adult Social Care			
Client group	2016/17	2015/16	2014/15
Older Persons	5	6	4
Learning Disabilities	1	1	1
Physical Disabilities and Sensory Loss	3	1	2
Adult Mental Health (Integrated Service) or AMHP function	1	1	4
Contracted Services	7	7	6
Carers	2	0	0
Total number of complaints received	19	16	17

Complaints were received from 8 males and 11 females.

Complaints which are considered either complex or have a number of elements are usually investigated by someone independent of the council. In 2016/17, Independent Investigating Officers were appointed to 10 of the 19 complaints received. The remaining 9 complaints were investigated and responded to internally.

### 6.1.4. Advocacy services

Of the 19 complaints received, one of the complainants chose to have an advocate assist them with their complaint. However, another complainant approached an advocacy service about how they made a complaint but chose to submit their complaint to the council without the support of the advocacy service to do so.

#### 6.1.5. Timescales and the Grading of Complaints

There is a maximum 6 month 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 complaint to complaint;

- 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 2017/18

Of the 19 complaints received, 2 complaints have been carried forward to 2017/18. These are the one complaint that remained under investigation as at 31 March 2017 as well as the one complaint where the safeguarding adult process must conclude before the complaint can be investigated.

# 6.1.7. Complaints considered by the Local Government and Social Care Ombudsman in 2016/17

There was one complainant who approached the LGSCO for consideration of their complaint. The LGSCO decided that *"The Ombudsman will not investigate this complaint about the Council's actions following allegations the complainant's mother made about him. This is because there is no evidence of fault in the Council's actions and we cannot achieve the complainant's desired outcomes."* 

### 6.2. Children's Social Care

### 6.2.1. 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 2016/17, 6 compliments have been received relating to children's social care. These range from an expression of thanks and appreciation in the form of a thank-you card to written communication. In addition to this, verbal expressions of thanks and appreciation were received from families who have participated in providing feedback about newly qualified social workers and during practice week engagement. Appendix 1 provides some examples of compliments received during the period.

### 6.2.2. Complaints received in 2016/17

A total of 18 complaints were received. Of these, one complainant withdrew their complaint and 2 complainants, despite contact being made to arrange to meet to discuss their complaints, failed to engage with the process leaving 15 complaints investigated. The number of complaints received has decreased by 8

from last year. Complaints that were either partly upheld or upheld are outlined in Appendix 2.

There were no complaints received from children or young persons. All complaints received in 2016/17 were received from parents or carers.

Of the 15 complaints investigated, 13 have been concluded and the 2 remaining complaints have been carried forward to 2017/18. Of these:

- 14 of the 15 complaints were responded to at Stage 1 in the first instance. Of these 14 complaints:
  - 12 complaints were resolved at Stage 1; and
  - 2 complaints progressed to Stage 2 where one remains ongoing and the other has been resolved following the conclusion of Stage 2.
- One of the 15 complaints proceeded directly to Stage 2 without being first considered at Stage 1. The Council exercised its discretion to accept for investigation outside of the 12 month statutory time limit for making a complaint. The Council has the discretion to investigate complaints outside of time limits if (a) it is still possible to investigate the complaint effectively and efficiently; and (b) it was unreasonable to have expected the complainant to have made the complaint earlier.

There were 2 complaints from 2015/16 that were carried forward to 2016/17. Both of these complaints concluded following consideration at Stage 2.

There was one complaint, in addition to the 18 complaints received, that the Council decided not to investigate. The Council decided that the complainant could have raised the concerns in 2013 (or in 2014 when the complainant raised other complaints) and there were no exceptional circumstances to justify investigating it outside of the statutory time limit for making a complaint. The complainant was referred to the LGO who exercised their discretion to investigate the complaint.

### 6.2.3. Advocacy services

Of the 15 complaints investigated, none of the complainants chose to be represented by an advocate or someone else acting on their behalf.

