



Shropshire Council  
Legal and Democratic Services  
Shirehall  
Abbey Foregate  
Shrewsbury  
SY2 6ND

Date: Tuesday, 5 July 2016

**Committee:  
Cabinet**

**Date: Wednesday, 13 July 2016**

**Time: 12.30 pm**

**Venue: Shrewsbury Room, Shirehall, Abbey Foregate, Shrewsbury, Shropshire, SY2 6ND**

You are requested to attend the above meeting.  
The Agenda is attached

Claire Porter  
Head of Legal and Democratic Services (Monitoring Officer)

**Members of Cabinet**

Malcolm Pate (Leader)  
Steve Charmley (Deputy Leader)  
Karen Calder  
Lee Chapman  
Simon Jones  
David Minnery  
Cecilia Motley  
Malcolm Price  
Stuart West  
Michael Wood

**Deputy Members of Cabinet**

Peter Adams  
Nicholas Bardsley  
Gwilym Butler  
Dean Carroll  
Nic Laurens  
Robert Macey  
Robert Tindall

Your Committee Officer is:

**Jane Palmer** Senior Democratic Services Officer

Tel: 01743 257712

Email: [jane.palmer@shropshire.gov.uk](mailto:jane.palmer@shropshire.gov.uk)

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May 2015

# AGENDA

## 1 Apologies for Absence

## 2 Disclosable Pecuniary Interests

Members are reminded that they must not participate in the discussion or voting on any matter in which they have a Disclosable Pecuniary Interest and should leave the room prior to the commencement of the debate.

## 3 Minutes

To approve as a correct record and sign the Minutes of the Cabinet meeting held on 8 June 2016. **TO FOLLOW**

## 4 Public Questions

To receive any public questions or petitions from the public, notice of which has been given in accordance with Procedure Rule 14. The deadline for this meeting is 5.00pm on Friday 8 July 2016.

## 5 Matters referred from Scrutiny/Council

## 6 Draft Shropshire Council Corporate Plan 2016/17 to 2018/19 (Pages 1 - 4)

Lead Member – Councillor Malcolm Pate – Portfolio Holder for Strategy, Financial Strategy, Budget and Business Plan

Report of the Chief Executive – Appendix **TO FOLLOW**

Contact: Clive Wright      Tel: 01743 252007

## 7 Scrutiny Reports - Financial Strategy Task and Finish Group - Interim Report (Pages 5 - 8)

Lead Member – Councillor Malcolm Pate – Portfolio Holder for Strategy, Financial Strategy, Budget and Business Plan

Report of the Commissioning Support Manager

Contact: Tom Dodds      Tel: 01743 258518

## 8 Financial Strategy 2017/18 and 2019/20 (Pages 9 - 54)

Lead Member – Councillor Malcolm Pate – Portfolio Holder for Strategy, Financial Strategy, Budget and Business Plan

Report of the Head of Finance, Governance and Assurance

Contact: James Walton      Tel: 01743 255001

## 9 Shropshire Council Equality Objectives Action Plan 2016-2020 (Pages 55 - 86)

Lead Member – Councillor Cecilia Motley - Portfolio Holder for Rural Services and Communities

Report of the Director of Commissioning

Contact: George Candler Tel: 01743 255003

**10 Opening Hours Across Customer Service Points (Pages 87 - 104)**

Lead Member – Councillor Michael Wood – Portfolio Holder for Corporate Support

Report of the Director of Public Health

Contact: Rod Thomson Tel: 01743 252003

**11 Proposed New Highway Safety Inspection Manual for Shropshire 2016-2020 (Pages 105 - 182)**

Lead Member – Councillor Simon Jones – Portfolio Holder for Highways and Transportation

Report of the Director of Commissioning

Contact: George Candler Tel: 01743 255003

**12 Proposed Kinnerley Conservation Area Designation (Pages 183 - 204)**

Lead Member – Councillor Mal Price – Portfolio Holder for Planning, Housing, Regulatory Services and Environment

Report of the Director of Commissioning

Contact: George Candler Tel: 01743 255003

**13 Transfer of Emstrey Crematorium Contract**

Lead Member – Councillor Karen Calder – Portfolio Holder for Health and Wellbeing

Report of the Director of Commissioning **TO FOLLOW**

Contact: George Candler Tel: 01743 255003

**14 Improved Swimming Facilities for Shrewsbury (Pages 205 - 208)**

Lead Member – Councillor Stuart West – Portfolio Holder for Leisure and Culture

Report of the Director of Commissioning **TO FOLLOW**

Contact: George Candler Tel: 01743 255003

**15 Connecting Shropshire - Broadband Strategy (Pages 209 - 220)**

Lead Member – Councillor Steve Charmley – Portfolio Holder for Business and Economy

Report of the Director of Commissioning

Contact: George Candler Tel: 01743 255003

**16 Day Services for Adults with Learning Disabilities - Award of Contract for Innage Lane, Oak Farm and The Meres including Ellesmere Library and Customer Services Reprovision (Pages 221 - 296)**

Lead Member – Councillor Lee Chapman – Portfolio Holder for Adults

Report of the Head of Social Care, Efficiency and Improvement

Contact: Ruth Houghton Tel: 01743 253093

**17 Exclusion of Press and Public**

To resolve that in accordance with the provisions of Schedule 12A of the Local Government Act 1972 and Paragraph 10.2 of the Council's Access to Information Rules, the public and press be excluded during consideration of the remaining items.

**18 Confidential Minutes**

To approve as a correct record and sign the confidential Minutes of the Cabinet meeting held on 8 June 2016. **TO FOLLOW**

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<u>Committee and Date</u>
Cabinet
13 July 2016

## **DRAFT SHROPSHIRE COUNCIL CORPORATE PLAN 2016/17 TO 2018/19**

**Responsible Officer** Clive Wright, Chief Executive  
e-mail: [clive.wright@shropshire.gov.uk](mailto:clive.wright@shropshire.gov.uk)

Tel: 01743 258675

### **Summary**

The report presents Cabinet with the draft Corporate Plan 2016/17 to 2018/19. The draft plan has been developed with the learning from the first phase of the Big Conversation and the requirements set out in the Financial Strategy. The Corporate Plan sets out how the Council will deliver the Financial Strategy, and also links to the other key strategies of the Council.

