

Agenda

Cabinet

Friday, 20 December 2019, 10.00 am
County Hall, Worcester

Appendices to Reports

This document can be made available in other formats (large print, audio tape, computer disk and Braille) on request from Democratic Services on telephone number 01905 843579 or by emailing democraticservices@worcestershire.gov.uk

Cabinet

Friday, 20 December 2019, 10.00 am, County Hall, Worcester

Membership: Mr S E Geraghty (Chairman), Mr A T Amos, Mr A I Hardman,
Mr M J Hart, Mrs L C Hodgson, Ms K J May, Mr A P Miller,
Dr K A Pollock, Mr A C Roberts and Mr J H Smith

Agenda

Item No	Subject	Page No
5	Libraries Strategy	135 - 144
6	Fair Funding Consultation Outcomes for 2020-21 - National and Local Changes to the Funding Arrangements for Schools	145 - 168
7	Balanced Scorecard Performance and Corporate Risk Update	169 - 184
8	Decision to Award Contract for an Integrated Drug and Alcohol Service for Adults and Young People	185 - 192
9	Treasury Management Mid-Year Update to 30 September 2019	193 - 200

Agenda produced and published by Simon Mallinson, Assistant Director for Legal and Governance, County Hall, Spetchley Road, Worcester WR5 2NP

To obtain further information or a copy of this agenda contact Nichola Garner, Committee & Appellate Officer on Worcester (01905) 843579 or email: ngarner2@worcestershire.gov.uk

All the above reports and supporting information can be accessed via the Council's website.

Date of Issue: Thursday, 12 December 2019

This page is intentionally left blank

Combined Worcestershire equality and public health impact assessment (EPHIA) – FULL template

Background information:

Name:	Carol Brown
Job Title:	Libraries and Culture Service manager
Service area:	Libraries and Culture
Directorate:	COaCH
Telephone:	01905 846232
Email address:	cbrown@worcestershire.gov.uk
Date assessment commenced:	01/02/2019
Date assessment completed:	21/11/2019

Function, strategy, project, policy or procedure being assessed:

Name of the function, strategy, project, policy or procedure being assessed:	Remodelling of the Worcestershire libraries service (This is an overarching strategy and further, more detailed analysis may be required as individual proposals are identified and developed)
Is this a new or an amended policy?	Amended
Does the policy form part of a wider programme which has already been screened for equality relevance?	No
Population affected - Does the policy affect service users, employees, the wider community, or a combination of these?	A combination of staff, users of current library services and the wider community
Who is formally responsible for the delivery of this policy? If different, who is responsible for leading on the delivery?	Hannah Needham – Senior Responsible Officer
Who are the main stakeholders?	Everyone who uses library services and facilities; <ul style="list-style-type: none"> the wider community; Council staff; a range of partners with whom we share premises or who deliver services jointly with the Council.
How will they be involved?	The Council carried out engagement activity with library users early in 2018 and, between October 2018 and February 2019 stakeholder events took place at all library premises. A detailed survey was also conducted at this time. Respondents were able to submit their views online and via email, and hard copies of the survey were also available.

What (if any) previous consultation has been carried out for this policy?	<ul style="list-style-type: none"> » Public engagement July / August 18 – 2388 responses » Formal public consultation - 1947 responses / 23 public meetings 800 people » Viewpoint questionnaire to attract non-library users – 1468 responses » Staff engagement sessions » Engagement with Council service leads
Who was consulted and when?	Please see reply to previous question.
Is equality monitoring in place for this policy?	Some Equality monitoring is in place

Stage 1 - Please summarise the main objectives, aims and intended outcomes of this policy

Aims/Objectives:	<ul style="list-style-type: none"> ▪ The ongoing delivery of a comprehensive and efficient libraries service in Worcestershire ▪ Ongoing innovation and transformation in the delivery of library-based services across the County ▪ Continuation of partnership working with both statutory agencies and community groups to provide a service which satisfies the requirements of the Council's medium-term financial plan ▪ Evaluation and implementation of a range of agreed service delivery options when planning future library service delivery points across the County
Intended outcomes:	<ul style="list-style-type: none"> ▪ Local need for a library service will continue to be met; ▪ Local communities will be strengthened through the provision of information, resources and guidance which improve reading and literacy, develop skills and promote health and well-being in safe and welcoming community spaces
Please summarise how these outcomes will be achieved?	<p>Implementation of the Library Strategy.</p> <ul style="list-style-type: none"> ▪ A Library Service for Everyone: raise awareness of library services and their benefits to ensure wider community engagement ▪ Libraries First: Put Libraries at the heart of delivering Council and community services' ▪ Resilient, Independent and Connected Communities: use libraries' trusted brand to deliver services that ensure residents are healthier, have a better quality of life and remain independent for as long as possible ▪ Prosperous Communities: develop new services to support business enterprise, improve skill levels and help more people into work ▪ Sustainable and Innovative Libraries: invest in new library service delivery models and secure new funding stream to future-proof libraries across Worcestershire
Where an existing policy is to be amended please summarise	The role of libraries within Worcestershire communities has been changing for over

principle differences between the existing and proposed policies?

a decade and continues to evolve within a challenging financial environment. Traditional library services of book borrowing are now delivered alongside computer access, family activities, a comprehensive adult learning programme, targeted reading and literacy schemes, job clubs, job fairs, health and well-being services and a varied volunteering programme.

Considerable progress has been made over recent years in modernising Worcestershire's library services and ensuring value for money. Over £3.9m of efficiency savings has been achieved since 2011/12, when the Libraries Transformation Programme was first launched by Cabinet in May 2011. A range of transformational approaches have been implemented including: a comprehensive property re-modelling programme; a series of staff and management restructures; a reduction in the Mobile Library service; investment in self-service technology; introduction of consortium stock purchasing and direct book delivery.

In October 2018, the Council's Cabinet considered a report which outlined the next phase of Libraries Remodelling. This was set in the context of the Council's Medium-Term Financial Plan, with the report also describing that decisions made by local authorities concerning libraries should be guided by a strategic review, that in turn is informed by a needs assessment. Therefore, the report in October 2018 presented the findings of Worcestershire's libraries' needs assessment and outlined a set of recommendations, to take out to formal public consultation, for the future delivery of front-line library provision. As a result, Cabinet agreed to launch a formal public consultation exercise.

In July 2019, Cabinet received a report summarising the feedback from the public consultation along with feedback from a Libraries-focused Local Government Association (LGA) Peer Review that was held in May 2019. The report outlined proposals and recommendations for how to act on the findings of the consultation and Peer Review and clarified the position in relation to being on track to realise 2019/20 savings. Cabinet agreed to act upon the advice of the LGA Peer Review and take time to consolidate all of the feedback and learning gathered through the needs assessment and public consultation into a Libraries Strategy in order to set out the vision and ambition for the service over the medium to long-term. All future delivery changes would then be underpinned by the Strategy.

The Library Strategy consolidates and builds on all the changes that have gone before. The Strategy centres around five strategic ambitions which articulate the vision for the Library Service over the next five years and aims to ensure libraries are

positioned at the heart of Worcestershire County Council's corporate priorities and remain fit for the future. The five strategic ambitions are:

1. A Library Service for Everyone
2. Prosperous Communities
3. Resilient, Independent and Connected Communities
4. Sustainable and Innovative Libraries
5. Libraries First

In summary, the transformation plan for the new 5-year strategy for Worcestershire libraries will:

- promote the library service and its benefits more widely across the county to reach more residents
- establish libraries as community assets and 'where appropriate' as the front door for council and community services
- tailor libraries' service offer to meet a wider range of council priorities and community needs
- retain the existing 21 public libraries, 2 library links and 1 mobile library
- enhance and provide new ways to access our digital library services
- future-proof Worcestershire libraries by extending the self-service offer through the introduction of 'open+' technology in libraries where there are financial benefits
- increasing community support for libraries through the use of space and volunteering opportunities
- maximise library space by sharing it with other services to generate income
- rightsize staffing and management resource to activity levels and need within all libraries
- establish the Hive as a centre for service innovation and development for all county libraries
- invest in library resources to improve service quality and meet changing customer expectations
- manage libraries more efficiently through cost-saving initiatives and new approaches to funding
- explore opportunities for library service growth in response to Worcestershire's changing development landscape.

Stage 2 - Scoping (information gathering/consultation)

<p>Please give details of data and research which you will use when carrying out this assessment:</p>	<p>The strategic ambitions consider the local, national and financial context described within the Strategy. They have been shaped by 5803 responses from Worcestershire residents to three library consultation and engagement surveys which 23 public consultation meetings which were attended by a total of 800 residents. Specifically, there was strong support from the public of sharing library buildings making this the preferred transformation option. There were also low levels of support for fully Community Managed Libraries so, taking this and the learning from other areas, this option is no longer being considered.</p> <p>The Library Needs Assessment has allowed us to define the need for each library in Worcestershire. We identified four indicators of local need for libraries. These are: -</p> <ul style="list-style-type: none"> ▪ Deprivation: the socio economic profile of library catchment populations which indicates their need to access services which improve health & wellbeing, literacy, learning, digital skills and employability ▪ Service isolation: the distance of each library from the next nearest library which indicates the relative isolation of each library and the accessibility of alternative library provision for customers ▪ Exclusive use of home library site: visiting patterns of library customers to their home-site library and other Worcestershire libraries, which indicates their reliance on the home site library ▪ Library activity levels: the number of visits, issues, active users, computer usage, event attendees and adult learners for each library. <p>Each library has been ranked against these four characteristics of need and an overall ranking of libraries has been produced and is included as Appendix one to this assessment.</p> <p>The Needs Assessment uses a combination of socio-economic demographic profiling, indicators of deprivation, distances and travel times between libraries, and performance information. The performance information shows how each library is used and the level of each library's contribution to the overall countywide level of library use.</p>
<p>Do you consider these sources to be sufficient?</p>	<p>Yes</p>
<p>If this data is insufficient, please give details of further research/consultation you will carry out:</p>	<p>N/A</p>

Please summarise relevant findings from your research/consultation:	<p>Detailed reports have been completed for the following:</p> <ul style="list-style-type: none"> Needs Assessment inc. Pre-Engagement Consultation Viewpoint Survey
---------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Stage 3 – Assessment

Equality Impact Assessment

Based on your findings, please indicate using the table below whether the policy could have an adverse, neutral or positive impact for any groups of people who share characteristics related to the following:

Protected characteristic	Positive	Neutral	Adverse
Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage and civil partnership	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion and belief	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual orientation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Please provide details of all positive and adverse impact you have identified:	<p>By raising awareness of the full range of library services on offer we will increase the number of local people who benefit from the skills, resources and opportunities available in libraries to improve their quality of life and fulfill their potential through participation, creativity and learning.</p> <p>Our health and wellbeing offer is aligned to Public Health outcomes through a service level agreement and our provision for children and families is aligned to the council's Early Start programme, with a strong focus on looked after children.</p> <p>By aligning library services more closely to a wider range of Council priorities we will help to build more resilient, independent and connected communities, whilst ensuring that the Council and residents get best value from their investment in libraries.</p> <p>Improved skill levels and supporting more people into employment.</p>
--------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Where possible please include numbers likely to be affected:	
Where potential adverse impact has been identified, can continuation of the proposed policy be justified?	Choose an item. If yes, please explain your reasons:
Do you consider that this policy will contribute to the achievement of the three aims of the Public Sector Equality Duty ?	Please indicate which of these aims is achieved through this policy: Please explain how the policy contributes to achievement of any aims you have selected:
<p>The Public Sector Equality Duty has the following three aims:</p> <ol style="list-style-type: none"> 1. To eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010. 2. To advance equality of opportunity between persons who share a relevant Protected Characteristic and persons who do not share it. 3. To foster good relations between persons who share a relevant Protected Characteristic and persons who do not share it. 	

Public health impact assessment

Factor	Description of impact	Positive	Neutral	Adverse	Specific recommendations and/or mitigation
Social & economic	See PSED Aims above	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Physical Health	See PSED Aims above	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Mental health & well-being	See PSED Aims above	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Access to services	See PSED Aims above	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Stage 4 – Recommendations, action planning and time frames

Please list any actions you will take to mitigate any adverse impact you have identified (regarding equality and/or public health considerations):

Planned action	By who	By when	How will this be monitored
Creation of a Libraries Strategy	Programme Team	December 2019	Libraries Programme Board
Please indicate how these actions will be taken forward as part of your team/service/directorate planning:		Strategy will form the basis of creating a revised service plan.	

Stage 5 - Monitoring & Review

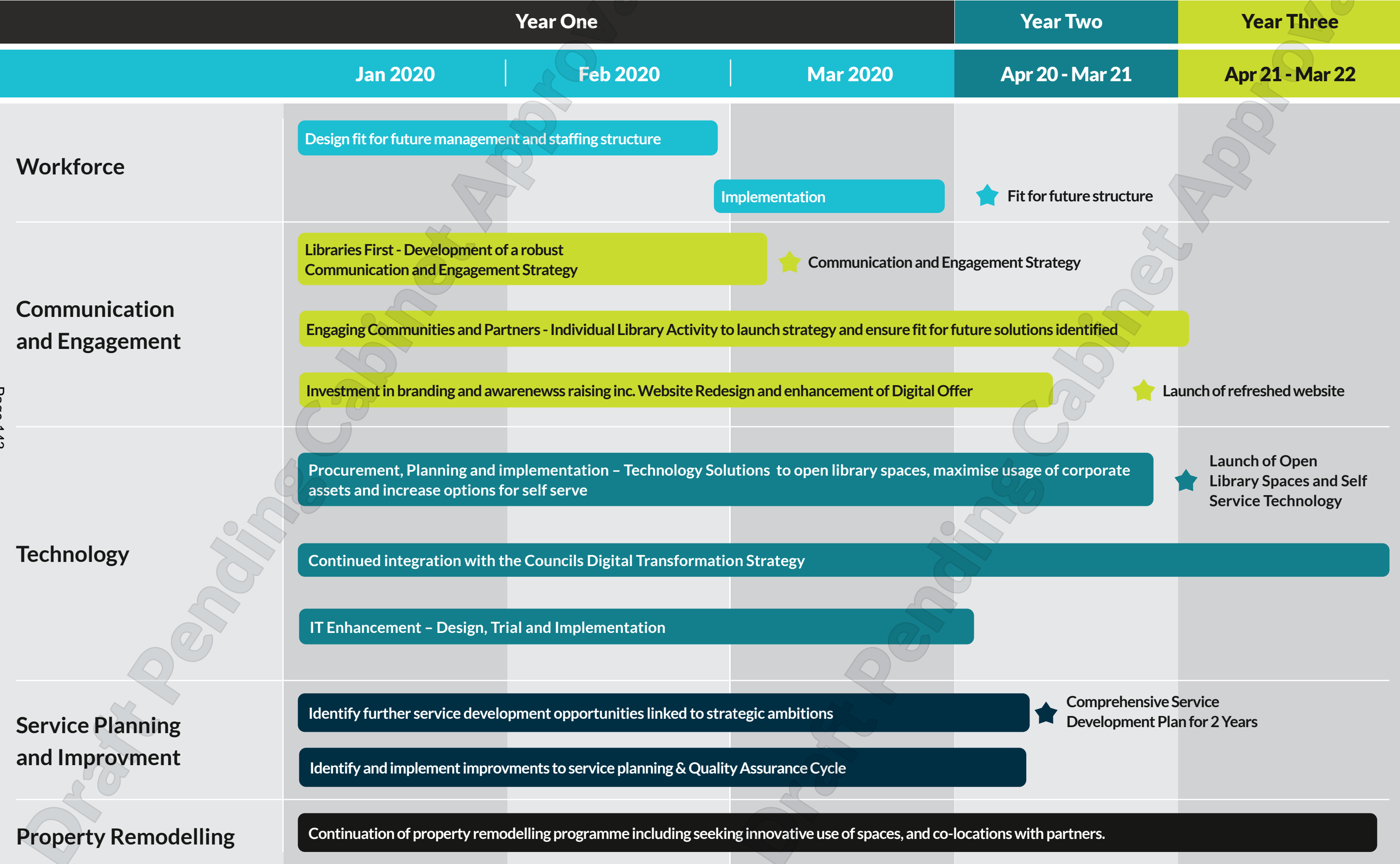
How frequently will proposed action be monitored?	Monthly
---------------------------------------------------	---------

How frequently will intended outcomes be evaluated?	TBC
Who will be responsible for monitoring and evaluation?	Libraries Programme Board
How will you use the monitoring and evaluation results?	To inform future planning and transformation of the service

Stage 6 - Publication

Worcestershire County Council requires all assessments to be published on our website. Please send a copy of this assessment to the Corporate Equality and Diversity Team for publication.