# 6.2.4. Complaints considered by the Local Government and Social Care Ombudsman in 2016/17

There were 2 complainants who approached the LGSCO in 2016/17 for consideration of their complaint. In addition to these, the LGSCO concluded their investigation into one complaint, reported in the 2015/16 annual report, which was carried forward to 2016/17.

In the case of the complaint that the LGSCO investigated in 2016/17, which related to a complaint received by the Council in 2014/15, the LGSCO decided that "The Council was not at fault in the way it responded to recommendations arising from the complainant's children's social care complaint."

- In the case of the complaint where the complainant approached the LGSCO following the Council's decision that there were no exceptional circumstances to investigate the complaint outside of the statutory time limit to make a complaint, the LGSCO decided that "There is no evidence of fault on the part of the Council. The records show the arrangement for X to live with Mrs A was a private family arrangement."
- In the case of a complaint, where the Council first considered the complaint at Stage 1 in 2015/16 but agreement could not be reached with the complainant regarding points of complaint for investigation at Stage 2, the complainant approached the LGSCO in 2016/17. The LGSCO decided that "The Council acted without fault as it was prepared to investigate Mr X's complaint at the second stage of the statutory complaints process for children".

### 6.2.5. Complaints carried forward to 2017/18

Of the 15 complaints investigated in 2016/17, 2 complaints remain subject to investigation at Stage 2 and will be carried forward to 2017/18.

### 6.3. Public Health

There were no complaints received in relation to Public Health. Statistical comparisons were made with regional Local Authorities which confirmed the number of complaints received in this area were extremely low or non-existent.

### 7. Lessons learned

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

### 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

Actions for 2017/18 are as follows:

- Continuing to raise awareness of and promote the complaints procedure for adult social care, children's social care and public health.
- Continuing to remind and encourage the workforce to inform the Standards, Engagement and Development Team when expressions of thanks have been received. These provide an indication of satisfaction with services and should be recorded and reported.
- Continuing to raise awareness of lessons learnt from complaints and ensure they are fed into policies, procedures and practice. There is an established Continuous Improvement Group in children's social care which is used as a forum to receive complaints statistical data and any learning from complaints is used as a driver for improvements.

### Appendix 1: Examples of compliments received across Adult and Children Social Care Services

### Adult Social Care

"J and I wanted to say how much we appreciate all your kindness and help in providing the equipment and things that J needs to help him, and makes his daily life a little easier, safer and more comfortable. I am sure you are well aware that small differences can make a huge difference to a person's quality of life .... it certainly has for us.

From a service user and carer about Occupational Therapy

"S has visited me on several occasions and her practical and caring assistance has really helped me to regain my confidence and maintain my independence. She took the time to listen to my fears and encouraged me in many ways, she made me feel that my mental health was also as important as my physical well being."

From a service user about the Reablement Team

" ..... we would like it to be recorded of the superb service we have had by Social Services .... this service was top class."

From a family member about Adult Social Care

"To have someone make you a cup of tea and something to eat and do little things that you are unable to do for yourself at the time is most gratifying."

From a service user about the Direct Care and Support Team

"I would like to thank everyone involved for the services they provided. It has given me my life back."

From a service user about the Reablement Team

"You have supported me so much since we met ... after mam broke her hip. The challenges we faced were always met with such resourcefulness, it seemed nothing was insurmountable. Your sense of humour made a difficult situation for me so much more bearable."

From a family member about an Adult Social Worker

"I was advised by a relative to contact HBC in regards to my hearing loss, particular in relation to watching TV. A visit was arranged by the Reablement Team ... to be honest, I only wished I'd met this lady a lot sooner, the difference in my being able to hear words instead of mumbles has made my life much better."

From a service user about the Reablement Team

"I had never heard of your organisation prior to my release from hospital. Then I found it reliable, professional and most supportive. Immediately after my release from hospital they enabled me to be at home and to gradually recover. Without the expert help I would not have achieved my recovery. I am afraid there are too many to mention all by name, but I would like to thank them all for their hugely appreciated help and support."

From a service user about the Reablement Team

#### Comments from feedback forms (adult social care)

*"If I need her, she comes straight out and she answers questions and gets back to me when she says she will."* 

"She supports me well. She le's me know when she is visiting and tells me what is happening."