### **Recommendations**

- A. That Cabinet review and agree the draft Corporate Plan 2016/17 to 2018/19
- B. That the medium term outcomes and objectives in the Corporate Plan will be reviewed in October 2016 and then reviewed each year as part of the Council's Corporate Planning Cycle alongside the refresh of the Financial Strategy.
- C. That the Strategic Action Plans which are in formulation will be available in October 2016.

### **Report**

#### **Opportunity Risk Assessment**

The Corporate Plan is an essential component of the Council's Strategic Planning, Governance Assurance Framework and the Opportunity Risk Management Strategy. The plans need to link up, and together support and provide direction for the Council to achieve its objectives, including delivering a balanced budget. Failure to do so and fully implement the changes required will put the Corporate Plan at risk.

Regular performance reporting against delivery of the Council's objectives established in the Corporate Plan, including through Strategic Risk Reporting will in turn provide assurance to Members and Officers that the Council is achieving against its plan and that strategic risks are being monitored and managed, or on an exception basis activity for improvement is identified. This in turn will provide reflection on and assurance as to the strength of the governance environment.

All Committee reports to Members will continue to report on opportunities and the associated risks and these in turn should be linked to the delivery of the Council's outcomes as set out in the Corporate Plan.

### **Financial Assessment**

Although there are no financial implication directly related to this paper, there is a significant relationship between the Corporate Plan and the Financial Strategy. The Corporate Plan sets out the Council outcomes and objectives which will achieve the requirements of the Financial Strategy, and as such its delivery.

### **Background**

1. The Corporate Plan has been developed to provide:
  - clarity of purpose through the Council's vision, mission and values;
  - consistency through High Level outcomes and associated measures; and
  - a flexible framework within which the Council can set annual and medium term outcomes and objectives to respond to the challenges related to changes to Government funding and increasing demand e.g. from our aging population.
  
2. In developing the Corporate Plan the findings from the first phase of the Big Conversation engagement work have been used, and the views of staff have also been sought and used to shape the Council's vision, mission and values. It also reflects the challenges and opportunities that Council and its partners, providers and communities have and how the Council will be responding to these over the coming years.
  
3. In doing this the Corporate Plan provides the direction that the Council is taking, informing the shape and design of services directly delivered by the Council or commissioned from other others. This direction therefore runs through the Council and shapes the work being delivered at directorate, service area and team levels, as well as providing the basis for staff work planning and appraisals. In order to support this the medium term outcomes and objectives will be underpinned by Strategic Action Plans that will set out in greater detail what will be taking place to deliver them.
  
4. As part of the strategic framework for the Council the Corporate Plan also sets out the foundations of the Council's Performance Management Framework.



The three high level outcomes; Healthy People, Resilient Communities and Prosperous Economy; and the identified measures will reported against on a quarterly basis, some starting in 2016/17, and other new measures coming on stream in 2017/18. In addition, the key milestones for delivering the medium term outcomes and objectives will also be reported.

**Conclusion**

5. The Corporate Plan plays a critical role for the Council and its partners and providers, and communities. It sets out what the Council will be taking forwards and how it will be able to evidence that this has been completed and the impact that has been achieved.
  
6. With the clarity of direction set through the plan it will be important to ensure that the outcomes are linked back to business activities and risks and reported regularly. This will play a role in providing assurance that both members and officers require in terms of achieving the delivery/ performance.

<p><b>List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)</b></p> <p>Financial Strategy – Budget 2017/18 – 2018/19 (Cabinet, 18 May 2016)</p>
<p><b>Cabinet Member</b></p> <p>Cllr Malcolm Pate, Leader of the Council and Portfolio Holder for Strategy, Financial Strategy, Budget and Business Plan</p>
<p><b>Local Member</b></p> <p>All</p>
<p><b>Appendices</b></p> <p>Draft Shropshire Council Corporate Plan 2016/17 to 2018/19</p>

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## Committee and Date

Cabinet

13 July 2016

### **Financial Strategy Task and Finish Group – Interim Report**

**Responsible Officer** Tom Dodds, Commissioning Support Manager  
e-mail: tom.dodds@shropshire.gov.uk Tel: 01743 258518

#### **Summary**

This report presents Cabinet with the emerging findings identified by the Performance Management Scrutiny Committee Financial Strategy Task and Finish Group. There will be a further report to Cabinet on the 27 July 2016 following the completion of this phase of Task and Finish group work.

#### **Recommendations**

- A. That Cabinet take account of the emerging findings from the work on the Financial Strategy in preparation for the further report of the Performance Management Scrutiny Committee.

#### **Opportunity Risk Assessment**

The delivery of the Financial Strategy is key to the Council having a balanced budget whilst meeting the highest priority needs and protecting and supporting vulnerable people.

Having reviewed the Financial Strategy the Financial Strategy Task and Finish group have identified that they will be considering Adult Social Care as the biggest spend area for the Council with growing demand, the sustainability of the Financial Strategy and whether there are longer term consequences to the plans, and the General Fund balance and the required level of reserves.

#### **Financial Assessment**

Although there are no direct financial impacts from this report and the work of the Task and Finish Group, their recommendations will be made to Cabinet and if accepted, could inform the Financial Strategy.

## Report

### 1. Areas of focus for the Task and Finish Group

In order to prioritise their work that Task and Finish Group identified three key areas of focus following questions and discussion with the Head of Finance, Governance & Assurance and the Statutory Scrutiny Officer:

#### 1.1 General Fund balance

- Is the level of £28m in reserves the correct/right level for the Council?
- Should 'what we need' be identified separately to what is required as a reserve?

#### 1.2 Setting a sustainable budget

Review the 2017/18 budget and consider the following:

- Are the figures and plans reasonable?
- Are the figures and plans robust?
- Will the savings be achieved?
- Will the short-term actions to achieve the savings have unintended or longer terms consequences?

#### 1.3 Adult Social Care

The Task and Finish Group recognised that this was the fundamental challenge for the Council with increasing older population expected to increase demand, linked with increasing costs.