	Signature	Date
Completing Officer:	J Edwards	12/11/2019
Lead Officer:	Hannah Needham	12/11/2019
Service Manager:	Carol Brown	12/11/2019



Page 143

This page is intentionally left blank

**DEPARTMENT FOR EDUCATION (DfE) CONFIRMED FUNDING ARRANGEMENTS FOR
2019-20 – SUMMARY OF ISSUES**

1. DfE DSG BASELINE 2020-21

1.1 In **Table 1** confirms the DSG Current 2019-20 compared to the DSG Provisional Allocation 2020-21 for 3 of the DSG Blocks – Schools, Central School Services and High Needs. This is the **gross** DSG prior to academy and high needs places recoupment.

Table 1:
DSG Current 2019-20 compared to the DSG Provisional Allocation 2020-21

Detail	DSG Current 2019-20 July 2019 £'m	DSG Provisional 2020-21 October 2019 £'m	Notes
SCHOOLS BLOCK			
Schools	321.578	335.912	A.
Pupil Growth Fund (PGF)	1.736	TBC	B.
TOTAL SCHOOLS BLOCK	323.314	335.912	
CENTRALLY SERVICES SCHOOLS BLOCK (CSSB)			
Central School Services	2.293	2.291	C.
Historic Commitments	1.500	1.200	D.
TOTAL CSSB	3.793	3.491	
HIGH NEEDS (HN) BLOCK			
Formulaic	50.397	59.692	E.
One-Off Grant	1.232	0.000	
TOTAL	51.629	59.692	
TOTAL DSG SCHOOLS AND HIGH NEEDS	378.736	399.095	
Schools Block Guaranteed Units of Funding £			
Primary (PUF)	£3,872.46	£4,065.10	F.
Secondary (SUF)	£4,975.38	£5,179.87	F.

Notes

A. This reflects the share of the NFF Year 3 on the parameters set out by the DfE (see below).

B. The PGF for 2020-21, to support basic need revenue costs, has yet to be confirmed as it requires the final October 2019 pupil census data.

C. Central School Services £2.291m for ongoing functions for Co-ordinated Admissions, Servicing of the Schools Forum, Retained Duties Former ESG and National Licenses and Subscriptions.

Cabinet – 20 December 2019

D. Ongoing Historic Commitments £1.20m for Early Intervention Family Support Service (EIFS). The DfE have started to unwind this funding for all LAs and have reduced all LAs allocations by 20% in 2020-21.

E. Reflects the share of the additional £780m announced in September 2019.

F. The new Primary and Secondary Units of Resource (PUF) and (SUF) reflecting the DfE NFF Year 3. These will be applied to the October 2019 pupil census to calculate the Schools Block DSG for 2020-21. This will be notified as part of the School Funding Settlement 2020-21 later in December 2019.

2. SUMMARY OF KEY POLICY ISSUES

(a) DSG Funding for Schools and High Needs

- The DfE published provisional NFF allocations at LA and school level in October 2019, including LAs final Primary and Secondary units of funding (PUF) and (SUF) for the Schools Block.
- The DfE will then publish final Schools and High Needs DSG allocations for LAs in December 2019 based upon the October 2019 census and other 2019 data sets.

(b) Schools NFF

- This will continue to have the same factors as at present, and the DfE will '*continue to implement the formula to address historic underfunding and move to a system where funding is based on need*'.
- The key aspects of the formula for 2020-21 are: -
 - The minimum per pupil funding levels will be set at £3,750 for primary schools and £5,000 for secondary schools. The following year, in 2021-22, the primary minimum level will rise to £4,000.
 - The funding floor will be set at 1.84% per pupil, in line with the forecast GDP deflator, to protect per pupil allocations for all schools in real terms. This minimum increase in 2020-21 allocations will be based on the individual school's NFF allocation in 2019-20.
 - The NFF allocations are proposed to benefit from an increase of 4% to the formula's core factors apart from FSM and historic premises allocations.
 - There will be no gains cap in the NFF, unlike the previous two years, so that schools could attract their full core allocations under the formula. This will depend on affordability.
 - As previously set out, the DfE will make a technical change to the mobility factor so that it allocates this funding using a formulaic approach, rather than based on historic spend.
 - Growth funding will be based on the same methodology as this year, with the same transitional protection ensuring that no authority whose growth funding is unwinding will lose more than 0.5% of its 2019-20 schools block allocation.

(c) Local Schools Funding Formula (LSFF)

- LAs will continue to have discretion over their LSFF and in consultation with schools, will ultimately determine allocations in their area.
- However, as a first step towards hardening the formula, from 2020-21 the DfE will make the use of the national minimum per pupil funding levels, at the values in the school NFF, **compulsory** for LAs to use in their LSFF. This aspect is subject to a separate DfE consultation exercise.

- In addition, two important restrictions will continue: -
 - LAs will continue to set a Minimum Funding Guarantee (MFG) in the LSFF, which in 2020-21 must be between +0.5% and +1.84%. This allows LAs to mirror the real terms protection in the NFF.
 - LAs can only transfer up to 0.5% of their School Block to other blocks of the DSG, with Schools Forum approval. To transfer more than this, or any amount without Schools Forum approval, LAs will have to make a request to the DfE even if the same amount was agreed in the past two years.

(d) Central School Services Block (CSSB) and De-delegated Services

- The existing arrangements for these will continue and required local consultation and Schools Forum approvals remain for 2020-21.

(e) High Needs NFF

- This will also continue to have the same factors as at present.
- The DfE will use the £780 million of additional funding to: -
 - Ensure that every LA will receive an increase of at least 8% per head of 2 to 18 population through the funding floor.
 - This minimum increase in 2020-21 allocations will be based on LAs High Needs allocations in 2019-20, including the additional £125 million announced in December 2018.
 - Above this minimum increase, the formula will allow LAs to see increases of up to 17%, again calculated on the basis of per head of population.

(f) Other Grants

- The teachers' pay grant and teachers' pension employer contributions grant will both continue to be paid separately from the NFF in 2020-21.
- The DfE will publish the rates that determine the 2020-21 allocations in due course.

(g) The Education Secretary also confirmed on 3 September the government's intention to move to a 'hard' NFF for schools – where budgets will be set on the basis of a single, national formula. The DfE recognise that this will represent a significant change and will work closely with LAs, schools and others to make this transition as smoothly as possible.

3. OVERALL CONSIDERATIONS

3.1 Until the DfE issue the detailed LA exemplifications together with the PUF, SUF and indicative DSG allocations it is difficult to assess the potential impact. Also, the final allocations will be based upon the October 2019 census and other data sets so could change significantly.

3.2 For 2020-21, the national policy direction looks similar to 2019-20 with the ability of LAs to continue to be able to set a Local Schools Funding Formula (LSFF) but with changes for: -

- As a first step towards hardening the formula, the DfE will make the use of the national per pupil Minimum Funding Levels (MFLs), at the values in the school NFF, **compulsory** for LAs own LSFF.
- There will be no gains cap in the DfE NFF, unlike the previous two years, so that schools could attract their full core allocations under the formula. However, the DfE have confirmed LAs will be able to have a gains cap for affordability, which must be set at least as high as the MFG threshold.

3.3 Both of these are significant changes. They have the potential to restrict LAs in their use of the Schools Block as it is likely all this will be required to implement the above LSFF parameters in particular: -

- For the MFLs in the LSFF for 2019-20 these were a substantial call on the additional Schools Block DSG, so this is anticipated again in 2020-21.
- For any potential 0.5% transfer to High Needs is still in the national policy these above restrictions will make that extremely difficult. It is suspected the DfE view is that is what the additional £700m in the High Needs DSG is designed for.

3.4 The DfE have constructed the PUF and SUF with their policy by increasing the Schools Block DSG for distribution. The funding of the MFLs will be challenging for LAs and LAs will need to assess their need to cap or not if there is an affordability issue.

3.5 The additional HN is welcomed but for most LAs, including Worcestershire, it is a year behind as the pressures are current.

4. TIMELINE

4.1 Following confirmation by the DfE of their agreed policy for 2020-21, the County Council commenced the local consultation with its maintained schools and academies on the consideration of issues for the Local School Funding Formula (LSFF), de-delegated and centrally retained items for 2020-21. The timeline is **detailed in Table 2.**

Table 2: Consultation Timeline

DETAIL	DATE
Meeting of the WSF to discuss and agree consultation issues	26 September 2019
Formal consultation for 2020-21 starts	1 October 2019
Formal consultation for 2020-21 ends	18 November 2019
Further Meeting of the WSF to consider the results of the consultation and to formulate recommendations to Cabinet	28 November 2019
Report to Cabinet making recommendations for the Local Schools Funding Formula (LSFF), de-delegated and centrally retained budgets for 2020-21	12 December 2019
Confirmation by the DfE/ESFA of: - <ul style="list-style-type: none"> • October 2019 census data and other 2019 data sets • Final LSFF Authority Proforma Tool (APT) for 2020-21 • DSG Allocations for 2020-21) Late) December) 2019
LA to consider impact of the new October 2018 data sets for LSFF APT submission for 2020-21	Late December 2019/Early January 2020
Meeting of the WSF to: - <ul style="list-style-type: none"> • Consider impact of the new October 2019 data sets • Agree submission for the final LSFF APT 2020-21 to the ESFA) 14 January) 2020
LA to submit final data for Schools Budget DSG LSFF APT for 2020-21	20 January 2020
LA to confirm School Budget Shares 2020-21 for their maintained mainstream schools	By 28 February 2020
LA to confirm initial School Budget Shares 2020-21 for their maintained specialist providers	By 28 February 2020
ESFA to confirm General Annual Grant (GAG) 2020-21 to academies	By 31 March 2020

As in previous years, this consultation process must take place prior to the receipt of the October 2019 data sets and the issue of the final DSG for 2020-21. This is not anticipated until late December 2019.

This page is intentionally left blank

SUMMARY OF THE CONSULTATION RESPONSES NOVEMBER 2019

	Category of Provider/Responder	Maintained First/Primary		Academy First/Primary		Maintained Middle		Academy Middle		Maintained Secondary/High		Academy Secondary/High		All Through		Total Mainstream Schools		Other	
	Number of All Providers	109		68		8		11		5		25		1		227		N/A	
	Number of Responses	9		7		2		2		3		20		1		44		1	
	% of Responses to Number of All Providers	8		10		25		18		60		80		100		19		N/A	
		Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N
Q1	Do you support the Local Schools Funding Formula (LSFF) in 2020-21 continuing to be based, as in 2018-19 and 2019-20, upon the DfE NFF parameters as far as is practicable and affordable subject to the Schools Block DSG available?	8	1	7		2		1	1	3		20		1		42	2		
Q2	Do you support the transfer of 0.5% of the Schools Block DSG in 2020-21, to the High Needs Block DSG to support cost pressures? SEE NOTE 1 BELOW	3	6		7	1	1		2		3		20		1	4	40	1	
Q3	Do you support the arrangements for delegation and de-delegation for 2018-19 and 2019-20 as detailed in Table 2 in the consultation document to continue for 2020-21? APPLICABLE TO LOCAL AUTHORITY (LA) MAINTAINED MAINSTREAM SCHOOLS ONLY	8	1			2				3						13	1		
Q4	Do you support the arrangements for centrally retained services as detailed in Table 3 in the consultation document for 2018-19 and 2019-20 to continue in 2020-21? APPLICABLE TO ALL SCHOOLS BOTH LOCAL AUTHORITY (LA) MAINTAINED AND ESFA ACADEMIES	8	1	7		2		1	1	3		16	4	1		38	6	1	

Note 1 - For those supporting Q2 further indications were as follows: -

Total

The transfer from Schools Block to High Needs Block DSG should be adjusted by: -

A combination of reducing the AWPU and changing the MFG/Capping percentages	1	1
A combination of reducing the lump sum and changing the MFG/Capping percentages	1	1
Changing the MFG/Capping only	1	1

Note 2 - Some schools did not respond to all the questions.

Summaries of main issues from the consultation responses on the LSFF, the other consultation questions and other issues are detailed in Appendices 3 and 4.

This page is intentionally left blank

SUMMARY OF THE MAIN ISSUES FROM THE CONSULTATION RESPONSES
NOVEMBER 2019 RELATING TO THE
LOCAL SCHOOLS FUNDING FORMULA (LSFF) FOR 2020-21

Q1. Do you support the LSFF in 2020-21 continuing to be based, as in 2018-19 and 2019-20, upon the DfE NFF parameters as far as is practicable and affordable subject to the Schools Block DSG available?

There were **44** responses received from **227** mainstream schools the details of which are in **Appendix 2**. Of these **42** schools were in support.