"She is there when I need her."

"She is a much better social worker than I thought she would be. I hope she will carry on supporting us and will make a difference going forward."

"She really has made me stronger. I can now look at myself and know when I'm going to be ill. I haven't been diagnosed with bipolar but my moods do go up and down but I am much better now at knowing when I am going to be ill. She has really helped me with that. She has also helped me with knowing what to do when I am ill."

"Everybody has been really nice and really helpful."

"Social worker was lovely, helped also when I said wheelchair was broken rang the service and they came straight away."

"Talks to me and is very kind, encourages me to do things."

"E was lovely, really helpful and followed up on things and got things in place really quickly."

"She would come straight out and sort things if I was upset - she really cares."

*"S definitely helps - carers come in and because my wife gets support I am able to continue to go to work."* 

"Helps me with everything, reads letters for me I don't read too good."

"Every time I ring, she rings back"

"She always returns my calls"

"J is lovely – she was really supportive. I have only spoken to her once since he has been at Brierton which means I haven't needed her. His is happy and so are we. I would ring J if I have any worries."

"Her demeanour was appropriate for the situation and made it very easy and comforting for the [client] and relatives to engage with her. Her body language showed that she was focussed on the client and the clients opinions and decisions but confirmed that she was prepared to listen to contributions for the relations ... I've subsequently benefitted from her ongoing support over the phone, this is particularly important since I am 120 miles away."

"I wish I had E weeks ago, as she certainly put my mind at rest."

"'She explored in-depth what i felt was needed for my personal care"'

### **Children's Social Care**

"S done more than helped us as family feel supported. He was right on board with our worries and issues from day one. He was there for us."

From a parent and grandparent about a Social Worker

"How do I start to say thank you to you? Since the very beginning you have been totally fab .... and now when things are tough, you go above and beyond what you should do, even though you are so busy."

From a parent about a Social Worker

"To the best Social Worker in the world ... suppose you alright I might not bar you anymore!"

From a parent about a Social Worker

### Comments from feedback forms (children's social care)

*'K listens to my feelings, the children's feelings and all other parties in great detail and does what she can to please everyone.'* 

'I find working with K best out of all the social workers I have had. She listens appropriately and her actions are always explained thoroughly.'

'[S] has helped us as a family put rules, boundaries etc. in place which have worked beyond believe. Bedtimes, time outs, rewards I didn't think were manageable but worked, and still are!'

'If S had been with us over 4 years ago ... I know we wouldn't have had half of the difficult circumstances we had to deal with.'

'There is nothing as a family we can say that S could have done differently. He does his job extremely well ... [he's] been professional, he is approachable as well. He was brilliant and we will miss him!'

'It is totally clear he is 100% committed to his job, and he totally enjoys it. But he is good as it too.'

'I felt I could ask any question regarding my [foster] placement and my feelings or concerns were listened too.'

'The more I got to work with L I felt comfortable in working with her. L is warm and welcoming. I would definitely work with L again.'

'L is a credit to you's, she's the best social worker I've ever had.'

'I really liked her, she was young and I liked that because she was relatable. She gave me confidence in being a Mam.'

'She came across as so knowledgeable and confident.'

'L made things easier by being honest and not 'interviewing'.'

'L is a very pleasant lady who has helped the children a great deal during a stressful time in their lives. She has supported the children throughout every step of the process. This is evident because they think very highly of her.' 'She knew when it was important to act/ intercede in removing the children from an unsafe situation ... she is friendly and approaches the children in a child-friendly/ appropriate way.'

'Having a collection of MH dx to my name, I often feel they walk into a room before I do but I feel L has taken the time to get to know me as a person and therefore I was able to trust her and be honest about my feelings.'

'We have discussed some really painful events and L has done this sensitively and with respect. She is great with the children and they have come to look forward to her visits.'

'I can't think how someone could have done a better job.'