This a priority topic and was the feature of the Task and Finish Group meeting on the 9 June 2016. A further session will take place on the 6 July. The Director of Adult Services, the Director of Public Health, the Portfolio Holder for Adults and Portfolio Holder for Health and Well-being, and staff from Adult Social Care and Finance attend and gave a presentation.

Specific areas of focus:

- Understanding the implications of the projections for Shropshire's population and service demand
- Understanding the routes into Adult Social Care services
- Understanding the implications potential future impacts e.g. the Care Act, Welfare Reform, and Mutual Carers
- Understanding the cost profile of Adult Social Care and the current and future impacts e.g. the Living Wage, National Insurance employer contributions.
- Understanding the Adult Social Care and Health system and the opportunities and risks

## 2. The emerging issues to date

### 2.1 Adult Social Care

**Health and Social Care.** The interplay between Health and Social Care is a significant feature. How can reducing demand for Health Services reduce demand for Social Care? Similarly, it is important for the two sectors to work effectively together. Failure to do so can result in additional pressures being created, and the quality of care can also be impacted on.

**Spot purchasing.** 85% of care is purchased using spot purchasing. Although it offers flexibility, does spot purchasing offer the best value? There would be value in the Task and Finish Group undertaking further work to look at the issues and options related to purchasing of care, the impact of the recently introduced brokerage arrangements by the Council, and whether there might be a different balance between spot and block purchase that should be established.

**Prevention.** There is a £4.2m red rated saving in the Financial Strategy relating to preventative services which are provided by external agencies such as the Voluntary and Community Sector. The Task and Finish Group heard that losing preventative services would have an impact through increased demand and cost on Adult Social Care, and on Health. The Adult Social Care operating model is focused on maximising independence through local early intervention, and this would not be able to function as planned if the local services are not available.

There is further work for the Task and Finish Group in looking at the issues related to prevention and how it could be funded in the future. This should take account of the work starting through a prevention project which is looking across the commissioning of prevention activity including using Public Health funding and the Better Care Fund. Considering the role of telecare and telehealth in this would also be appropriate.

**IT system replacement.** Improved IT and access to data, information and intelligence was highlighted as essential for the effective future management of demand and shaping the markets with partners and providers. Developing effective modelling to support forecasting demand should be central to this work. However, the Task and Finish Group also understood that developing the modelling was not trivial and that there were many different factors that would need to be taken into account.

### 2.2 General Fund

The Task and Finish Group are looking at the General Fund and what the levels of reserves should be. In considering this, they have asked the Audit Committee to look at the reserves through their terms of

reference. The Audit Committee have formed a Task and Finish Group which has been taking this forward and their findings will be reported back to the Financial Strategy Task and Finish Group.

### 3. Next steps

Setting the Sustainable Budget and the General Fund will be looked at by the Task and Finish Group on Wednesday 29 June 2016.

Adult Social Care will be considered for a second time on Wednesday 6 July 2016 with particular focus on spot-purchasing care and the brokerage arrangements, and prevention.

The final report of this phase of Task and Finish Group work will be considered by the Task and Finish Group on Monday 11 July, presented to Performance Management Scrutiny Committee at their meeting on the 20 July 2016, and the report of the Scrutiny Committee will presented to Cabinet at their meeting on the 27 July 2016.

<b>List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)</b>
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Financial Strategy – Budget 2017/18 – 2018/19 (Cabinet, 18 May 2016)
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<b>Cabinet Member (Portfolio Holder)</b>
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Councillor Malcolm Pate
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<b>Local Member</b>
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All
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<b>Appendices</b>
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<u>Committee and Date</u>
Cabinet
13 July 2016
12.30pm

## **FINANCIAL STRATEGY 2017/18 – 2019/20**

**Responsible Officer** James Walton

e-mail: james.walton@shropshire.gov.uk Tel: 01743 255011

### **1. Summary**

This report is the second financial strategy report in 2016/17 and provides an update on the Council's proposals to manage its financial position for 2017/18 and beyond.

In the first financial strategy report considered by Cabinet in May the funding shortfall in 2017/18 and 2018/19 was considered recognising that further work was being undertaken on the growth projections for Adults Services produced in February 2016. Over the last few months all growth projections for services across the Council have been revised and in addition further work has been undertaken to consider the steps necessary to achieve a balanced budget in the short term and a Sustainable Business Model over the medium to long term.

Our approach is to manage the considerable uncertainty in Local Government Finance by ensuring we understand long term consequences of decisions we take in the short term. This uncertainty is set to continue for a number of years. Clarity on the implications for Local Government, and Shropshire Council, of 100% local business rate retention, changes in responsibilities including Academisation, devolution and the recent EU Referendum decision will not be forthcoming for some time yet. Our plan, therefore, is to continue to refine the Council's Sustainable Business Plan and work towards its delivery over the medium term, understanding that this plan is built on many unknowns, including the uncertainty already described.

In the meantime, we will continue to review every available option to deliver a balanced budget in the short term, taking account of the implications of these short term decisions over the medium term. This approach will enable our planning to take into account future uncertainties as they begin to be resolved and clarity is provided.

In May, Cabinet received the Financial Strategy, identifying a funding gap of £17.3m in 2017/18 growing to £30.4m in 2018/19. As a result of further work

these figures have been refined and restated to identify the 'core' funding gap. The core funding gap is the difference between our projected expenditure and our core resources as defined by central government. For 2017/18 the core funding gap is £13.7m, growing to £20.2m in 2018/19. This gap is set to grow, as RSG is removed, temporary grants such as improved RSDG and Transition Grant come to an end and New Homes Bonus and Improved Better Care Funding Grant are revised and will reach approximately £45m by 2021/22. This underlying core funding gap of £45m per year will need to be solved by the creation of a balanced Sustainable Business Model over the medium term, and once we have clarity of the current funding uncertainties described earlier. The short term plan is to close, as far as possible, the funding gaps of £13.7m in 2017/18 and £20.2m in 2018/19 by the use of one-off initiatives (to replace delivery of some Red RAG Rated savings as reported to Cabinet on 27 January 2016) understanding their impact on the delivery of the sustainable Business Model and longer term savings proposals. The report begins to identify options to close this gap on a one-off basis, but it is recognised that this work is not yet complete, nor does this represent a long, or even medium term, solution. To achieve a balanced budget without further Red Savings proposals being implemented would require the identification of almost £34m of one-off proposals over these two financial years which will not reduce the size of the core funding gap in future years (still requiring £28.7m of base budget savings by 2019/20). Progress is due to be reported back to Cabinet in September 2016.