A summary of the issues from those in support indicated: -

- This gives schools some stability amidst all the uncertainty surrounding funding.
- It acknowledges that the direction of travel is towards the NFF, anticipating the shape of the future funding model.
- Schools are within all the usual limitations able to adjust and prepare for the NFF in due course.
- The direction of travel is towards closer alignment with the NFF, so it is probably pragmatic to support that approach.
- Need to recognise concerns over the impact of the NFF on smaller schools and primary schools, continuing the protections applied previously to minimise significant budget fluctuations, including supporting the MFG, will remain crucial.
- Wish WCC to continue campaigning vigorously for a fairer allocation of schools funding.
- Fully support the NFF parameters to be adopted as has been the case for the past two years.
- Changing this now would create greater instability which schools can ill afford with budgets already very tight.
- It places schools in a far better position when mindful of the NFF becoming mandatory in the future.
- It is important schools have stability.
- Very much support stability in funding and the NFF formula.
- The NFF was put in place to ensure fairer funding for schools. There is a reason why certain schools are allocated more than others within the formula, namely that they serve more disadvantaged and diverse communities and hence require more resource.
- Pleased to see that the NFF formula for 2020-21 should be introduced without a gains cap '*so that schools could attract their full core allocations under the formula*'.
- Concerned that in affording the DfEs Minimum Funding Levels (MFLs) for schools this will likely mean introducing a cap. Why does one 'rule' contradict another? Why do the schools who require the further resource have to potentially subsidise others?
- Schools need as much stability as possible. The NFF suggests our school has been under-funded and would benefit under a hard formula.
- Primarily for stability in what has already been considerable change.

- Stability is the priority – but this response is based on the understanding that under the LSFF, the MFG is pretty much secure and cannot be reduced by the LA (except through ESFA intervention).
- Believe that all schools will benefit from the stability of the current LSFF continuing in 2020-21.
- Applying the DfE NFF values will allow schools to receive any increased per pupil funding on a fair basis.
- Many schools will have used the LSFF applied in 2018-19 as a basis for the medium-term budget strategy and continuing with this will help to provide budget stability.
- Understand that some schools' funding will need to be subject to capping to meet the minimum per pupil funding requirement and that this is necessary and fair, for affordability.
- The stability offered by this approach is welcome.
- Having had the difficulties of the last consultation need to maintain the current stability in the system.
- The need for stability as the DfE moves towards a hard NFF is essential.
- To ensure continuity of approach from previous years and to avoid potential instability and variance in budgeting allocation. Also believe this approach mitigates against increased risk.
- Are aware that the funding is linked to many parameters, and the final calculation will reveal the effect on the schools projected funding.
- The DfE parameters in the NFF were not fair in 18-19 or 19-20, so it is unlikely that they will become fair for 2020-21 without significant review, but this is the only game in town.

For a school not in support it was indicated that the DfE parameters set in 2018-19 and 2019-20 have not been sufficient to adequately support school's financial needs.

**SUMMARY OF THE MAIN ISSUES FROM THE CONSULTATION RESPONSES ON OTHER
CONSULTATION ISSUES NOVEMBER 2019**

The numbers of responses received from schools and other consultees for these consultation questions are detailed in **Appendix 2**.

For consultation questions 2 to 4 not all questions were applicable to all respondents and some did not answer all the consultation questions

Summaries of the main issues received on the **3** consultation questions and further issues are detailed below.

Please note although these are part of the all school consultation, as required under Schools Forum (England) Regulations 2012 the decisions for consultation questions 2, 3 and 4 are for the relevant Worcestershire Schools Forum (WSF) members as determined under the Regulations.

1. CONSULTATION QUESTIONS

Q2a) – Do you support the transfer of 0.5% of the Schools Block DSG in 2020-21, to the High Needs Block DSG to support cost pressures?

There were **44** responses received from **227** mainstream schools the details of which are in **Appendix 2**. Of these **40** schools were **not** in support.

There was support for this from **1** other consultation responder.

A summary of the issues from those not in support indicated: -

- Appreciate that there are cost pressures in relation to High Needs Block funding, but as a school that has a high proportion of SEND pupils (well above average) whose needs the school is trying to meet without additional funding.
- Removing 0.5% of the schools Block DSG will significantly impact on schools' ability to support SEND children.
- Schools have made applications for top up funding for child with significant needs which have been supported.
- Believe that it is not appropriate to remedy a shortfall by taking money from already tight budgets –which may mean that early provision becomes unavailable which may necessitate High Needs Block Funding for pupils later.
- Central Government should be providing more resources for these needs and WCC should not reduce poorly funded school budgets.
- This funding should be generated separately in line with the recommendations and findings of the Parliamentary Report on SEND.
- There is a clear concern about moving funding intended to support mainstream schools away from provision which benefits all pupils (including SEND) and instead channelling a significant proportion of it into independent and non-mainstream schools, which only benefit those children with the very highest levels of need.

- School budgets are already tight and there is a significant risk that further pressure will impact quality of provision for all children.
- Is it necessary to do this now when the HN funding deficit issue is recognised by DfE with additional funding already promised to help close the gap?
- The school is absolutely opposed to this under any circumstances.
- There is still significant underfunding in Worcestershire schools and continuing cost pressures.
- There is insufficient funding in the Schools' Block to meet the needs of all pupils and in the High Needs' Block to meet the needs of SEND pupils.
- Transferring money from the Schools' Block exacerbates the pressures on schools trying to maintain a high quality of educational provision with a history of chronic underfunding for Worcestershire schools.
- Transferring money from the Schools' Block to High Needs sends the wrong message from a poorly funded LA to the Government – there is chronic underfunding for the High Needs' Block.
- High Needs has run up a significant shortfall, so a transfer of funding from every Worcestershire pupil will merely be used to service this debt, not increase the funding for, or improve the quality of, educational provision for these High Needs pupils.
- Transferring this money from the Schools' Block to the High Needs' Block will reduce schools' ability to support their own SEND students, reducing their capacity and placing even greater pressure on the High Needs' Block when they are no longer able to meet the needs of these students within their schools.
- Using capping as an alternative methodology to make the 0.5% transfer from the Schools' Block to the High Needs' Block will also causes problems.
- As much needs to be retained in the Schools Block as possible.
- Unable to accept this proposal as believe that the top slicing of 0.5% from the DSG will not be the most effective use of school finances.
- There is now a clear expectation that schools aim to be fully inclusive and that SEND students are taught first and foremost in mainstream schools. The loss therefore of this additional funding from budgets would be counterproductive and restrict capacity to provide the resources to support these students.
- The expectation will be for schools to make more provision with reduced funding to address a situation that is not of their making.
- Do not feel the money is used properly by the LA.
- Our school is struggling to set a surplus budget and have very little in reserve. The school has been under-funded for years and cannot afford this transfer.
- Schools and Trusts should not be expected to pay off the debt that has been accumulated by the LA through a lack of due diligence and oversight of Higher Needs spending, particularly surrounding the level of spend that has occurred for students who are educated in specialist provision outside of the county.
- The inevitable consequence of 'reigning in' this spend is that more students with complex and higher needs will need to be educated in mainstream settings, while at the same time reducing the funding, and therefore capacity in those very schools to make adequate provision.
- The money that would be taken is, effectively, to repay the debt that has been generated by ineffective management of SEND services.
- Funding to academy schools does not match pupil need so require maximum funding into school to make up for the financial resources that are not allocated.

- There would be no benefit to the school and money would be 'lost' in covering a deficit.
- Allocation of these funds will not result in improved provision. Ideally, this will not be transferred to the High Needs Block. Short of this, the funds could be ring-fenced for SEND provision and pro-rated to schools based on their percentage of SEND students.
- The school strongly opposes the transfer of any funding from the Schools' Block DSG to the High Needs Block DSG.
- Our view is that a reduction in the Schools Block DSG would be very detrimental to the finances of all schools in Worcestershire given the significant cost pressures that schools budgets are currently and historically been experiencing.
- Schools in Worcestershire really do need the NFF to be applied in full if they are to come anywhere near setting balanced budgets for 2020-2021.
- If this transfer is made to the High Needs Block it is going to further limit the capacity of schools to provide support for students with SEND.
- Central government needs to be under sustained political pressure to provide sufficient funds for the High Needs Block.
- Do not believe that any funds should be taken from hard pressed school budgets to prop up underfunded higher needs especially since this top slice will not result in any change of provision simply reduce a deficit.
- Worcestershire school are underfunded, so taking funds from the DSG will exacerbate this situation. High Needs is underfunded and overspent, so subsidising this debt from the DSG is morally wrong. The concern is that HN will need to be subsidised from somewhere. If it is not the DSG through the 0.5% top slice it will be DSG via the 'backdoor' of an adjustment to the gains cap when adjusting the formula for affordability. The unpalatable irony is that schools' budgets will ultimately subsidise the HN shortfall and the HN recovery plan is focussed on schools being more inclusive. Schools cannot become more inclusive when they are inadequately funded and the squeeze on other services to support the child continue. Whatever the solution it will be a woefully small sticking plaster at best.
- Do not see that any school can agree to the top slice without first seeing a High Needs Block recovery plan from the LA, which is not included within this consultation. There needs to be confidence that WCC have the issues under control and have a clear plan for bringing the deficit under control. Only then will schools agree to give up their funding as if this is agreed to in 2020/21 then it will just go into the pot and not be used effectively.
- Do not support the transfer of 0.5% of the schools' block DSG as this will only service current deficit and mask inefficiencies of current management of spending. Do not believe this will support or improve provision.
- Whether or not the transfer occurs, school wish to see robust management over High Needs provision including checking attendance at and quality of provision within those institutions to whom the LA entrusts our region's children and clear, transparent reporting of these findings to schools.
- Government needs to fund HN according to actual need and not on the broken historical basis which has been discussed much, but no significant change has been forthcoming.
- Moving money around in the DSG is just robbing Peter to pay Paul. When all are deserving this just encourages government to duck its responsibilities again.
- There needs to be a NFF for the HN top-ups and the starting £10k per pupil needs to be reviewed and available to all schools that support SEN pupils and not compromised by proxies and notional SEN values in non-special schools.
- The school is under serious pressures regarding supporting our pupils with SEND at a school level. The school cannot afford any money to be taken from our already squeezed funds.

The Worcestershire Association of Secondary Headteachers (WASH) also sent the following joint response: -

'During our meeting of WASH on 13th November there was unanimous concern about the proposals within the consultation to use 0.5% of the DSG to subsidise the Higher Needs funding shortfall. Secondary schools will notify you via their consultation responses separately, but I expect there will be little to no support for this measure. The purpose of this letter is to inform you, through the collective voice of WASH, about our reasons for objecting to the 0.5% transfer.'

As secondary Headteachers we are concerned that any movement of funding from our budgets would not provide additionality for children with special needs. It will, we understand, simply only serve to reduce the deficit. Whilst this may be appealing from an LA point of view, the fact is that the funds provided are for children in the system this year, and we as headteachers know that they need it. This is compounded by the fact that schools are underfunded in general terms but also struggling to support the most vulnerable. A transfer of funds to the HLN block will inevitably lead to poorer provision in schools. WASH colleagues therefore stand together in their rejection of the proposal to top slice the DSG by 0.5% to support Higher Needs funding.

We do, however, understand that the regrettably, despite the governments 'well spun' announcements of further fairer funding, the quantum of funding for Worcestershire is still woefully comparatively low and insufficient to meet demand. Nevertheless, we are concerned that the only other alternative to make the books balance for Higher Needs will be to subsume this shortfall into the calculation of the funding cap. In other words, should the 0.5% top slice not go ahead, the funding for Higher Needs will still come from school's budgets via the capping 'back door'. Inevitably those schools who expect to gain from the NFF may not receive their full allocations. In the end, it will mean some schools will contribute more than the 0.5% and others probably less or even none at all as they will be topped up to the MFL. It will be those serving the most disadvantaged communities who lose the most funding in any such arrangement in order to service the debt of the LA's HLN budget.

We urge the local authority to go back to the DfE to raise this as a concern in the context of Worcestershire relative funding levels. We feel it is imperative that the DfE are aware of the further damage that will be caused in Worcestershire by this scenario and that the NFF is not delivering as promised.'

A school supporting the transfer felt it showed the whole School community acting collaboratively.

A school supporting the transfer indicated they are aware the High Needs Block funding is critical – although moving the funds from one area to another does not really solve much.

Q2b) – If your answer to question Q2a) is YES please indicate how this adjustment should be made: -

- **A combination of reducing the AWPU and changing the MFG/Capping percentages.**
- **A combination of reducing the Lump Sum and changing the MFG/Capping percentages.**
- **Changing the MFG/Capping only.**

A summary of the issues from those not in support included: -

- Without illustrations cannot see the relative impacts so it is hard to distinguish between the options.
- All three would adversely affect MFG levels, which in previous years were only applied at the lowest level (+0.5%), and now presumably even that level of increase would be under threat representing another successive real term funding cut.
- Recognising that the MFG will be vital to avoid big funding fluctuations for those schools losing out under the NFF, very concerned that all these options would place the biggest burden of reducing the High Needs shortfall on those schools least able to absorb the impact – i.e. small primary schools.
- Concerned that this will necessitate a more severe cap on the ‘gainers’ in the formula and exacerbate the problem.
- Do understand the catch 22 situation regarding the options to take this from either AWPU or lump sum (with its impact on MFL). However, this seems like a double whammy for the schools who should be gaining more as per the formula. It will likely mean that some schools will contribute more than the 0.5% and others probably less or even none as they will be topped up to the MFL. How can this be fair?
- Also, it will be those serving the most disadvantaged communities who lose the most funding in any such arrangement to service the debt of the LA’s HLN budget and subsidise schools serving more affluent areas.
- Funding for the high needs block should not come from the schools’ block in any format, MFG or otherwise. Schools who are set to benefit from the NFF (i.e. those who have been previously under-funded the most) will be disproportionately impacted again.

One school supporting this issue felt they were unable to give an informed choice at this point as there is insufficient information available at present to know which option would be the most beneficial to all schools in Worcestershire.

Q3 – Do you support the arrangements for delegation and de-delegation for 2018-19 and 2019-20 as detailed in Table 2 to continue for 2020-21?

There were **14** responses received from maintained schools the details of which are in **Appendix 2**. Of these **13** schools were in support.

For those in support it was indicated: -

- It would also have been useful to have had sight of the financial implications of the de-delegation decisions.
- Schools in other LAs have made difficult decisions to cease de-delegated services so the demands these services have on DSG funds are small, however there seems to be an extensive list for WCC that would have liked more information on.

- This would be a way of freeing up funding within the Schools Block that could perhaps in the future be used to contribute towards the financial recovery of the High Needs Block via a top slice.
- This seems reasonable to support this for this year however would just challenge back to say that maybe a full review of de-delegated is needed in the current climate with growing pressures on the High Needs Block.
- Happy to continue with at least the same arrangement.

One school not in support indicated the previous arrangements for delegation and de-delegation have not been sufficient to adequately support school's financial needs.

<p>Q4 – Do you support the arrangements for centrally retained services as detailed in Table 3 for 2018-19 and 2019-20 to continue in 2020-21?</p>

There were **44** responses received from **227** mainstream schools the details of which are in **Appendix 2**. Of these **38** schools were in support.