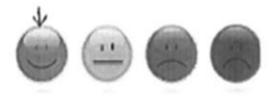
### Feedback Form

- Did i explain who she was and that she was a social worker?
- 2. What does a social worker do?

1

Do you feel that she listened to you and your wishes and feelings?





5. Overall, how did you find working with ? Is there anything that you would like to say? <u>HUPPY</u> <u>H</u>

#### Eeedback Form

1. Did | I explain who she was and that she was a social worker? 2. What does a social worker do? She Met. \$ WITT you 144 3. Do you feel that she listened to you and your wishes and feelings? 4. Did you feel involved in the decisions being made about you? 5. Overall, how did you find working with I i? Is there anything that you would like to say? 10 2154 You can draw a picture too if you would like.

# Appendix 2: Partly upheld or upheld complaints and lessons learned in Adult and Children Social Care Services

Adult Social Care	
Details of complaint/Outcomes	Lessons learned and where appropriate, actions taken
The complainant (the son of a service user who lacked capacity within the meaning of the Mental Capacity Act 2005) was dissatisfied that he was not notified about his mother's review or a forthcoming assessment about continuing healthcare, he was no longer regarded as his mother's next of kin and the Council held inaccurate records about him being estranged from his mother.	There were 5 separate elements of complaint investigated. The independent complaint investigator concluded that following a second independent Relevant Person's Representative (RPR) being appointed under Deprivation of Liberty Safeguards to comply with the requirement of regular visiting in addition to the appointment of the complainant as RPR who was unable to fulfil the requirement of regular visiting owing to him working abroad for prolonged periods, there was no communication with the complainant about his mother's ongoing care and support needs. An apology was provided to the complainant for this. The remaining elements of complaint were not upheld. Learning from the complaint investigation regarding the practice of appointing more
	than one RPR, as well as the role and inclusion of family members involved in an individual's care, was shared with the workforce.

The complainant (a carer to her elderly parents) alleged that a previous complaint had not been dealt with properly and was dissatisfied that she was had not been provided with a copy of her carers assessment.	The complaint investigator concluded that the previous complaint was properly dealt with but found that, despite an agreement to provide the complainant with a copy of her carers assessment, there was no evidence to confirm this had been done. There was an apology made to the complainant in relation to the delay she encountered in the receipt of a copy of her carers assessment. Although the provision of a support plan is embedded as routine practice, it was recommended that this be extended to include the provision of the assessment. This was cascaded to the workforce.
The complainant (the mother of a service user who managed her son's support package on his behalf) was unhappy that she had not been provided with a copy of his support plan including relevant financial details to enable her to fulfil her obligations as an employer. The complainant also expressed disappointment that the case had been managed in a timely manner.	<ul> <li>The independent complaint investigator found that it was essential the complainant should be in possession of the detailed information necessary to enable her to undertake her role in a timely manner and upheld her complaints.</li> <li>Following the response to her complaint, the complainant emailed to say, "Thank you for dealing with my complaint in such a comprehensive manner. I am happy with the outcome. "</li> </ul>
The complainant (the son of a service user) was dissatisfied with aspects of his mother's hospital discharge. The complainant asserted that his mother's social care needs had not been assessed properly prior to her hospital discharge, there was no effective support plan in place upon her discharge, she was not discharged to a safe environment and the contracted care provider's calls to his mother were either late or missed altogether.	The independent complaint investigator found that the assessment had been carried out properly, the support plan met identified care and support needs and the complainant's mother was discharged to a safe environment. However, the independent investigator partly upheld one element of complaint and found that a Support Worker had made a decision to change the times of one of the complainant's mother calls which should not have happened. An apology was provided and the matter was raised with the contracted provider who implemented appropriate action to address the matter.