As previously reported, a budget setting task group has been established by Performance Management Scrutiny Committee to consider the proposals identified to allow a balanced budget to be set in 2017/18 and 2018/19.

Two reports relating to the Council's ICT development have been approved by Cabinet this year (Social Care System Replacement 27 April 2016 and ICT Digital Transformation Programme 11 May 2016). The summary financial implications of these two developments as currently estimated are set out in Section 9.6. A final business case is currently being produced from which the financial implications will be taken to Full Council for approval.

The Financial Strategy should be considered alongside the development of the Corporate Plan which is due to be approved by Cabinet on 13 July 2016. Future iterations of the Financial Strategy will be built around the Corporate Plan framework. Proposals developed within this framework will identify performance proposals formulated alongside financial targets within the following high level outcomes:

- Healthy People
- Resilient Communities
- Prosperous Economy
- Operation of the Council



## 2. Recommendations

It is recommended that members:

- A. Agree and recommend to Council further ongoing savings of £9.263m, deliverable by 2017/18 and £9.985m (a further £0.722m) deliverable by 2018/19 as set out in Table 5 and described in Appendix 2.
- B. Note the revision of the Council's Growth Model and the allocation of ongoing savings and efficiencies has resulted in a core funding gap in 2017/18 and 2018/19 of £13.690m and £20.211m respectively.
- C. Note that further work is being progressed to deliver a Sustainable Business Model for the Council to close the Core Funding Gap and deliver a financially self-sufficient Council in the medium to long term.
- D. Note the work being undertaken to attempt to reduce or close the reported Core Funding Gap in the short term in 2017/18 and 2018/19 by the use of one-off initiatives (to replace delivery of some Red RAG Rated savings as reported to Cabinet on 27 January 2016). Cabinet note that to achieve a balanced budget without further Red Savings proposals being implemented would require the identification of almost £34m of one-off proposals over these two financial years which will not reduce the size of the core funding gap in future years (still requiring £28.7m of base budget savings by 2019/20).
- E. Approve and recommend to Council the Efficiency Plan as described in Section 9 and detailed in Appendix 5 including the proposals around the use of the new flexibilities on the use of Capital Receipts.
- F. Consider the latest Adults Growth projections as set out in Section 5 and approve the creation of a £2.5m contingency Budget for 2016/17 only, as identified in section 4.3.
- G. Note the initial projections produced to identify the Core Funding Gap in 2019/20 as set out in Table 5.

## REPORT

### 3. Risk Assessment and Opportunities Appraisal

- 3.1. The development and delivery of the Council's Financial Strategy is the key process in managing many of the Council's strategic risks. The opportunities and risks arising are assessed each time the document is refreshed for Cabinet consideration. The Council's Strategic Risks are reported separately, but the Financial Strategy makes specific reference to

the Council's ability to set a sustainable budget and the significant financial uncertainty across Local Government in the Medium Term.

### **Financial Uncertainty**

- 3.2. There is a significant risk that the Council's financial position will impact on service delivery in future years. It is still unclear as to the extent of this impact as a great deal of work, including consultation where necessary, is required to move from the production of savings proposals to actual changes in service delivery seen on the ground. Nevertheless, we will continue to identify proposals for service reductions that are necessary to deliver a balanced budget over the medium term. This approach needs detailed consideration to ensure the Council is not placed at risk of being unable to deliver statutory functions or being unable to meet the needs of the most vulnerable. The impact of the finance settlement and the potential for an emergency budget in the autumn brings into question our ability to deliver a Sustainable Business Model in the short to medium term.
- 3.3. The Final Local Government Finance Settlement provided details for the financial years 2016/17 to 2019/20. The figures beyond 2016/17, however, may be subject to variations in future settlements and this may depend on whether the Council accepts the Governments offer of a multi-year settlement. Given the increased uncertainty associated with the EU Referendum result, 100% business rate retention, changes in responsibilities and devolution, it would appear prudent to accept this offer.
- 3.4. The Financial Strategy is based upon delivery of a balanced budget over the Medium Term. Each year the delivery of services and savings proposals is monitored and reported to Cabinet on a quarterly basis. The impact of significant additional pressures (for example, demographic pressures in Adult Services) and the non-achievement of savings proposals impact not only on the relevant financial year, but also in future years of the Strategy. In previous years there has been an ability to freeze spending elsewhere in the budget to compensate for these pressures. In the future, there is a significant risk that there will be insufficient controllable budgets left in the Council to mitigate pressures appearing elsewhere. This may mean that reserves held for emergencies instead become relied upon to cover known pressures. If reserves are depleted in this way, the Council's funding position will become unsustainable.
- 3.5. Detailed work has been undertaken to revise the growth projections for Adult Services. This work is influenced by numerous variables which are often non controllable. Each of these issues can lead to uncertainty in the base data or assumptions which are then extrapolated. If the pressure in

Adult Services in future years is understated this would lead to short term decision making to deliver a balanced budget. If this pressure is over stated in future years, this would lead to decisions being taken elsewhere in the Council's budget that may have been unnecessary. The risk of continued budget variances in this area have been reduced by allocating additional resources to model future spend projections and by attempting to model and identify all variables. Spending on Adults Services, however, still represents the Council's greatest risk area in terms of potential budget overspends. For this purpose it is proposed to introduce a 'contingent budget' to reduce the risk of major variation in the short term.

- 3.6. Setting the Financial Strategy and agreeing the detailed changes necessary to deliver the agreed budget for the next financial year, will take into account the requirements of the Human Rights Act, any necessary environmental appraisals and the need for Equalities Impact Needs Assessments and any necessary service user consultation.