There was support for this from **1** other consultation responder.

For those in support it was indicated: -

- That it was important to maintain stability as in previous years.
- Due to limited time, resources and expertise potentially within schools, coordination through the LA is possibly more effective.
- Agree, if the significant payments within this for SEN do not reduce the AWPU minimums.
- These are supported to continue as necessary centrally required services.
- Would like further information about how the £0.06m is spent 'servicing' the Schools Forum. DfE guidance is clear that the cost of running forum can come from centrally retained services budget but would like to understand why this is currently at this level. (Running forum is a small % of this figure).
- Would expect further clarity regarding the WSF not being required for approval about High Needs Block provision in the first point in Table 3 from the consultation document.
- The LA should publish the breakdown of spending in the CSSB, particularly the statutory duties as were funded by the old ESG.

For those not in support it was indicated: -

- The previous arrangements for centrally retained services have not been sufficient to adequately support school's financial needs.
- There are few of these central services offered which the school would utilise but not all of them.
- A 20% reduction to central services will no doubt result on additional cost pressures on schools as services are reduced.
- Maximum funding is needed to maintain key aspects of in-school provision, and too little funding flows centrally into schools.

2. FURTHER ISSUES RAISED

Overall Funding

- The previous funding formula has proved insufficient in supporting school's financial needs, so a dynamic and innovative approach needs to be formulated to ensure adequate financial resources are provided to schools in forthcoming years.
- Believe that the maximum NFF should be shared with schools, even if this is the case the school will still be over half a million pounds below the Midlands average income.

Academisation

- Recently tried to go through the Academy process and realised that during Due Diligence, the school had far more capability to manage its own affairs than previously thought. So, although always protective about the budget, are open to more delegation of LA work to our own organisation.
- Remain supportive of Worcestershire County Council.

High Needs Funding

- There is a clear history of underfunding the HNB as a proportion of the DSG in Worcestershire.
- Worcestershire allocates 12.6% of its total funding to its HNB and this is in the bottom 20% of proportional allocation for all LAs (121 out of 150 LAs) and 1% below the English average which is 13.6%.
- This lower proportion of funds going into the NH block from the DSG must share a proportion of the blame for the LA's NH block deficit (along with the fact, seen across the entire county, that the grant has not kept pace with demand).
- For special schools the DFE policy direction for 2020-21 should be followed and that '*schools should attract their full core allocations under the formula*'.
- The place base funding (received from the government) nor the top up funding levels, (set by the LA) have been increased for at least 6-8 years.
- Due to large workforces of predominately non-teaching support staff, special schools have been disproportionately and significantly affected by the non-teaching staff pay award.
- Worcestershire Special schools are some of the most poorly funded in the country, within the bottom 10% of all special school nationally.
- Rather than try to mask the funding shortfall in high needs by taking from the schools' budget, LAs should be working together to show central government that total funding in the system is insufficient and cannot be sustained.

This page is intentionally left blank

FAIR FUNDING CONSULTATION OUTCOMES FOR 2020-21
NOVEMBER 2019

	QUESTION	SUMMARY OF RESPONSES
Q1	<p>Do you support the LSFF in 2020-21 continuing to be based, as in 2018-19 and 2019-20, upon the DfE NFF parameters as far as is practicable and affordable subject to the Schools Block DSG available?</p> <p>APPLICABLE TO ALL MAINSTREAM SCHOOLS LA MAINTAINED AND ESFA ACADEMIES</p>	Supported overall and in all sectors except in academy middle schools
Q2	<p>Do you support the transfer of 0.5% of the Schools Block DSG in 2020-21, to the High Needs Block DSG to support cost pressures?</p> <p>If your answer to question above is YES please indicate how this adjustment should be made: -</p> <ul style="list-style-type: none"> • A combination of reducing the AWPU and changing the MFG/Capping percentages. • A combination of reducing the Lump Sum and changing the MFG/Capping percentages. • Changing the MFG/Capping only. <p>APPLICABLE TO MAINSTREAM SCHOOLS ONLY BOTH LA MAINTAINED AND ESFA ACADEMIES</p>	Not supported overall and in any sector except for maintained middle
Q3	<p>Do you support the arrangements for delegation and de-delegation for 2018-19 and 2019-20 as detailed in Table 2 to continue for 2020-21?</p> <p>APPLICABLE TO ALL LA MAINTAINED MAINSTREAM SCHOOLS ONLY</p>	Supported overall and in all sectors
Q4	<p>Do you support the arrangements for centrally retained services as detailed in Table 3 for 2018-19 and 2019-20 to continue in 2020-21?</p> <p>APPLICABLE TO ALL SCHOOLS BOTH LA MAINTAINED AND ESFA ACADEMIES</p>	Supported overall and in all sectors except for academy middle

This page is intentionally left blank

FAIR FUNDING CONSULTATION OUTCOMES 2020-21
WORCESTERSHIRE SCHOOLS FORUM ISSUES, DECISIONS AND
RECOMMENDATIONS SEPTEMBER AND NOVEMBER 2019

As the statutory consultation body for schools funding issues and local schools' formula development, the Worcestershire Schools Forum (WSF) met to receive and discuss the national Fair Funding Policy Direction and Consultation Issues as follows: -

- On 26 September 2019 for the overall outcomes of the Department for Education (DfE) policy direction for the National Funding Formula (NFF) and for consideration of potential local consultation issues for 2020-21.
- On 28 November 2019 for the outcomes of the local consultation issues launched on 1 October 2019.

The main areas discussed are detailed in the following sections.

CONSULTATION ISSUES CONSIDERED AT THE WORCESTERSHIRE SCHOOLS FORUM ON 26 SEPTEMBER 2019

The WSF considered and debated the Government's school funding and NFF policy announcements and the WCC draft consultation document and questionnaire as required.

The WSF approved the draft consultation and questionnaire including details on a proposal for the Local Schools Funding Formula (LSFF) for 2020-21, other consultation matters and for its circulation to all schools and other consultees.

In doing this the WSF noted with LSFF the need for stability so supported the continuation of a LSFF based upon the NFF parameters Year 3 and that school budget allocations will differ between 2019-20 and 2020-21 due to: -

- The MFG and capping calculation for 2020-21 having to be based upon the revised NFF parameters.
- Data not yet available from the October 2019 and other 2019 DfE data sets, including prior years, which must be used for the 2020-21 allocations.
- The final Schools Block Dedicated Schools Grant quantum for 2020-21, which will not be notified by the DfE until late December 2019.
- The need to incorporate the mandatory DfE sector Minimum Funding Levels (MFLs) in the LSFF.

CONSULTATION OUTCOMES CONSIDERED AT THE WORCESTERSHIRE SCHOOLS FORUM ON 28 NOVEMBER 2019

The WSF considered the issues for:

- The LSFF for 2020-21 to continue to be based as far as is practicable and affordable on the DfE NFF Year 3 parameter.
- The consultation outcomes for each of the other consultation questions.
- Summaries of the key consultation issues raised by schools.
- The recommended actions as detailed in this report paragraphs 33 to 43 and accompanying **Appendices 2, 3, 4 and 5**.

Overall, the WSF were disappointed by the lower response rate of 19% against the 42% in the November 2017 local consultation. The WSF noted how this varied by sector and it was highest in the secondary sector and lowest in the primary sector and commented there would be need for further engagement in that sector. They further noted the reduced level was a consequence of stability proposed for the LSFF and no significant changes to the other statutory matters.

IN TERMS OF THE DETAILED CONSULTATION ISSUES THE WSF COMMENTED AS FOLLOWS: -

The WSF considered the summary of the overall consultation responses as detailed in **Appendix 2** of this report.

Local Schools Funding Formula (LSFF) 2020-21

The WSF further considered and discussed all the summaries of all the main issues made by schools on the LSFF as detailed in **Appendix 3** of this report.

The WSF noted as follows:

- The proposal by the DfE for mandatory Minimum Funding Levels (MFLS) in LAs LSFF.
- Despite the LSFF being based upon the DfE NFF there is still not enough resource in the school funding system to support significant demands and cost pressures.

The WSF respected the consultation outcomes from schools across all phases and concluded overall that this gave credence to continuing with the DfEs NFF based model in 2020-21.

The WSF **resolved to endorse** this approach for the LSFF in 2020-21 and for it to continue as far as is affordable and practicable to using the DfE Year 3 NFF parameters using the DfE required data sets and formula factors as detailed in paragraph 35 of this report, noting the potential impact of this on individual school allocations discussed at its previous meetings.

In doing this the WSF **noted** the requirements of the NFF as the LSFF in 2020-21 as far as affordable and practicable including the effect of:

- The actual schools block DSG allocated.
- The mandatory sector Minimum Funding Levels (MFLs) per pupil.
- The Minimum Funding Guarantee (MFG) of between +0.5% and +1.84% per pupil in each year.
- The potential need for a relevant cap per pupil yet to be determined for affordability purposes.

The WSF **further noted** the estimated LSFF NFF units of resource and there may be a need for a capping % yet to be determined in January 2020, as required, to take account of:

- October 2019 census data impact and requirements including use of estimated data for changes in school age ranges if required.
- Other DfE prescribed 2019 data changes including those from prior years.

- The final Schools Block Dedicated Schools Grant for 2020-21.
- Statutory requirements relating to the Minimum Funding Guarantee (MFG)/Capping and the School and Early Years Finance (England) Regulations.

As in previous years the WSF noted the LSFF model for 2020-21 will **not** include factors for:

- Pupil Mobility – although part of the NFF not deemed to be a significant issue.
- Looked After Children (LAC) – not part of the NFF and previous funded reflected in the previous increase in the separate LAC Pupil Premium Grant.
- Higher Teacher Costs – only applies to London fringe Local Authorities.

Consultation Question 2a) – Potential to Transfer Schools Block Funding to Support High Needs Budget Pressures

The WSF noted and discussed the consultation outcomes and the detailed responses made by a number of schools regarding the potential to transfer Schools Block funding to High Needs as detailed in **Appendix 4** of this report.

The WSF considered its statutory responsibility in making a decision on the proposed transfer.

In line with the Schools Forum (England) Regulations 2012, the Worcestershire Schools Forum **resolved NOT to approve** any transfer of funding from the Schools Block to support High Needs budget pressures.

Consultation Question 3 – Delegation and De-delegation of Centrally Retained Dedicated Schools Grant Services for Maintained Schools

The WSF considered its statutory responsibilities in making decisions on the delegation or de-delegation of services for maintained schools only currently centrally retained in the Dedicated Schools Grant.

In line with the Schools Forum (England) Regulations 2012, the WSF maintained school members by phase considered these areas. By phase these WSF members **resolved to approve** to either delegate or de-delegate these areas in 2020-21 as detailed in this report in paragraphs 38 to 40 together with the method of delegation or de-delegation proposed.

Consultation Question 4 – Centrally Retained Dedicated Schools Grant Services

The WSF also considered its statutory responsibilities in making decisions on other centrally retained services for all schools retained in the Dedicated Schools Grant.

The WSF noted the outcomes of the consultation results which supported continued central retention overall. It was felt there needed to be ongoing dialogue and debate with WCC on the issues raised.

In line with the Schools Forum (England) Regulations 2012, the WSF **resolved to approve** the continued central retention in 2020-21 of the centrally retained services as detailed either limited to the 2017-18 budget level or as prescribed by the DfE (indicative budgets are shown either limited to previous year levels or **estimated** funding subject to final clarification and change) as detailed in this report paragraph 41 for:

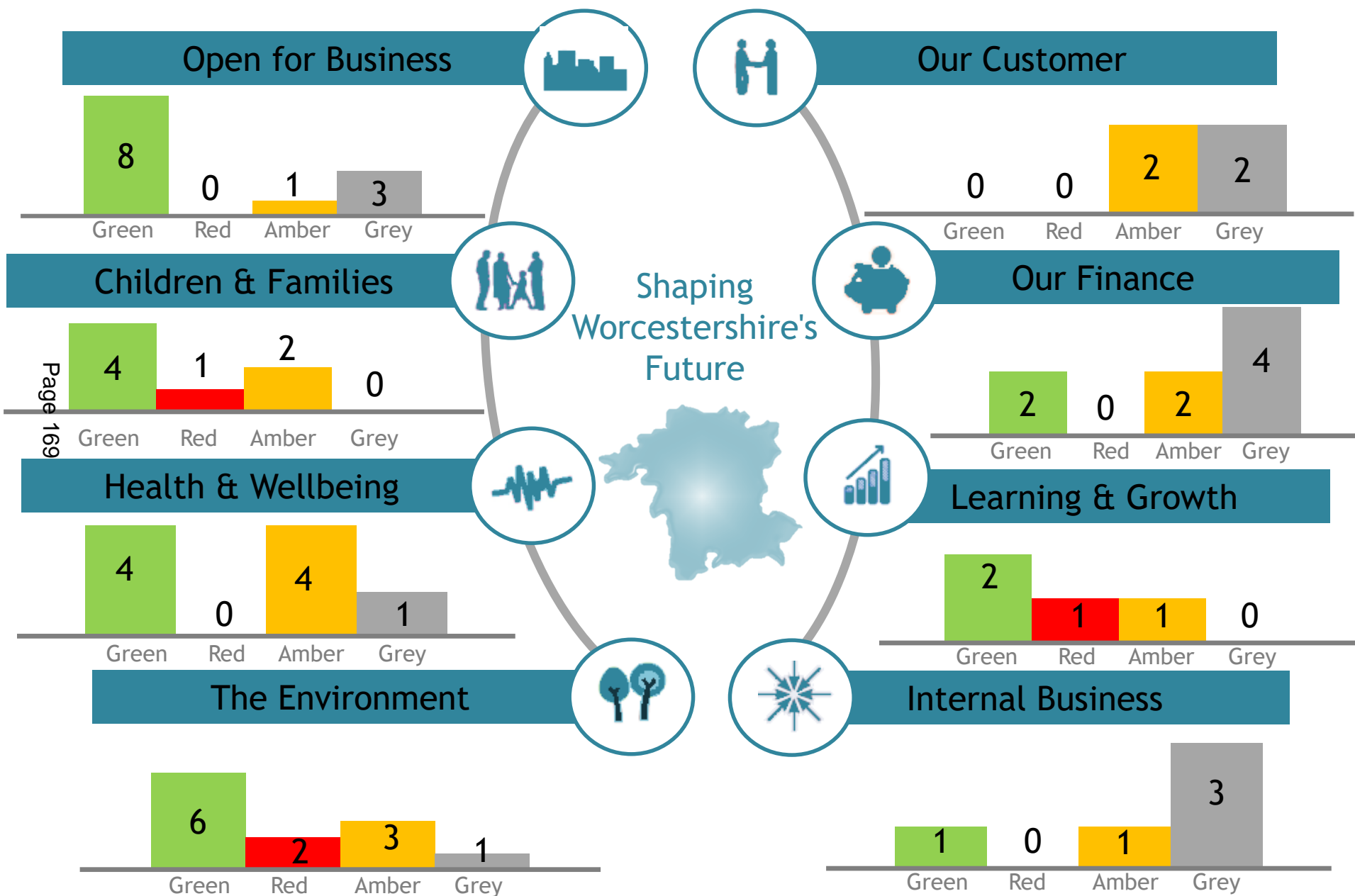
- Copyright Licensing Agency (CLA) and Music Publishers Association (MPA) licences (subject to DfE prescription) – £0.41m **estimated**.
- Contributions to Combined Services – the Early Intervention Family Support (EIFS) service budget – £1.20m **actual** (reflecting the 2019-20 amount being reduced by 20% because of the DfE change to the Central Services Schools Block DSG).
- Co-ordinated admissions scheme – £0.60m **actual**.
- Servicing of the Schools Forum – £0.06m **actual**.
- Services previously funded by the retained rate of the Education Services Grant – £1.26m **actual**.