The complainant (the daughter-in-law of a service user who lacked capacity within the meaning of the Mental Capacity Act 2005) was dissatisfied with the standard of care provided at the contracted care home as well as the behaviour and attitude of the social worker.	The independent complaint investigator concluded that the matters raised by the complainant in relation to the care home had been fully responded to by care home who had already implemented actions as a result. The complaint investigator endorsed the actions the care home had already put in place and did not have any further recommendations in this regard. The complaint investigator highlighted that terms used by the social worker were, in his view, inappropriate and unacceptable. Measures were taken to address this outside of the complaints process.
The complainant (a carer to her elderly father) alleged that a social worker had failed to respond to telephone calls, raised the complainant's expectations about help and support the social worker could offer to address difficulties with her son, failed to complete a service request identified in the support plan and lost bank details.	There were 5 elements of complaint investigated by an independent investigating officer who concluded that 2 elements were not upheld whereas the failure to respond to telephone calls and failure to complete a service request were upheld and an issue regarding loss of bank details was partly upheld. This independent complaint investigator found the complainant's bank details had not been lost but that the social worker had not followed the relevant reporting process. This was addressed outside of the complaints process.
The complainant (the daughter of a service user who lacked capacity within the meaning of the Mental Capacity Act 2005) was dissatisfied with the standard and the quality of the care provided at the contracted care home as well as the failure of the provider to respond to a letter of complaint.	The independent complaint investigator concluded that all 4 elements of complaint were upheld. The care home provider apologised to the complainant. The complainant (who held power of attorney for property and affairs) was financially recompensed for the losses associated with personal items as well as the distress experienced. Lessons identified from this complaint were shared with care providers at a routine provider forum.

The complainant (the wife of a service user who lacked capacity	There were 7 elements of complaint investigated by an independent investigating
within the meaning of the Mental Capacity Act 2005) was upset	officer who concluded that 4 elements were not upheld, 2 elements were partially
and disappointed with the contracted care home who she believed	upheld and one element could not be substantiated.
failed to allow sufficient time to implement agreed plans to sustain	
her husband's residence there. The complainant was also of the	The independent investigator was able to explain within the investigation report the
view that there was a lack of skilled care to meet her husband's	legal framework surrounding the placement within the care home which the
needs.	complainant had not fully appreciated at the time of his admission, as well as the role
	of the care co-ordinator who was from a partner agency.
	The complainant fed back to the independent investigator that her husband was
	settled in another care home in a neighbouring town.

Children's Social Care	
Details of complaint/Outcomes	Lessons learned and where appropriate, actions taken
The complainant (the father of a child) was unhappy with the respite care facility his child attends. The complainant expressed dissatisfaction with communication and alleges that the respite care facility had cancelled as overnight stay on a permanent basis rather than for one week as was intended.	The Head of Service provided an explanation to each element of the complaint and an apology was offered around miscommunication to the complainant. Bi-monthly Key Worker visits to the parents, which they had cancelled some time ago by them, were reinstated to aid improved communication between the respite care facility and the parents.
Concluded at Stage 1	

The complainant (the mother of a child who the subject of a	The Team Manager found that:	
protection plan) alleged that the Social Worker failed to visit		
frequently, missed appointments and did not share information	• since the child had been made subject to a protection plan, the Social Worker	
with her in a timely manner to enable her to protect her child.	had visited the child in accordance with the requirement to visit every 15	
	days;	
Concluded at Stage 1	<ul> <li>there was an occasion when an appointment was rearranged which had caused some confusion for which an apology was provided;</li> </ul>	
	<ul> <li>information was shared in an appropriate and timely manner and her child's safety and welfare had not been compromised in any way.</li> </ul>	
The complainant (the mother of the children) expressed her	The Team Manager met with the complainant to hear her concerns and was able to	
unhappiness with the children's Social Worker. The complainant	identify what feedback was important to her and when. The Team Manager shared	
voiced a mistrust of the Social Worker and stated that she did not	how praise is important to the mother with the Social Worker which empowered the	
receive feedback of what she was doing right and what she was	children's mother to continue.	
doing wrong.		
Concluded at Stage 1		
The complainant (the mother of the children) expressed that there	A Head of Service who knows the complainant well met with her to discuss her	
was a lack of practical help and support provided to her which left	wellbeing and how this might leave her struggling to cope with the needs of her	
her struggling to cope with the needs of the children.	children. It was agreed that the practical help and support she had previously received should be reinstated. The complainant was happy with this outcome.	
Concluded at Stage 1		
The complainant (the grandmother of the children who reside	The Manager looking into the complaint found that someone had tried to reach the	
with her under the auspices of a Residence Order) alleged that no	complainant to explain the outcome of the contact made and had left a voice mail	
one contacted her to advise of the outcome of the telephone call	message but it was confirmed it would have been good practice for the outcome to	
she made to the Department and consequently the Residence	have been sent in writing.	
Order allowance has not been fully explored.		
Concluded at Stage 1		