#### **4. Savings in the current financial year, 2016/17**

- 4.1. The monitoring of expenditure and income and the achievement of savings targets in 2016/17 will be reported to Cabinet as part of the Quarterly Monitoring Reports to Cabinet.
- 4.2. The projections for 2017/18 and 2018/19 currently assume all savings agreed for 2016/17 are achieved. Any underachievement of 2016/17 savings or additional pressures with ongoing financial implications will need to be adjusted for in the Council's future projections of expenditure.
- 4.3. Section 5 below considers the work undertaken for Adults Services to revise growth projections and the implications this has had for the approved 2016/17 agreed budget and the future year's budgets. The current projections and revised modelling suggests that growth could be reduced by as much as £2.5m in 2016/17. It is recommended that this is held as a contingent budget to provide resilience in the short term against volatility or errors in the revised modelling. Should this contingent budget not be applied in 2016/17 it would be carried forward as a one-off resource.

#### **5. Adult Services Budget Growth Projections**

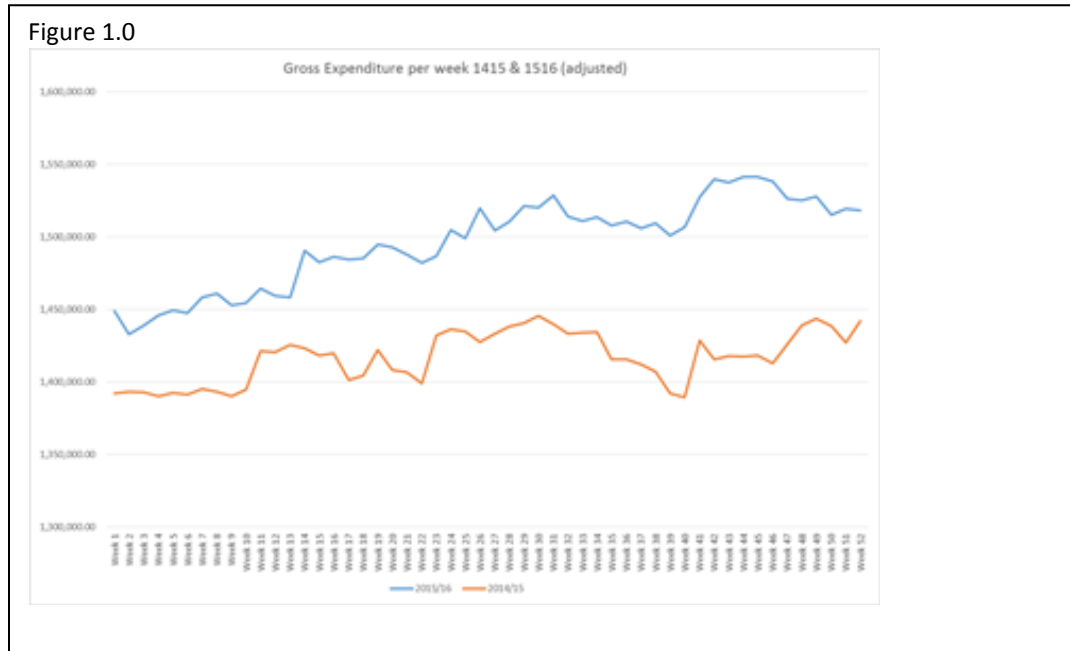
- 5.1. In January, as a result of 2015/16 financial monitoring information available at the time, the growth projections for Adults services in current and future years were revised and adjusted significantly. The table below identifies the growth allocated to Adults when setting the 2016/17 budget and the parameters for 2017/18 and 2018/19 budget.

**Table 1: Existing Adults Growth Projections included in Budget Projections**

	2016/17	2017/18	2018/19
	£m	£m	£m
Net Growth for Adults Purchasing Budgets – annual	14.859	9.371	9.371
Cumulative Growth	14.859	24.230	33.601

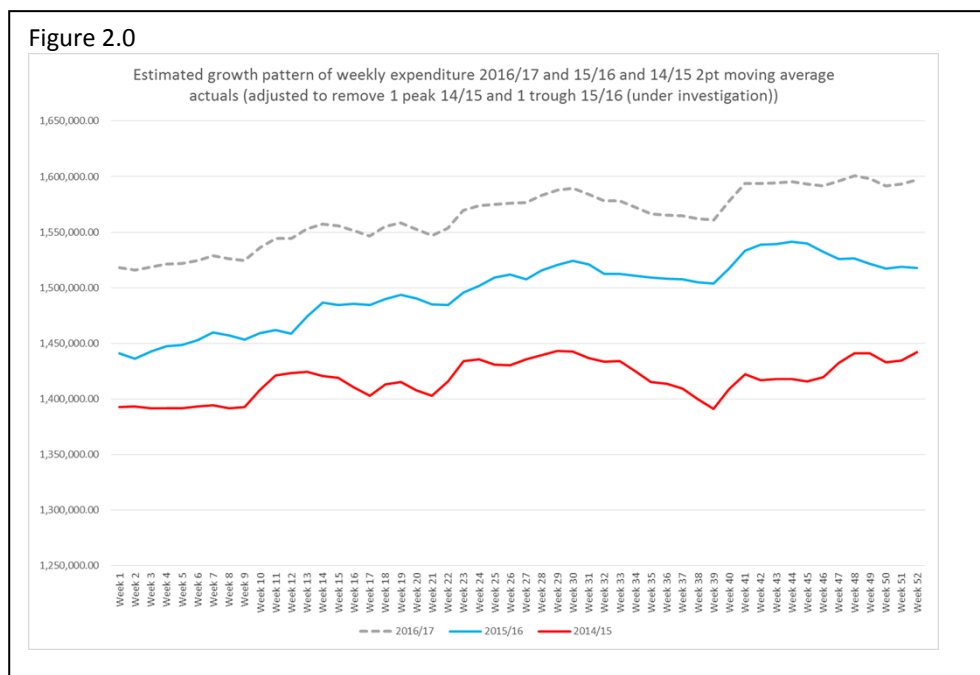
- 5.2. The projections were based on levels of additional gross spend being experienced in 2015/16. In the financial strategy report to Cabinet in May, Members were informed that significant work was being undertaken to verify the growth projections included in the budget which would also take account of operational management information in addition to financial data.
- 5.3. Considerable work has been undertaken since February to extract data from the Social Care System to establish expenditure and income trends. This work is still ongoing, however at this point sufficient data has been extracted to give a better understanding of the position and has allowed the growth requirement to be recalculated. A copy of a presentation setting out work undertaken and findings to date is attached at Appendix 1.
- 5.4. A growth model has been developed which considers the weekly spend pattern and the income recovery relationship against this. Given the importance and financial significance of the Adult Social Care budget, the following paragraphs explain in detail how the model has been developed.
- 5.5. In the first instance it was necessary to understand the pattern of purchasing expenditure over time. Expenditure falls into two main categories, these being expenditure on spot purchasing and expenditure on block purchasing. Block purchasing amounts to approximately £17.7m gross spend and is supported by firm contractual arrangements. As such this area of spend is reasonably predictable. The growth model instead focusses on estimating the more volatile spot purchasing spend, this being expenditure for individual care packages generated as and when they arise and constitutes around £70m of gross purchasing spend.