Overall

In terms of all their deliberations and decisions above, the WSF **resolved** that these be communicated to the Worcestershire County Council Cabinet as required.

CABINET BALANCED SCORECARD UPDATE Q2 2019/20*















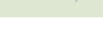
* Grey represents indicators that do not have an assessment due either to no target having been set or they are new indicators.







OVERVIEW: Q2 2019/20 GREEN INDICATORS

Area of Focus / Perspective	Corporate Performance Indicator	Movement from previous rating
Open For business Page 170	16-24 year old Job Seekers Allowance claimants	➡
	Economic growth - Gross Value Added (Local target)	➡
	Economic growth - Gross Value Added (National comparator)	➡
	Average Salary for Worcestershire based jobs	➡
	Working age adults in employment	➡
	Premises with Superfast broadband	➡
	All premises connected to fibre	➡
	Business Confidence	➡
Children and Families	16-17 year olds who are not in education, employment or training (NEET)	➡
	Choice of school	➡
	Children with a child protection plan	➡
	Average time (in days) between a child entering care and moving in with its adoptive family, for children who have been adopted	➡

Q2 2019/20 GREEN INDICATORS CONTINUED

Area of Focus/ Perspective	Corporate Performance Indicator	Movement from previous rating
Health & Wellbeing	Adults with a learning disability in paid employment	
	Residents aged 65 or more receiving a social care service	
	Social Care services making people feel safe and secure	
	Users saying they have control over their lives	
The Environment	Condition of footways	
	Household waste collected per head	
	Municipal waste landfilled	
	Green Flags awarded across the County	
	Household waste sent for reuse, recycling or composting	
	Local road and bus information - number of people using the app	
Our Finance	Council Tax	
	Creditor days	
Learning & Growth	Your Voice staff survey response rate	
	Performance reviews completed (previously Amber)	
Internal Business	Sickness Rates	

OVERVIEW: Q2 2019/20 RED INDICATORS

Area of Focus / Perspective	Corporate Performance Indicator	Updated in Q2 2019/20	Movement from previous rating
The Environment	<u>Condition of Principal (A-class) roads (previously Amber)</u>	No	
	<u>Condition of unclassified roads</u>	No	
Children & Families	<u>School's judged good or outstanding by Ofsted</u>	Yes	
Learning and Growth	<u>Staff who feel that the County Council has a clear vision for the future</u>	No	

Out of the 4 performance indicators that are assessed as RED, 1 has had a performance update in Q2 2019/20 - **School's judged good or outstanding by Ofsted.**

The performance update for this indicator is detailed on the next page.



SCHOOL'S JUDGED GOOD OR OUTSTANDING BY OFSTED

The proportion of schools judged as good or outstanding in most recent Ofsted inspections

Q2

2019/20

84%



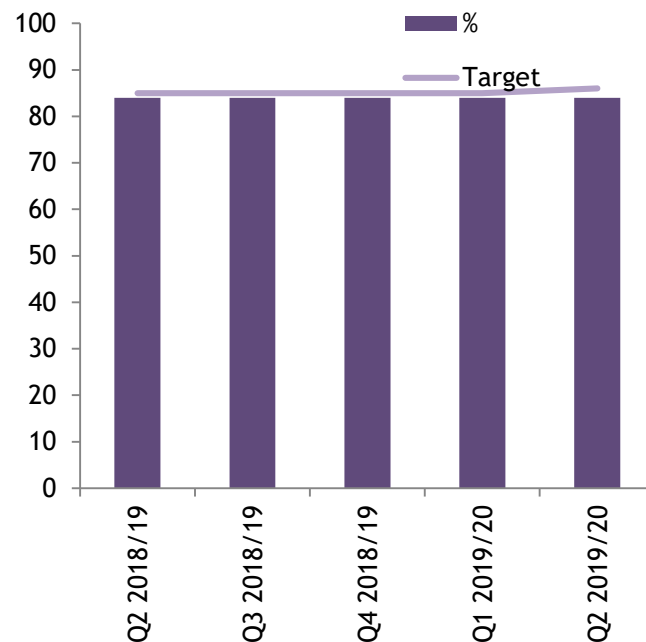
Page 173

Direction of travel:
No noticeable change

PERFORMANCE DETAILS

Worcestershire has remained just below National levels for the past 12 months and this number is likely to remain static due to two factors:

1. Ofsted inspected just 24 (10%) of 242 Worcestershire's schools in the last 12 months, on current performance the opportunity to increase the overall result is restricted to 2% a year as approximately 8 out of 10 schools are being judged as Good or Outstanding already.
2. Where an inadequate judgement is made, schools are issued with a mandatory academy conversion order. Following this a re-inspection is scheduled within three years, whilst the original inadequate remains in the overall calculation for this period.

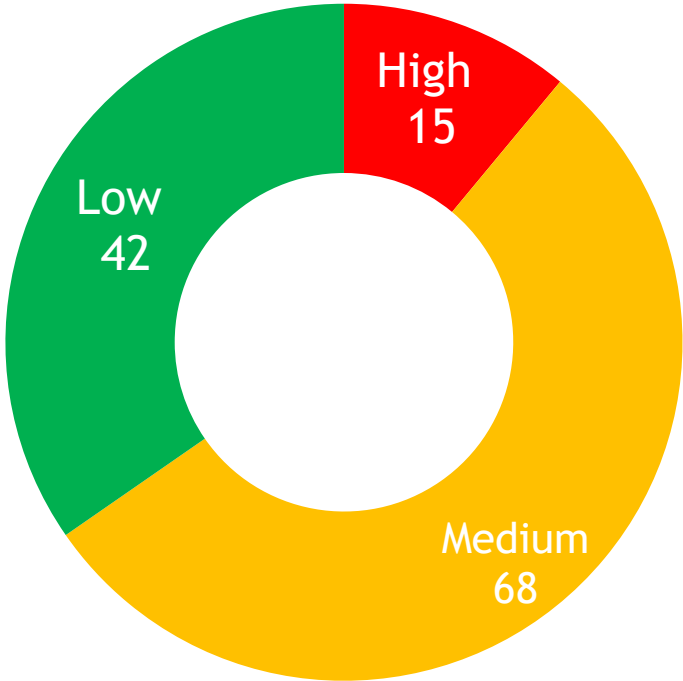


CURRENT ACTIVITY AND FUTURE ACTIVITY

- Through our school improvement provider Babcock Prime, we provide prioritised support for LA maintained schools tiered under schools causing concern model – Intensive to Light Touch.
- In addition, this year, Babcock Prime have introduced improvement adviser visits for every maintained school to ensure early intervention needs are identified. Our School Improvement Advisors Team are also collaborating with the DfE improvement support programme to ensure support for schools is effective and joined up.

PROFILE OF CORPORATE RISK REGISTER

The Council’s Risk Register provides an overview of all major risks across the organisation. The chart below gives a snapshot as at the end of Quarter Two - 2019/20. There are 126 risks, of which 15 are scored by directorates as high.



High Risks by Directorate	
Children, Families and Communities	5
Adult Services	4
Public Health	2
Economy and Infrastructure	3
Chief Executive	1

CORPORATE RISK AREAS

IDENTIFYING CORPORATE RISKS

- Corporate risk areas are identified by
 - Aggregating similar themes of risk present across multiple directorates in the risk register
 - Identifying specific risks at directorate level that have potential to impact on the wider council
 - Identifying specific risks at directorate level that could be mitigated by actions in other directorates
- The following pages show the current corporate risk areas
 - Vulnerable children
 - Education
 - Demand for adult social care
 - Management of the county estate
 - Business continuity response to major event
 - Financial control
 - Staffing
 - EU Exit

CORPORATE RISK AREAS

FAILURE TO SAFEGUARD VULNERABLE CHILDREN

Q2 2019/20

WHY IS THIS AREA OF RISK RED?

- This area of risk is rated Red primarily due to issues identified around safeguarding children.

MITIGATING ACTIONS

- Implementation of Worcestershire Children's First as a wholly owned Company.
- Specific priorities for continual development and implementation identified in the Service Business Plan:
 - Ofsted recommendations for areas of improvement
 - Business priorities - Placements for children in care
 - Implementation of Liquid Logic case management system
 - Edge of care services.
 - Innovative projects - family safeguarding

High

Medium

Low

Jun-17
Sep-17
Dec-17
Mar-18
Jun-18
Sep-18
Dec-18
Mar-19
Jun-19
Sep-19
Dec-19
Mar-20

WHAT NEXT?

Implementation of the Service Business Plan

CORPORATE RISK AREAS

FAILURE TO PROVIDE A GOOD EDUCATION FOR ALL WORCESTERSHIRE CHILDREN

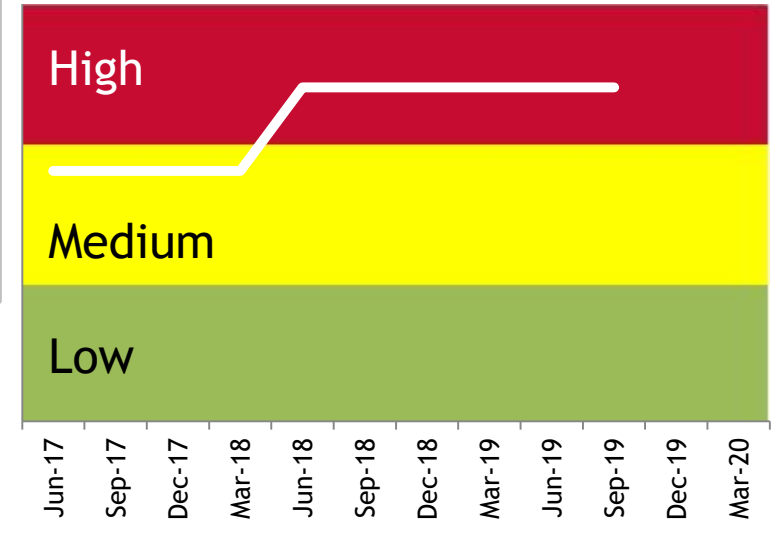
Q2 2019/20

WHY IS THIS AREA OF RISK RED?

- This area of risk is rated as red due to financial pressures on schools, changes to school organisation, and OFSTED / CQC letter outlining areas for improvement for children with SEND.

MITIGATING ACTIONS

- Effective communication of our policy on supporting middle schools to the proposer of any changes to school organisation.
- To work with the Regional School Commissioner to ensure they are aware of our policy.
- Schools with significant deficit budgets to undergo a whole school review led by Director Education and Early Help.
- SEND Improvement Action Plan has been agreed and Improvement Board established. There are five workstreams including
 - The local offer
 - Embedding the graduated response
 - Assessment and planning
 - Joint commissioning and leadership
 - Workforce and engagement



WHAT NEXT?

Delivery of the SEND Improvement Action Plan

CORPORATE RISK AREAS

FAILURE TO MITIGATE DEMAND FOR ADULT SOCIAL CARE

Q2 2019/20

WHY IS THIS AREA OF RISK RED?

- This area of risk is rated Red due to the challenges of an ageing population and increasing numbers of people with severe levels of disability, delays in hospital discharges, lack of affordable capacity in residential and nursing homes in Worcestershire, and resulting pressures on services

High

Medium

Low

Jun-17 Sep-17 Dec-17 Mar-18 Jun-18 Sep-18 Dec-18 Mar-19 Jun-19 Sep-19 Dec-19 Mar-20

MITIGATING ACTIONS

- The Three Conversations Model introduced by Adult Social Care has been rolled out across all Area Social Work teams Learning Disability and Mental Health services to maximise the potential for prevention and delay of care packages.
- Use of block contracts for residential/nursing care is being monitored closely with outcomes used to inform future commissioning. Financial status of care home providers is being reviewed to identify high risk areas. Workforce availability is being monitored.
- Monthly monitoring of service and directorate budgets at DAS DLT, and reporting of integrated and pooled budget arrangements to ICEOG on monthly basis.
- Additional government funding received for winter pressures
- 2019/20 budget approved with significant growth element

WHAT NEXT?

- Continuing work with NHS partners to support acute and community hospitals.
- Working with Peopletoo to improve effectiveness of reablement and intermediate care to reduce demand.
- Develop business plan for Assistive technology.
- Future work with C.Co to remodel in-house provider services.
- Maximise opportunities presented by imminent implementation of the People Directorate.

CORPORATE RISK AREAS

INADEQUATE FINANCIAL CONTROL

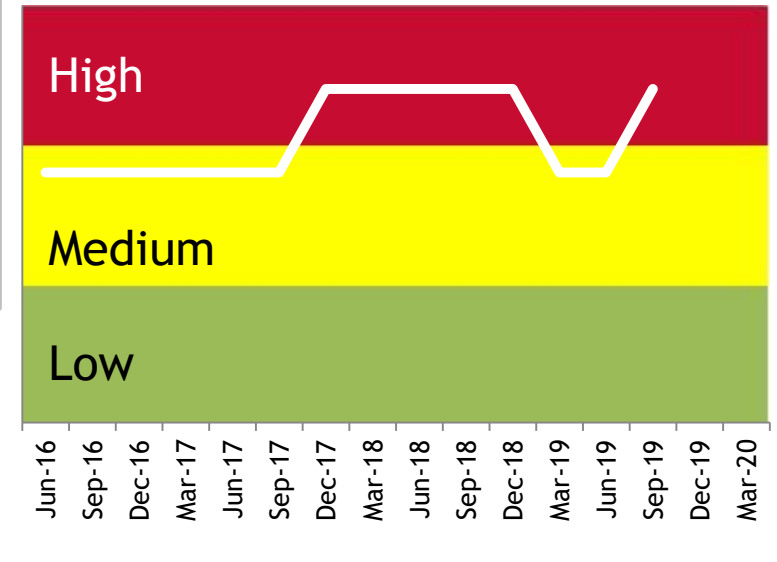
Q2 2019/20

WHY IS THIS AREA OF RISK RED?