<ul> <li>The complainant (the father of a child) alleged that:</li> <li>information was not shared with him and his partner in a timely way;</li> <li>social workers were wearing ID badges and making telephone calls in a public place;</li> <li>the respite care facility would not apply the child's prescribed cream.</li> </ul>	The Head of Service provided an explanation to each element of complaint. It was found that information had been shared with the complainant and his partner in a timely way, it was appropriate for the social workers to be wearing ID badges and social workers did not disclose personal, identifiable information in a public setting. The complainant was reminded that the administration of cream or medications can only happen if these are clearly marked with a pharmacy label that in line with Ofsted and NICE guidelines.
Concluded at Stage 1	
The complainant (the mother of a child) expressed her dissatisfaction with comments made to her by social workers.	An Investigating Officer and independent Person conducted an investigation at Stage 2. Although there was no evidence to support the allegation made, the Investigating Officer recommended that staff be reminded to consider their approach in situations
Concluded at Stage 2	where a parent may feel oppressed. This was shared with social workers and raised at a staff briefing session.
The complainants (the carers of a child) alleged that their complaint was not looked at properly at stage 1, their child had contact with previous foster carers despite stating they did not wish this to happen, the mother's role was overlooked and the	Following an investigation into the allegations made, it was concluded that there was a lack of effective communication between parties and an apology was provided to the complainant for this element of the complaint.
father was afforded more favourable treatment by the workers concerned.	It was recommended that Social Workers and Foster Carers are reminded that they should adhere to good practice standards for looked after children. This learning point was shared with senior managers for cascading within their teams.
Concluded at Stage 2	
	Additionally, those allocated a complaint to look into at stage 1, will be routinely reminded to meet the complainant initially to discuss their complaint where this is
	both feasible and practical to do so.

## **CHILDREN'S SERVICES COMMITTEE**

17 October 2017



### **Report of:** Director of Children's & Joint Commissioning Services

### Subject: REVIEW OF HARTLEPOOL AGREED SYLLABUS FOR RELIGIOUS EDUCATION

### 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 This report is for information.

### 2. PURPOSE OF REPORT

2.1 To inform members of the required review of the Hartlepool Agreed Syllabus for community and voluntary controlled primary and secondary schools in Hartlepool for the academic years 2018 to 2023.

### 3. BACKGROUND

### 3.1 The Locally Agreed Syllabus

- 3.1.1 An Agreed Syllabus is a document that details the statutory requirement for all community and voluntary controlled schools in a local authority to meet the requirement that Religious Education (RE) must be provided for all registered pupils in maintained schools, including those in reception classes and in the sixth form, as set out in the Education Act 1988 and confirmed by the Education Acts of 1996 and School Standards and Framework Act 1998. In accordance with the Agreed Syllabus, RE is a part of the basic curriculum, to be taught alongside the National Curriculum in all maintained schools other than voluntary aided schools with a religious character, and it must be taught according to the local Agreed Syllabus.
- 3.1.2 Each local authority (LA) must have a Standing Advisory Council on Religious Education (SACRE) to advise the LA on matters connected with RE. This Council is made up of representatives from faith groups, teachers, elected members and LA advisers. The LA also is also required to convene an Agreed Syllabus Conference (ASC) to reconsider the Agreed Syllabus every five years. Hartlepool SACRE agreed to begin the review process of the current Agreed Syllabus (2012 – 2017) at their meeting on 21 September
- 7.2 CSC 17.10.17 Review of Hpool agreed syllabus for RE

2017, for the adoption of a revised Agreed Syllabus in late summer/early autumn 2018. This review process will begin with an ASC in the near future.