- 5.6. Data extracted (shown below in Figure 1) shows the pattern of weekly gross spot purchasing spend throughout 2014/15 and 2015/16.



- 5.7. Figure 1 demonstrates a relatively clear trend of an overall increase during the year. Also evident is a drop in weekly spend approaching the end of December after which it rises sharply. This is mostly likely explained by annual winter pressures experienced year on year. It is important to note that the actual expenditure, as shown in Figure 1, is free of processing lags as the spend is placed against the week in which care was delivered.
- 5.8. Using this data it is possible to derive a projected growth trajectory for 16/17. To do this the actual data for 14/15 and 15/16 is smoothed slightly using moving averages and an estimated 16/17 pattern is developed as shown in Figure 2.
- 5.9. This estimated trajectory (shown as the dotted grey line in Figure. 2) is then applied to an estimated starting weekly spend point in 2016/17.

5.10. To estimate the week 1 spend for 2016/17 (the starting point) data is extracted from the system at an agreement level showing all of the agreements currently in force. It is critical to ensure this starting point is as accurate as possible as the future growth pattern relies on this.



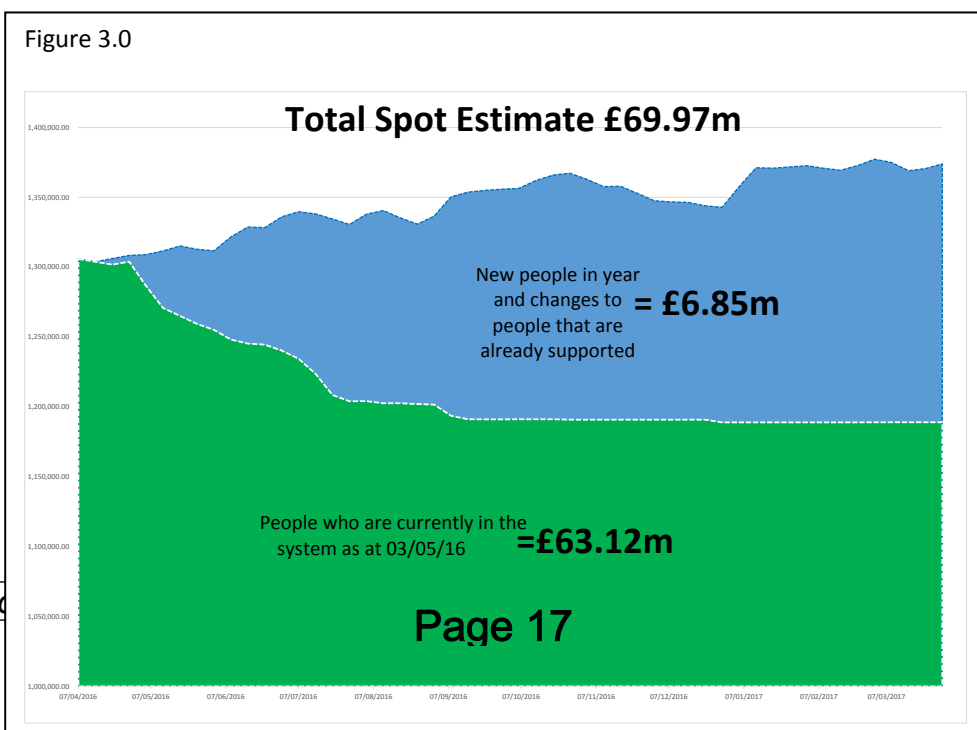
5.11. It is also difficult to get this right as it is constantly moving. This is due to a number of reasons including delays in processing agreements, backdating agreements and incomplete agreements becoming authorised.

5.12. Analysis of past spend suggests that historically it can take up to four months before a weekly spend figure stops moving significantly. The service has taken steps to identify the reasons for continuous movement and there are now processes in place to keep this to a minimum, though movement is to be expected to some degree. In some cases movement is unavoidable, for example in a case of capital reduction where the financial impact may not be identifiable until several weeks after responsibility has been taken for supporting the package. This situation results in backdated payments having to be put onto the system causing volatility in the financial information.

5.13. It should also be noted that a weekly commitment figure will not necessarily convert to an actual weekly spend figure of the same value. Reasons for this include incomplete agreements on the system. Once a care package requirement is identified a draft contract is entered onto the system and it awaits authorisation before becoming an actual paying contract. Some of

these incomplete contracts never complete and if they are not purged from the system they skew the figures feeding into the weekly spend assumptions. Again, there is a process in place to routinely identify these agreements and purge the system, where resources allow.

- 5.14. The latest growth projections used in this strategy are currently based on an assumption that the week 1 spend for 16/17 figure is £1.306m. This includes £0.060m of incomplete contracts, some of which may not come to fruition. On the counter side it does not allow for backdated contracts which may appear in later months. It is estimated that these two factors will cancel each other out but further work is required to understand the behaviour behind them and better estimate the starting point.
- 5.15. The week one position of £1.306m can be analysed at client and agreement level to provide the service with a wealth of information on the make-up of purchasing spend. This can be tracked over time to establish more granular trends in purchasing behaviour. The presentation attached at Appendix 1 shows some of this analysis of the week one position.
- 5.16. Once a week one starting point is established the growth trajectory can be applied to it. By summing the weekly spend arising throughout the full financial year and projected total weekly gross spot spend can be estimated. See Figure 3.
- 5.17. In Figure 3.0 below the lower green area represents the commitments which are currently known to us on the system.
- 5.18. Some agreements will have future end dates already applied and some will be open ended. The blue area captures the expected increase in commitments/spend as the people who are currently supported have their packages extended or changed in any way and as new people are



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supported. In simple terms at the time of running the model it is expected that in the region of £63.120m will be paid out against people that are known to the service and a further £6.850m will be paid out against those people and new people before the end of the year. The way in which the growth trajectory is developed, based on historic spend patterns, will implicitly address expected death rates within the model.