- Additional demand and cost pressures together with slower than anticipated forecast achievement of savings resulting in budget overspending.

MITIGATING ACTIONS

- A review of reserves and financial standing has been undertaken by the Chief Financial Officer and will continue to be reviewed.
- The Council's financial and budget monitoring system (CP) is being rolled out across WCC and supported by finance officers.
- Regular monitoring reports brought to DLTs, SLT and Cabinet during 2019/20, with recommendations for actions to address forecast variations and deliver savings options to support the corporate position
- Actions to reduce or defer expenditure being progress by budget holders, to include Christmas Leave purchase scheme, ceasing non-essential spend and tighter vacancy management.
- Increased focus on reviewing Commercial contract reviews.
- Reduced numbers of cost codes to ensure accountability and simplify budget management for budget holders.
- Optimising use of in-year additional funding from government
- Targets for in-year cost reduction given to directorates to work towards
- Finance training programme in place for budget and spend managers, being delivered by the Head of Finance



WHAT NEXT?

Final tranche of budget holder and spend manager training to improve accountability, controls and skills

Critical financial challenge of Directorate spending plans

Development of additional in-depth demand and activity analytics to support forecasting accuracy

Centralisation of debt management and greater focus of recovery actions

CORPORATE RISK AREAS

INSUFFICIENT STAFF CAPACITY, CAPABILITY AND PRODUCTIVITY

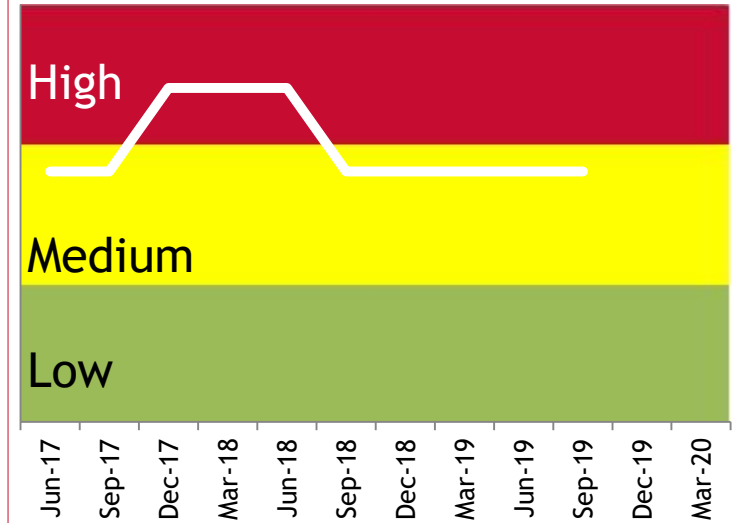
Q2 2019/20

WHY IS THIS AREA OF RISK AMBER?

Improvements in recruitment in key positions (social workers and SLT) have reduced this risk but threat to staff satisfaction, productivity, and ultimately retention of appropriate skills due to 35 hour / 37 hour week, change in scope to WCF, and uncertainty around finances.

MITIGATING ACTIONS

- A dedicated social work recruitment team, based in the Council, is in place. It covers both adult and children's social work and other adult social care posts. Initiatives have included working with operational services to recruit at job fairs and target newly qualified workers.
 - 62 new starters in frontline safeguarding teams in last 12 months
 - Permanent staffing now 87% (as at end September 2019) from a low of 59% in February 2018
 - Social worker turnover is at 19% (slightly higher than the low of 11% in October 2018) but 24% lower than 15 months ago.
- A new campaign to promote the benefits of working and setting up business in Worcestershire, called More In Worcestershire, has been launched. The campaign makes use of advertising and social media to raise the profile of the County.
- Recruitment Services transferred back to the Council from the provider from 1 August 2019.
- Business continuity plans identify the steps that will be taken to maintain critical services when there are staffing shortages.
- Organisational redesign underway including significant staff engagement around performance and productivity.



WHAT NEXT?

- Review the approach being taken to key “hotspots” where recruitment and retention are particularly difficult
- Corporate business continuity strategy to be updated to include consideration of skills and capacity in critical services.

CORPORATE RISK AREAS

INSUFFICIENT COMPLIANCE MANAGEMENT OF COUNCIL ESTATE

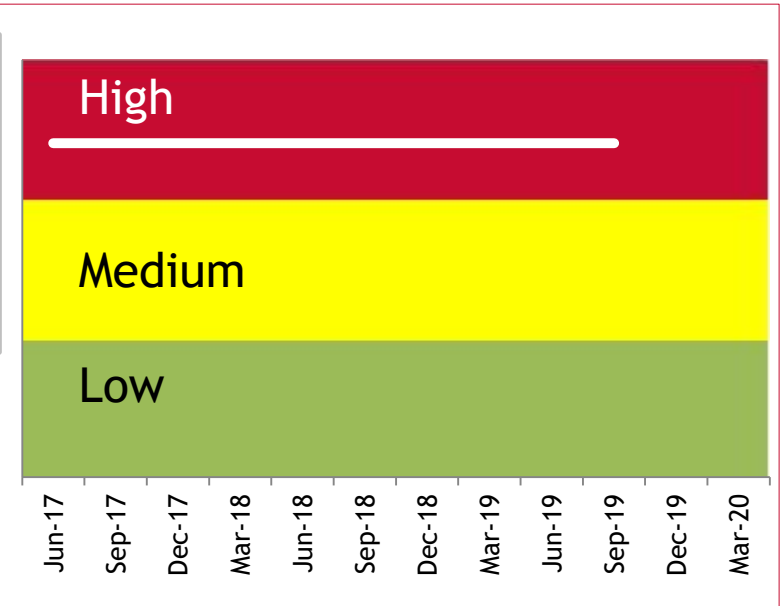
Q2 2019/20

WHY IS THIS AREA OF RISK RED?

This area of risk is rated RED due to an ageing estate and ongoing maintenance programme requiring continuous focus to ensure the estate is and remains compliant. Gaps have been identified which are now in the progress of being addressed.

MITIGATING ACTIONS

- A programme of work has now been identified by PPL to address current gaps.
- A capital investment of circa £1m has been instructed to carry out risk assessment, survey and remedial works. Remedial works from surveys and assessments determined and programme of works for 2019-20 agreed by SLT.
- A working group has been set up to oversee the works which is currently meeting fortnightly to assess progress and expenditure
- All schools surveyed. High risk asbestos removed, management and removal of residual asbestos ongoing. Education skills and funding agency (ESFA) asbestos mapping assurance process (AMAP) survey has been conducted (majority of noncompliance is down to management issues being dealt with - e.g. training).
- All surveys and assessments (asbestos, fire and water) for corporate buildings up-to-date and a future program of works (2019-2024) being developed.
- Compliance activity being expanded to cover electricity, gas and confined spaces - additional compliance areas will be added progressively.
- Compliance in schools being investigated - data gathering is complicated due to the self-autonomy of schools.



WHAT NEXT?

- Continuous focus will be maintained to ensure compliance is maintained
- Development of the 20/21 capital works programme for compliance - due for completion by end of 2019.
- Improved reporting model will be implemented
- Increased focus on detailed compliance requirements
- Budget for future compliance works being developed

CORPORATE RISK AREAS

BUSINESS CONTINUITY RESPONSE TO MAJOR EVENT

Q2 2019/20

WHY IS THIS AREA OF RISK RED?

- The ability of the council to appropriately deliver against business continuity plans as the organisation shrinks in size. In particular - the council's resilience to loss of staff or unanticipated increase in demand resulting from flooding, accident, pandemic, terrorist activity, Brexit or system loss.

High

Medium

Low

Jun-17 Sep-17 Dec-17 Mar-18 Jun-18 Sep-18 Dec-18 Mar-19 Jun-19 Sep-19 Dec-19 Mar-20

MITIGATING ACTIONS

- Council wide business critical services are defined and BCPs reviewed annually by the CRMG on behalf of the Transformation and Performance Board.
- The County Council's response to a flu pandemic will be governed through its business continuity arrangements and through making key contributions to a multi agency response.
- Social care case management system - major project to deliver the transition from Fwi to Liquid Logic.
- Agreement with NHS England for the supply of PPE (face masks) for front line staff during pandemic.
- Business continuity plan (BCP) hub established on Resilience Direct for off-site storage of critical business continuity plans.
- New template for critical BCPs agreed and support in place for service areas to update and review

WHAT NEXT?

- Critical BCPs to be reviewed against new template and returned to CRMG - January 2020
- A WCC pan flu ex of its own BC arrangements is under development.
- Review of Worcs annex of the Excess Deaths Plan during 2019 to clarify and agree body storage/management responsibilities and arrangements between County and District Councils
- Review of WCC Pandemic Flu framework document during 2019/20.
- SLT have agreed for a WCC business continuity exercise to be developed and run in Spring 2020

CORPORATE RISK AREAS

Risk to Council Services and the local economy as a result of EU Exit

Q2 2019/20

WHY IS THIS AREA OF RISK AMBER?

- The potential impact of loss of suppliers and / or workforce on key council services, or partner agencies. In addition the potential impact on the local economy resulting from loss of trade, and potential civil unrest.

High

Medium

Low

Jun-17 Sep-17 Dec-17 Mar-18 Jun-18 Sep-18 Dec-18 Mar-19 Jun-19 Sep-19 Dec-19 Mar-20

MITIGATING ACTIONS

- Council has appointed a designated EU Exit lead
- Risks to key service areas and mitigation activity collated and input into Local Resilience Framework (LRF) no deal planning (this reporting requirement was suspended in October 2019 due to extension for withdrawal agreement and December general election)
- Local businesses signposted to practical advice and information including national guidance, via Worcestershire Business Central (the local growth hub).
- Raise awareness of grant schemes and financial support for businesses in advance of EU exit.

WHAT NEXT?

- Continue to monitor business continuity for key services
- Continue to work with partner agencies to signpost local residents and businesses to national advice and guidance.

This page is intentionally left blank

DRAFT Herefordshire & Worcestershire STP - Equality Impact Assessment (EIA) Form

Please refer to EIA guidelines when completing this form

Section 1 - Name of Organisation (please tick)

Herefordshire & Worcestershire STP		Herefordshire Council		Herefordshire CCG	
Worcestershire Acute Hospitals NHS Trust		Worcestershire County Council	X	Worcestershire CCGs	
Worcestershire Health and Care NHS Trust		Wye Valley NHS Trust		Other (please state)	

Name of Lead for Activity	Rosie Winyard
----------------------------------	---------------

Details of individuals completing this assessment	Name	Job title	e-mail contact
	Rosie Winyard	Senior Public Health Practitioner	rwinyard@worcestershire.gov.uk
	Andy Boote	Advanced Public Health Practitioner	aboote@worcestershire.gov.uk
	Polly Lowe	Associate Public Health Practitioner	plowe@worcestershire.gov.uk
Date assessment completed	September 2019		

Section 2

Activity being assessed (e.g. policy/procedure, document, service redesign, policy, strategy etc.)	Title: The recommissioning of a Drug and Alcohol service in Worcestershire.
What is the aim, purpose and/or intended outcomes of this Activity?	<p>Worcestershire County Council is commissioning an integrated Drug and Alcohol specialist treatment service for young people and adults living in Worcestershire, in partnership with West Mercia Police and Crime Commissioner.</p> <p>Drug and alcohol misuse have the potential to cause increased risk of harm to individuals, those closest to them and wider society. The primary purpose of the drug and alcohol service is to reduce drug and alcohol related harm and promote recovery. This will be achieved by working together in partnership with service users and stakeholders in the wider health and care system.</p> <p>A tender process will be undertaken to appoint a new provider to deliver the drug and alcohol service across Worcestershire.</p>

Who will be affected by the development & implementation of this activity?	<input checked="" type="checkbox"/> Service User <input checked="" type="checkbox"/> Patient <input checked="" type="checkbox"/> Carers <input checked="" type="checkbox"/> Visitors	<input type="checkbox"/> Staff <input checked="" type="checkbox"/> Communities <input type="checkbox"/> Other _____						
Is this:	<input checked="" type="checkbox"/> Review of an existing activity <input type="checkbox"/> New activity <input type="checkbox"/> Planning to withdraw or reduce a service, activity or presence?							
What information and evidence have you reviewed to help inform this assessment? (Please name sources, eg demographic information for patients / services / staff groups affected, complaints etc.)	<p>A full needs assessment has been completed which contains the following:</p> <ul style="list-style-type: none"> • A review of the published literature surrounding drug and alcohol services (national drug strategy, PHE developed Drug and alcohol commissioning support packs) • Review of quantitative service data (including demographic data, estimates of need (both met and unmet), hospital admissions, proportion of service users successfully completing treatment) • Stakeholder, service user and staff engagement <p>All sources of information and data are detailed in the full drug and alcohol needs assessment.</p>							
Summary of engagement or consultation undertaken (e.g. who and how have you engaged, or why do you believe engagement is not required)	<table border="1"> <tr> <td>Stakeholder Survey (Online)</td> <td> <p>The survey was hosted on 'snap surveys' and circulated widely to services broadly associated with drug and alcohol</p> <p>163 stakeholders responded to the survey, which was advertised for 4 weeks.</p> </td> </tr> <tr> <td>Drug and Alcohol Staff Focus Groups</td> <td> <p>Focus groups were held with staff working at each of the 3 community bases for drug and alcohol services. These sessions were attended by staff working across the organisation</p> </td> </tr> <tr> <td>Stakeholder engagement (face to face)</td> <td> <p>A stakeholder engagement session was held to:</p> <ul style="list-style-type: none"> • highlight the key findings from the drug and alcohol needs assessment • explore the themes raised in the stakeholder survey • capture further feedback regarding stakeholders' experience of service delivery </td> </tr> </table>		Stakeholder Survey (Online)	<p>The survey was hosted on 'snap surveys' and circulated widely to services broadly associated with drug and alcohol</p> <p>163 stakeholders responded to the survey, which was advertised for 4 weeks.</p>	Drug and Alcohol Staff Focus Groups	<p>Focus groups were held with staff working at each of the 3 community bases for drug and alcohol services. These sessions were attended by staff working across the organisation</p>	Stakeholder engagement (face to face)	<p>A stakeholder engagement session was held to:</p> <ul style="list-style-type: none"> • highlight the key findings from the drug and alcohol needs assessment • explore the themes raised in the stakeholder survey • capture further feedback regarding stakeholders' experience of service delivery
Stakeholder Survey (Online)	<p>The survey was hosted on 'snap surveys' and circulated widely to services broadly associated with drug and alcohol</p> <p>163 stakeholders responded to the survey, which was advertised for 4 weeks.</p>							
Drug and Alcohol Staff Focus Groups	<p>Focus groups were held with staff working at each of the 3 community bases for drug and alcohol services. These sessions were attended by staff working across the organisation</p>							
Stakeholder engagement (face to face)	<p>A stakeholder engagement session was held to:</p> <ul style="list-style-type: none"> • highlight the key findings from the drug and alcohol needs assessment • explore the themes raised in the stakeholder survey • capture further feedback regarding stakeholders' experience of service delivery 							