3.1.3 The review process will involve working closely with a Senior Adviser for Religious Education from a neighboring local authority who has been responsible for the production of the last two Agreed Syllabuses for that local authority, and the adoption of these syllabuses by Hartlepool. The new Agreed Syllabus will be adapted to meet the needs of Hartlepool learners, as well as taking account of local and national developments and **RE in English Schools: Non Statutory guidance 2010**. Its adoption will ensure that Hartlepool continues to have a high quality Agreed Syllabus to help teachers deliver good quality religious education in the enhancement of the spiritual, moral, social and cultural development of all pupils.

### 3.2 Contents of RE

- 3.2.1 The Education Act 1996 states that the Agreed Syllabus must reflect the fact that the religious traditions in Great Britain are in the main Christian. It should also reflect other principal religions represented and their religious traditions, practices and teachings. The Agreed Syllabus must be non-denominational and must not be designed to convert pupils or to urge a particular religion or religious belief on pupils.
- 3.2.2 The Agreed Syllabus sets out advice on what pupils should be taught and also the key focus and learning outcomes for each key stage. It also sets out the RE level expected standards of pupils' performance at different ages.
- 3.2.3 Headteachers are required to ensure the provision of RE and that sufficient time and resources are given to this area in order to meet their statutory obligations. In respect of LA maintained schools, the governing body and local authority must also ensure that this provision is maintained. Academies can opt into the Agreed Syllabus which will allow coherence and continuity in the RE curriculum in pupils' learning. It can also strengthen collaborative working across the locality.

### 4. **RISK IMPLICATIONS**

4.1 Failing to review the Agreed Syllabus and produce an updated Syllabus would leave the local authority in breach of one of its statutory responsibilities.

### 5. FINANCIAL CONSIDERATIONS

5.1 The local authority has secured the services of a specialist Senior Adviser from a neighbouring local authority to lead the review, including supporting the Agreed Syllabus Conference. In addition, as a result of the review process, the Senior Adviser will adapt the Agreed Syllabus to reflect Hartlepool's local context, and assist Hartlepool's SACRE in its implementation. Costs will be met from the SACRE budget over the financial years 2017/18 and 2018/19.

### 6. LEGAL CONSIDERATIONS

6.1 The local authority has a statutory responsibility to have a Standing Advisory Council for Religious Education and to convene an Agreed Syllabus Conference. Additionally, it must have an Agreed Syllabus in place.

### 7. CONSULTATION

7.1 Consultation with all key stakeholders will happen throughout the review including at SACRE meetings and at the Agreed Syllabus Conference.

### 8. CHILD AND FAMILY POVERTY CONSIDERATIONS

There are no child and family poverty considerations in this matter.

### 9. EQUALITY AND DIVERSITY CONSIDERATIONS

9.1 A properly reviewed and implemented Agreed Syllabus ensures that children and young people in Hartlepool are provided with opportunities to explore many faiths, cultures and credos. Additionally, the supporting materials will ensure that children and young people understand and celebrate the many forms of diversity in modern Britain and the wider world, and the fundamental principle of equality for all.

### 10. STAFF CONSIDERATIONS

There are no staffing considerations.

### 11. ASSET MANAGEMENT CONSIDERATIONS

There are no asset management considerations.

### 12. **RECOMMENDATIONS**

12.1 To note the review of the Agreed Syllabus for RE and the proposed adoption of a neighbouring LA's Agreed Syllabus, adapted to meet the needs of Hartlepool schools.

### 13. REASONS FOR RECOMMENDATIONS

13.1 Hartlepool must have a high quality Agreed Syllabus to help teachers to deliver good quality religious education in the enhancement of the spiritual, moral, social and cultural development of all pupils.

### 14. BACKGROUND PAPERS

There are no background papers to this report.

### 15. CONTACT OFFICER

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