- 5.19. These same growth assumptions are projected forward to derive spend estimates for future years. All of this is then fed into the financial strategy.
- 5.20. There is much work to do to further analyse commitment and actual spend behaviour and there is now much more potential to do this effectively given the data and tools now available and still in development. Over time the day one spend position can be monitored as well as the conversion rates from commitment to actual spend. New information over time will inform next iterations of the model and future growth assumptions may require altering as better information becomes available or as operational strategies impact spend.
- 5.21. The model also allows for assumptions to be applied regarding future pressures arising from new legislation. At present the model accounts for the impact of the changes to the National Living Wage, as far as it considers a level of likely inflation to packages prices. However, there may be further impact that we are as yet unable to quantify. There are also other pressures that at present are unquantifiable and which may materially change projections. These pressures mainly relate to forthcoming changes in legislation or changes in the behaviour of significant bodies such as the CCG and include the following:
- 5.21.1. Waking/Sleeping night changes to legislation
  - 5.21.2. Transforming Care Partnership
  - 5.21.3. Attendance allowances changes
  - 5.21.4. Care Act – Phase 2 implementation
  - 5.21.5. Minimum Income Guarantee changes
  - 5.21.6. The Sustainability and Transformation Plan and other Health Economy plans
- 5.22. We will continue to monitor these ‘horizon’ issues and as they become quantifiable and more certain they can be accounted for in future projections and built into the Financial Strategy.
- 5.23. The latest projections using the model described above show the following revised estimates of growth, which are expected to release previously assumed resources as shown. It should be noted that the growth in



2016/17 has been fixed in these projections resulting in a steep reduction in the amount required in 2017/18. Any growth allocated in 2016/17 which is not required will be transferred to a reserve at the end of 2016/17 financial year to alleviate the 2017/18 budget shortfall. At present this is estimated at £2.5m

**Table 2: Revised Adults Growth Projections showing Surplus.**

	2016/17	2017/18	2018/19
	£m	£m	£m
Revised Net Growth for Adults Purchasing – annual	14.859	3.177	5.334
Revised Cumulative Growth	14.859	18.036	23.370
<b>Surplus Growth allocated (in year)</b>		<b>6.194</b>	<b>4.037</b>

5.24. The above table shows that the latest information is that the growth for Adults purchasing can be reduced by £6.194m in 2017/18 and a further £4.037m in 2018/19. This information should be considered along with other adjustments made following a review of the council's growth assumptions which is considered in Section 8 below.

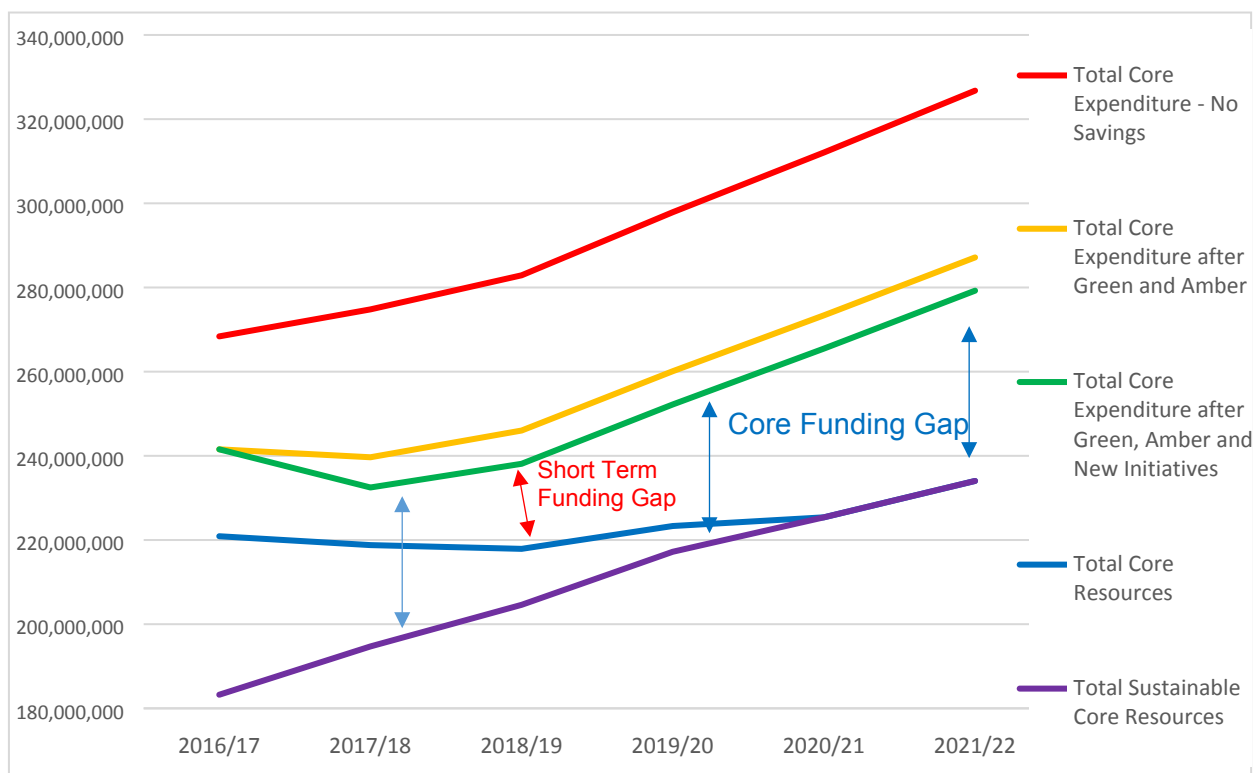
## **6. Development of the Financial Strategy 2017/18 to 2019/20**

- 6.1. Cabinet received four financial strategy reports throughout 2015/16 setting out the budget position for the Council over the three-year period of the Medium Term Financial Plan, 2016/17 – 2018/19.
- 6.2. The savings proposals required to balance the 2016/17 Financial Year were agreed by Cabinet on 17 February 2016 and this report also set out the parameters for the budget in the following 2 years, 2017/18 and 2018/19.
- 6.3. Chart 1 below sets out the modelled position for Shropshire Council looking forward to 2021/22. The position, as far as we are able to estimate, is that the Council has a significant funding gap that continues to grow into the future. The red line on the graph identifies projected spend before savings proposals were identified and approved by Cabinet. After the application of

savings proposals already agreed, the red line moves down to the amber line on the graph. Further proposals, as set out within this report and recommended for approval (a second tranche of savings), further reduce the gap, moving the amber line down to the green line.