	<p>Focus groups with drug and alcohol and probation service users</p>	<p>A number of focus groups were held with service users who were accessing various elements of the drug and alcohol service.</p> <p>These discussions explored service users' reflections of engaging with the service, including what had worked well and how the service might be improved</p> <p>In addition, further discussions were held with service users of the national probation service. This included individuals who were accessing or had previously accessed services. Feedback was also gathered regarding what barriers might be in place to prevent individuals from accessing services</p>
Summary of relevant findings	<p>The key findings from the engagement outlined above were:</p> <ul style="list-style-type: none"> • Assertive Outreach – <i>This was raised almost universally across a range of stakeholders. The impact of multi-agency work, alongside outreach (as utilised in the blue light initiative) was highlighted as being particularly effective. Stakeholders felt this work should be targeted at the most chaotic, 'hard to reach' individuals and that provision should be 'joined-up' with other services.</i> • Young peoples' service – <i>The quality of provision provided by the YP service was noted as being good, however it was noticeable that awareness of and access to the service was lower than might be expected.</i> • Co-occurring conditions – <i>Despite the acknowledgment that there had been developments in this area, which have improved the support provided to individuals living with co-occurring drug/alcohol and mental health conditions, this remained an area where provision could be improved.</i> • GP shared care – <i>Broadly positive feedback regarding GP shared care, both from a D+A service perspective and from health professionals. In particular the management of referrals and communications between services was highlighted as good practice.</i> 	

	<ul style="list-style-type: none"> • Training for professionals – <i>Perception that the D+A service could systematically co-ordinate and deliver training to professionals working across the 'system'. This would enable professionals to have informed conversations with service users and deliver brief interventions/harm reduction advice where/when applicable</i> • Recovery community / volunteering – <i>This was acknowledged as an area of strength. However it could be enhanced through further integration/alignment with service users as they enter treatment. Consideration should also be paid as to how a recovery community can be developed to work alongside increasing GP shared care provision</i> <p>The comments received throughout the engagement process have been fully reflected in the development of the service specification</p>
--	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Section 3

Please consider the potential impact of this activity (during development & implementation) on each of the equality groups outlined below. **Please tick one or more impact box below for each Equality Group and explain your rationale.** Please note it is possible for the potential impact to be both positive and negative for the same equality group and this should be recorded. Remember to consider the impact on e.g. staff, public, patients, carers etc. who are part of these equality groups.

Equality Group	Potential positive impact	Potential neutral impact	Potential negative impact	Please explain your reasons where you have identified any potential positive, neutral or negative impact.
Age		X		The service in its current structure is accessible by all ages through multiple access routes including GP shared care, community treatment and a targeted young persons service. Each of these elements is included in the new service specification so accessibility should not be compromised for adults of any age, young people and families with children.
Disability		X		Current service data records access for people with protected characteristics. Going forward we will ensure there are robust key performance indicators which will include equality of outcome for Protected Groups.
Gender Reassignment		X		
Marriage & Civil Partnerships		X		
Pregnancy & Maternity		X		There are various methods of accessing the drug and alcohol service, as detailed above. Each of these routes in to service are included in the new service specification

Equality Group	Potential <u>positive</u> impact	Potential <u>neutral</u> impact	Potential <u>negative</u> impact	Please explain your reasons where you have identified any potential positive, neutral or negative impact.
Race including Traveling Communities		x		Current service data records equality of access and outcomes for all clients including race and minority status. This will continue to be monitored in the new service
Religion & Belief		x		Current service data records equality of access and outcomes for all clients including gender and sexual orientation. These indicators will continue to be monitored which will include equality of outcome for Protected Groups. The Commissioners will require an implementation plan from the new Provider which will take into account risks around service continuity for vulnerable groups.
Sex		x		
Sexual Orientation		x		
Other Vulnerable and Disadvantaged Groups (e.g. carers; care leavers; homeless; Social/Economic deprivation, travelling communities etc.)		x		
Health Inequalities (any preventable, unfair & unjust differences in health status between groups, populations or individuals that arise from the unequal distribution of social, environmental & economic conditions within societies)	x			<p>A key aspect of service delivery is to identify individuals living with drug and/or alcohol use often associated with associated risks linked to poor physical and mental health and to provide them with appropriate behavioural and/or pharmacological support as required.</p> <p>In addition, individuals will be supported to help sustain recovery including improving access to stable housing, employment and healthcare. This has been reemphasised in the service specification</p>
Social and economic e.g. culture, social support (neighbourliness, social networks / isolation), spiritual participation, employment opportunities.		x		As above. The service is required to develop a recovery community, supported by peer mentors and volunteers who are able to provide positive social support. This will continue in the new service.
Physical health e.g. physical activity is expected to increase, influenza vaccination uptake increase.		x		The drug and alcohol service currently provides access to further physical health improvement opportunities, such as COPD screening and blood borne virus testing and treatment (Hep-B, Hep-C). This will continue in the new service which will be closely linked to health providers in primary and secondary care
Mental health & wellbeing e.g. benefits to children's	X			The new service will provide dedicated provision for adults, families and young people who may

Equality Group	Potential <u>positive</u> impact	Potential <u>neutral</u> impact	Potential <u>negative</u> impact	Please explain your reasons where you have identified any potential positive, neutral or negative impact.
mental health, benefits to adult carer wellbeing.				<p>have associated mental health problems in addition to dependence on drugs and or alcohol.</p> <p>In Worcestershire, an MOU is in place between the current provider of drug and alcohol services and mental health services which has led to improvements in joint working and outcomes for service users</p> <p>This provision is included in the new service model and KPIs</p>
Access to services e.g. access to (location / disabled access / costs) and quality of primary / community / secondary health care, child care, social services, housing / leisure / social security services; public transport, policing, other health relevant public services, non-statutory agencies and services.		x		<p>Service users are able to access a range of drug and alcohol services through their GP in a range of practices across Worcestershire in addition to other locations. The new service will ensure equality of access to provision for adults, young people and families including home visits if required. The service also links closely with benefits advice and access to wrap around support including housing and employment</p>

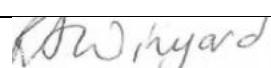
Section 4

What actions will you take to mitigate any potential negative impacts?	Risk identified	Actions required to reduce / eliminate negative impact	Who will lead on the action?	Timeframe
	<i>No negative impacts identified</i>	.		
How will you monitor these actions?	N/A			
When will you review this EIA? (e.g in a service redesign, this EIA should be revisited regularly throughout the design & implementation)	Quarterly monitoring will be put in place following contract award. Commissioners will request a dashboard, quality report and risk register to provide assurance around key performance indicators, service quality and outcomes.			

Section 5 - Please read and agree to the following Equality Statement

1. Equality Statement

- 1.1. All public bodies have a statutory duty under the Equality Act 2010 to set out arrangements to assess and consult on how their policies and functions impact on the 9 protected characteristics: Age; Disability; Gender Reassignment; Marriage & Civil Partnership; Pregnancy & Maternity; Race; Religion & Belief; Sex; Sexual Orientation
- 1.2. Our Organisation will challenge discrimination, promote equality, respect human rights, and aims to design and implement services, policies and measures that meet the diverse needs of our service, and population, ensuring that none are placed at a disadvantage over others.
- 1.3. All staff are expected to deliver and provide services and care in a manner which respects the individuality of service users, patients, carer's etc, and as such treat them and members of the workforce respectfully, paying due regard to the 9 protected characteristics.

Signature of person completing EIA	Andy Boote
Date signed	03/09/2019
Comments:	
Signature of the Lead Person for this activity	
Date signed	05.11.2019
Comments:	

Herefordshire and Worcestershire CCGs Addendum to the Equality Impact Analysis

Human Rights Consideration:

NHS organisations must ensure that none of their services, policies, strategies or procedures infringes on the human rights of patients or staff. You should analyse your document using the questions provided to determine the impact on human rights. Using human rights principles of fairness, respect, equality, dignity and autonomy as flags or areas to consider is often useful in identifying whether human rights are a concern.

Can you please answer the following Human Rights screening questions:

	Human Rights	Yes/No	Please explain
1	Will the policy/decision or refusal to treat result in the death of a person?	No	
2	Will the policy/decision lead to degrading or inhuman treatment?	No	
3	Will the policy/decision limit a person's liberty?	No	
4	Will the policy/decision interfere with a person's right to respect for private and family life?	No	
5	Will the policy/decision result in unlawful discrimination?	No	
6	Will the policy/decision limit a person's right to security?	No	
7	Will the policy/decision breach the positive obligation to protect human rights?	No	
8	Will the policy/decision limit a person's right to a fair trial (assessment, interview or investigation)?	No	
9	Will the policy/decision interfere with a person's right to participate in life?	No	

If any Human Rights issues have been identified in this section please get in touch with your Equality and Inclusion lead who will advise further and a full Human Rights Impact Assessment maybe required to be completed.

Appendix 1

Treasury and Prudential Indicators as at 30th September 2019

1. AFFORDABILITY (CAPITAL AND BORROWING INDICATORS)

Ratio of Financing Costs to Net Revenue Stream

	2018/19 Actual £m	2019/20 Original Estimate £m	2019/20 Revised Estimate £m
Financing Costs	22.6	29.0	25.5
Net Revenue Stream	318.5	324.6	324.6
Ratio	7.10%	8.93%	7.86%

Capital Financing Requirement

	2018/19 Actual £m	2019/20 Original Estimate £m	2019/20 Revised Estimate £m
Capital Financing Requirement at 31 March	596.5	635.2	612.0

Authorised Limit for External Debt

	2018/19 £m	2019/20 £m
External Borrowing	580.0	620.0
Other Long Term Liabilities	13.0	13.0
Total Authorised limit	593.0	633.0

Operational Boundary for External Debt

	2018/19 £m	2019/20 £m
External Borrowing	560.0	600.0
Other Long Term Liabilities	10.0	10.0
Total Operational Boundary	570.0	610.0

Actual External Debt

The County Council's actual external debt as at 30/09/19 was £454.7 million; comprising £454.7 million External Borrowing and £0 (zero) Other Long Term Liabilities.

2. PRUDENCE (TREASURY MANAGEMENT AND TM CODE INDICATORS)

Gross Debt and the Capital Financing Requirement

	2018/19	2019/20	2020/21
	Actual	Original	Revised
	£m	Estimate	Estimate
	£m	£m	£m
Gross Debt	460.3	477.7	474.1
Capital Financing Requirement	578.5	635.2	612.0
Ratio of Gross Debt to the Capital Financing Requirement	79.6%	75.2%	77.5%

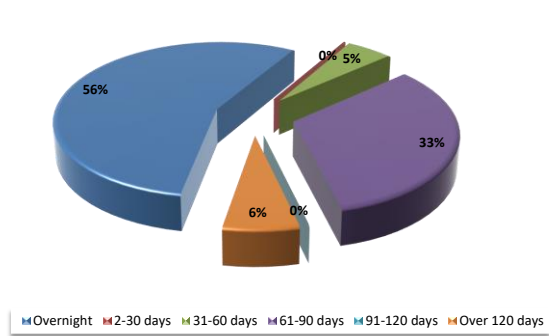
Maturity Structure of Borrowing

Amount of projected borrowing that is fixed rate maturing in each period as a percentage of total projected borrowing that is fixed rate.

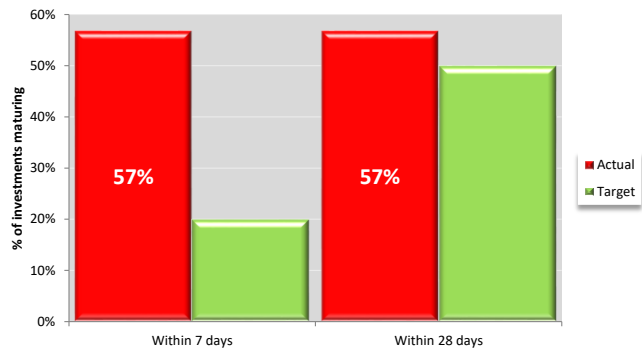
Period of Maturity	Upper Limit	Lower Limit
	%	%
Under 12 months	25	0
12 months and within 24 months	25	0
24 months and within 5 years	50	0
5 years and within 10 years	75	0
10 years and above	100	25

Appendix 2 Investments as at End September 2019

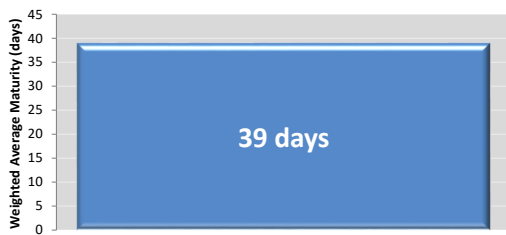
Maturity Profile of Council Investments



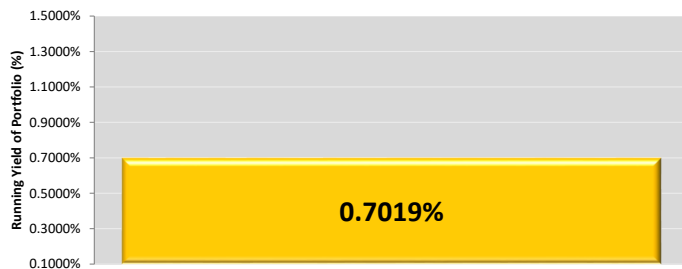
Liquidity Monitoring



Weighted average maturity of Portfolio



Running Yield of Portfolio



Investments Outstanding at Month End (in detail)

Fixed deposits

		Invested (£m)	Interest rate	Start date	End date
15248	Slough	4.000	0.80%	22/05/2019	22/11/2019
15341	London Borough of Sutton	5.000	0.75%	06/08/2019	06/02/2020
15359	Surrey County Council	10.000	0.72%	23/08/2019	20/12/2019
15397	DMADF	2.475	0.50%	26/09/2019	01/10/2019

Call and MMF (Instant access unless otherwise stated)

	Account	Invested (£m)	Rate
MMF*	Insight	9.650	0.66%
	LGIM	10.000	0.69%
	Blackrock	9.400	0.68%
	Aberdeen MMF (Std Life)	10.000	0.69%
	Bank of Scotland	0.000	0.60%
Call	Svenska Handelsbanken	3.475	0.60%
	Aberdeen	5.000	0.78%
Cash+	Federated	4.000	0.57%
	Payden & Rygel	6.000	0.88%

Total Invested £'000:

79,000

Total Instant Access	42,525	53.8%
Total Cash plus	15,000	19.0%
Total Fixed Deposits	21,475	27.2%

* MMF Interest rates are for previous night.

This page is intentionally left blank

Appendix 3 Borrowing Portfolio as at 30th September 2019

PWLB Loans Ref	Amount	Coupon	Type	Taken on	Maturity date	Years to maturity	Interest Payments	Int Dates
478473	4,518,858.00	8.125%	Maturity	20-Nov-96	8-Aug-26	6.86	183,578.61	8/2 and 8/8
480813	5,000,000.00	5.875%	Maturity	7-Apr-98	2-Feb-24	4.34	146,875.00	2/2 and 2/8
480831	3,500,000.00	5.625%	Maturity	14-Apr-98	2-Feb-25	5.34	98,437.50	2/2 and 2/8
481374	1,326,000.00	4.875%	Maturity	23-Sep-98	2-Feb-26	6.34	32,321.25	2/2 and 2/8
481375	3,012,572.00	4.875%	Maturity	23-Sep-98	8-Feb-26	6.36	73,431.44	8/2 and 8/8
481376	2,430,320.91	4.875%	Maturity	23-Sep-98	8-Feb-28	8.36	59,239.07	8/2 and 8/8
481489	1,506,286.00	4.875%	Maturity	28-Sep-98	8-Feb-29	9.36	36,715.72	8/2 and 8/8
483208	4,518,858.00	4.875%	Maturity	28-Oct-99	8-Feb-25	5.36	110,147.16	8/2 and 8/8
484691	651,391.87	4.875%	Maturity	10-Nov-00	8-Feb-21	1.36	15,877.68	8/2 and 8/8
485682	271,541.94	4.875%	Maturity	14-Aug-01	8-Feb-22	2.36	6,618.83	8/2 and 8/8
485683	8,000,000.00	4.875%	Maturity	14-Aug-01	2-Feb-22	2.34	195,000.00	2/2 and 2/8
485705	7,000,000.00	4.875%	Maturity	14-Aug-01	2-Feb-23	3.34	170,625.00	2/2 and 2/8
486930	3,765,715.00	4.750%	Maturity	22-Aug-02	2-Feb-23	3.34	89,435.73	2/2 and 2/8
489428	5,000,000.00	4.550%	Maturity	2-Dec-04	2-Feb-32	12.34	113,750.00	2/2 and 2/8
490997	8,000,000.00	3.900%	Maturity	11-Jan-06	2-Feb-52	32.34	156,000.00	2/2 and 2/8
490998	7,000,000.00	3.900%	Maturity	11-Jan-06	2-Feb-53	33.35	136,500.00	2/2 and 2/8
490999	5,000,000.00	3.900%	Maturity	11-Jan-06	2-Feb-54	34.34	97,500.00	2/2 and 2/8
491239	5,000,000.00	3.700%	Maturity	23-Jan-06	2-Aug-49	29.84	92,500.00	2/2 and 2/8
491623	7,457,000.00	4.250%	Maturity	19-May-06	2-Feb-55	35.34	158,461.25	2/2 and 2/8
491666	6,000,000.00	4.450%	Maturity	23-May-06	2-Aug-26	6.84	133,500.00	2/2 and 2/8
492065	5,000,000.00	4.200%	Maturity	31-Aug-06	2-Feb-52	32.34	105,000.00	2/2 and 2/8
492188	5,000,000.00	4.100%	Maturity	27-Sep-06	2-Feb-47	27.34	102,500.00	2/2 and 2/8
492200	5,000,000.00	4.050%	Maturity	28-Sep-06	2-Aug-52	32.84	101,250.00	2/2 and 2/8
492391	6,000,000.00	4.050%	Maturity	3-Nov-06	2-Feb-52	32.34	121,500.00	2/2 and 2/8
492392	4,000,000.00	4.050%	Maturity	3-Nov-06	2-Feb-52	32.34	81,000.00	2/2 and 2/8
492393	5,000,000.00	4.100%	Maturity	3-Nov-06	2-Feb-42	22.34	102,500.00	2/2 and 2/8
492669	8,000,000.00	4.250%	Maturity	15-Jan-07	2-Feb-56	36.34	170,000.00	2/2 and 2/8
492670	5,000,000.00	4.250%	Maturity	15-Jan-07	2-Feb-55	35.34	106,250.00	2/2 and 2/8
493749	2,000,000.00	4.500%	Maturity	20-Aug-07	2-Feb-53	33.35	45,000.00	2/2 and 2/8
493829	3,000,000.00	4.450%	Maturity	23-Aug-07	2-Feb-54	34.34	66,750.00	2/2 and 2/8
493928	2,000,000.00	4.500%	Maturity	13-Sep-07	2-Aug-53	33.84	45,000.00	2/2 and 2/8
494805	5,000,000.00	4.470%	Maturity	10-Sep-08	2-Aug-43	23.84	111,750.00	2/2 and 2/8
499266	5,000,000.00	2.940%	Maturity	21-Dec-11	2-Aug-20	0.84	73,500.00	2/2 and 2/8
499267	5,000,000.00	3.960%	Maturity	21-Dec-11	2-Aug-32	12.84	99,000.00	2/2 and 2/8
499352	5,000,000.00	3.860%	Maturity	7-Feb-12	2-Aug-29	9.84	96,500.00	2/2 and 2/8
503047	9,441,425.90	3.900%	Annuity	20-May-14	30-Apr-42	11.29	184,107.81	30/4 and 30/10
503069	1,328,471.65	3.960%	Annuity	23-May-14	30-Apr-42	11.29	26,303.74	30/4 and 30/10
503090	3,487,858.02	3.990%	Annuity	5-Jun-14	30-Apr-42	11.29	69,582.77	30/4 and 30/10
503683	5,280,100.92	2.640%	Annuity	29-Jan-15	30-Apr-42	11.29	69,697.33	30/4 and 30/10
504183	7,495,725.13	3.380%	Annuity	12-Jun-15	30-Apr-42	11.29	126,677.75	30/4 and 30/10
504266	10,375,097.87	3.350%	Annuity	23-Jul-15	30-Apr-42	11.29	173,782.89	30/4 and 30/10
504421	7,536,866.11	3.030%	Annuity	21-Oct-15	30-Apr-42	11.29	114,183.52	30/4 and 30/10
504483	7,458,642.56	3.090%	Annuity	24-Nov-15	30-Apr-42	11.29	115,236.03	30/4 and 30/10
504615	6,716,431.25	2.880%	Annuity	28-Jan-16	30-Apr-42	11.29	96,716.61	30/4 and 30/10
504715	5,000,000.00	2.360%	Maturity	16-Feb-16	2-Aug-27	7.84	59,000.00	2/2 and 2/8
504716	5,000,000.00	2.620%	Maturity	16-Feb-16	2-Aug-30	10.84	65,500.00	2/2 and 2/8
504726	5,000,000.00	2.550%	Maturity	18-Feb-16	2-Aug-28	8.84	63,750.00	2/2 and 2/8
504727	5,000,000.00	2.910%	Maturity	18-Feb-16	2-Aug-33	13.84	72,750.00	2/2 and 2/8
540740	9,686,318.66	2.670%	Annuity	23-Feb-16	30-Apr-42	11.29	129,312.35	30/4 and 30/10
504776	5,000,000.00	2.970%	Maturity	8-Mar-16	2-Aug-34	14.84	74,250.00	2/2 and 2/8
504777	5,000,000.00	3.010%	Maturity	8-Mar-16	2-Aug-35	15.84	75,250.00	2/2 and 2/8
504916	9,921,067.53	2.860%	Annuity	25-Apr-16	30-Apr-42	11.29	141,871.27	30/4 and 30/10
504988	8,004,888.23	2.700%	Annuity	1-Jun-16	30-Apr-42	11.29	108,065.99	30/4 and 30/10
505131	8,340,315.42	2.510%	Annuity	22-Jun-16	30-Apr-42	11.29	104,670.96	30/4 and 30/10
505700	6,405,278.21	2.630%	Annuity	3-Feb-17	30-Apr-42	11.29	84,229.41	30/4 and 30/10
505895	91,919.73	2.400%	Annuity	21-Mar-17	30-Apr-42	11.29	1,103.04	30/4 and 30/10
506031	4,145,799.05	0.870%	Annuity	28-Apr-17	31-Mar-20	0.25	18,034.23	31/3 and 30/9
506450	5,000,000.00	2.720%	Maturity	5-Oct-17	2-Aug-36	16.84	68,000.00	2/2 and 2/8
506451	5,000,000.00	2.740%	Maturity	5-Oct-17	2-Aug-37	17.84	68,500.00	2/2 and 2/8
506452	10,000,000.00	2.780%	Maturity	5-Oct-17	2-Aug-44	24.84	139,000.00	2/2 and 2/8

PWLB Loans

Ref	Amount	Coupon	Type	Taken on	Maturity date	Years to	Interest	Int
507176	5,000,000.00	2.570%	Maturity	29-Mar-18	2-Aug-38	18.84	64,250.00	2/2 and 2/8
507177	5,000,000.00	2.570%	Maturity	29-Mar-18	2-Aug-39	19.84	64,250.00	2/2 and 2/8
507178	10,000,000.00	2.560%	Maturity	29-Mar-18	2-Feb-46	26.34	128,000.00	2/2 and 2/8
507616	5,000,000.00	2.540%	Maturity	26-Jul-18	2-Aug-46	26.84	63,500.00	2/2 and 2/8
507617	5,000,000.00	2.500%	Maturity	26-Jul-18	2-Aug-49	29.84	62,500.00	2/2 and 2/8
507618	10,000,000.00	2.530%	Maturity	26-Jul-18	2-Aug-47	27.84	126,500.00	2/2 and 2/8
507624	10,000,000.00	2.510%	Maturity	27-Jul-18	2-Aug-48	28.84	125,500.00	2/2 and 2/8
507625	10,000,000.00	2.480%	Maturity	27-Jul-18	2-Aug-50	30.84	124,000.00	2/2 and 2/8
508210	10,000,000.00	2.440%	Maturity	13-Dec-18	2-Aug-56	36.84	122,000.00	2/2 and 2/8
508211	5,000,000.00	2.540%	Maturity	13-Dec-18	2-Aug-40	20.84	63,500.00	2/2 and 2/8
508212	5,000,000.00	2.460%	Maturity	13-Dec-18	2-Aug-55	35.84	61,500.00	2/2 and 2/8
509152	10,000,000.00	2.340%	Maturity	11-Apr-19	2-Aug-59	39.84	117,000.00	2/2 and 2/8

Average maturity: 17.96 17
Weighted ave maturity: 19.34 19

Total PWLB 404,674,749.96 3.413%

LOBO Loans

Ref	Amount	Coupon	Final Maturity	Lender	Next break	WAM	WAFM
5856	10,000,000.00	4.650%	10-Feb-54	FMS WM	12-Feb-20	0.37	34.37
5857	20,000,000.00	4.650%	12-Feb-54	FMS WM	12-May-21	1.62	34.37
5858	10,000,000.00	4.290%	15-Dec-54	FMS WM	15-Dec-19	0.21	35.21
5860	10,000,000.00	4.440%	19-Apr-66	Commerzbank	18-Apr-20	0.55	46.55
Weighted ave maturity:						0.87	

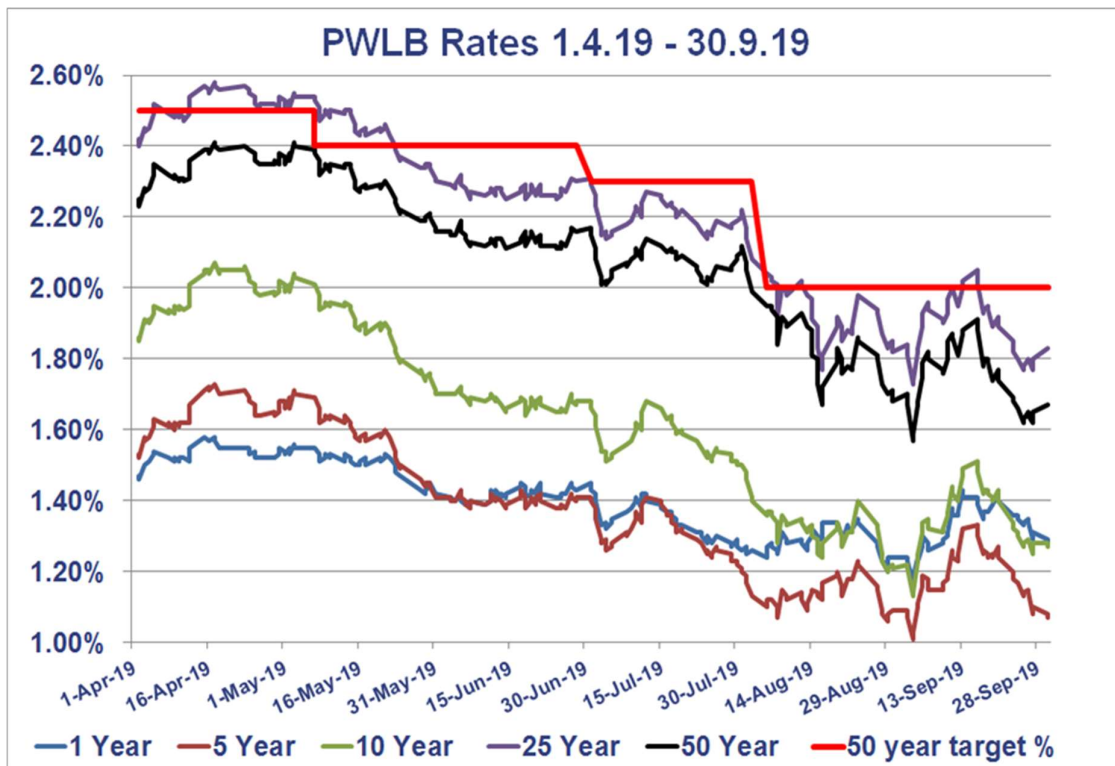
Total LOBOS 50,000,000.00 4.536%

Overall total 454,674,749.96 3.537% 12.46

454,674,749.96 3.537%

TOTAL Weighted ave maturity: 12.46 Years
TOTAL Weighted ave final maturity: 16.43 Years

Appendix 4 – Borrowing Rates 1st April 2019 to 30th September 2019



	1 Year	5 Year	10 Year	25 Year	50 Year
Low	1.17%	1.01%	1.13%	1.73%	1.57%
Date	03/09/2019	03/09/2019	03/09/2019	03/09/2019	03/09/2019
High	1.58%	1.73%	2.07%	2.58%	2.41%
Date	15/04/2019	17/04/2019	17/04/2019	17/04/2019	17/04/2019
Average	1.40%	1.37%	1.62%	2.20%	2.07%

The 50-year target rate shown is set by our advisors -Link Asset Services, as a guide for an acceptable borrowing rate for clients to take in that period.

This page is intentionally left blank