- 6.4. The purple line on the graph shows the underlying sustainable funding projected for the Council. The blue line takes account of funding from non-sustainable sources (RSG, Transition Grant and improved RSDG).
- 6.5. The core funding gap that needs to be solved by the Council is demonstrated on the graph as the difference between the purple and green lines – this is £13.69m in 2017/18 growing to £45.2m in 2021/22. This position would be improved with confirmation that all grants contained within Core Funding were to continue indefinitely.

**Chart 1: Growth Model for Shropshire Council 2016/17 to 2021/22**



- 6.6. The development of a Sustainable Business Model to allow the Council to consider what services will be affordable going forward was detailed in Financial Strategy reports over the last year. In the report to Cabinet on 27 January 2016 details of what service budgets would look like in 2017/18 and 2018/19, within the latest resource projections, were included. It is now necessary to reconsider and develop this work taking into account the latest position on the projected funding gap for these years and the latest

work and considerations on the achievability of the proposals identified. This work will continue throughout the year in line with the timetable set out in Table 3 below.

**Table 3: Timetable - 2017/18 and 2018/19 Budget**

<b>Date</b>	<b>Group</b>	<b>Details (subject to available information e.g. Settlement)</b>
13 July 2016	Cabinet	<p>Agree and recommend to Council</p> <ul style="list-style-type: none"> <li>- Identify second tranche of savings proposals, where possible deliverable within the year, and any further adjustments required to the 2016/17 budget to help balance the 2017/18 and 2018/19 budget.</li> <li>- Financial implications of the Council's ICT Digital Transformation Programme</li> <li>- Detail, as necessary, the efficiency statement to be returned to Government to allow multi-year settlement (see Appendix 5).</li> </ul>
21 July 2016	Council	<p>Approve</p> <ul style="list-style-type: none"> <li>- Second tranche of savings proposals, where possible deliverable within the year, and any further adjustments required to the 2016/17 budget to help balance the 2017/18 and 2018/19 budget.</li> <li>- Financial implications of the Council's ICT Digital Transformation Programme</li> <li>- Detail, as necessary, the efficiency statement to be returned to Government to allow multi-year settlement (see Appendix 5).</li> </ul>
27 July 2016	Cabinet	<p>Receive update report from Performance Management Scrutiny Committee including feedback from Budget Setting Task Group</p>
26 September 2016	Cabinet	<p>Agree and recommend to Council</p> <ul style="list-style-type: none"> <li>- Identify third tranche of savings proposals, aligned to Corporate Plan and where possible deliverable within the year, and any further adjustments required to the 2016/17 budget to help balance the 2017/18 and 2018/19 budget to reduce the Core Funding Gap.</li> <li>- Proposals to balance 2017/18 and 2019/20 budget using one-off funds and short term proposals, that will not contribute to closing the Core Funding Gap.</li> </ul>
9 November 2016	Cabinet	<p>Consider latest information on Resource and Expenditure Projections and savings for 2017/18 and 2018/19</p>

21 December 2016	Cabinet	Consider latest information on Resource and Expenditure Projections and savings for 2017/18 and 2018/19 - subject to the Council receiving the draft Local Government Finance Settlement.
8 February 2017	Cabinet	Agree 2017/18 Budget for approval by Council including all 2017/18 Savings and any 2018/19 savings which can be agreed.
23 February 2017	Council	Approve 2017/18 Budget

## 7. 2017/18 and 2018/19 Revised Projections of Resources and Expenditure

- 7.1. The Financial Strategy Report to Cabinet in May provided details of the Resource and Expenditure projections for 2017/18 and 2018/19 and the size of the financial gap remaining after all Green and Amber Savings had been implemented and core grants, treated each year on a one off basis, were applied. The remaining shortfall was identified as £17.259m in 2017/18 and £30.368m (an additional £13.109m) in 2018/19.
- 7.2. The May report recognised that even if all identified savings were applied, including those RAG rated as Red, a funding shortfall would remain in 2017/18 and 2018/19 of £1.910m and £7.602m.
- 7.3. Since May, the Council's Growth projections have been revisited. This is necessary each year to ensure pay and prices are based on the latest budget information and that any known service changes can be considered in growth projections.
- 7.4. The main change in the review of the growth projections is around the Adults purchasing Demographic growth calculations which are detailed in section 5 above and Appendix 1. There were other changes around pay and prices assumptions. The reported remaining gap assumed all Green and Amber savings were implemented and achievable. Since May, Children's services savings achievable have reduced by £1.693m in 2017/18 and £0.221m in 2018/19. The changes are highlighted in Appendix 2.
- 7.5. The following table details the revised gap following the revision of the Growth model and the change to Children's Services savings.

**Table 4: Revised Funding Shortfall in 2017/18 and 2018/19 after Green and Amber Savings and One-Off Core Grants Applied**

	2017/18 £m		2018/19 £m	
	May 2016	July 2016	May 2016	July 2016
<b>Funding Gap</b>	<b>17.259</b>	<b>12.574</b>	<b>30.368</b>	<b>21.001</b>
<b>Change - improvement</b>		<b>4.685</b>		<b>4.682</b>
<b>Analysis of Change:</b>				
Improvement from Growth Remodelling		6.378		4.903
Movement of Savings proposals to RED rated		-1.693		-0.221
<b>Total Change</b>		<b>4.685</b>		<b>4.682</b>

7.6. The improvement in the Growth Model is a combination of a reduction in the amount required for pay inflation, increments, prices inflation and a net reduction in demographic growth required by Adult Services.

7.7. The figures above, in both May and July, include the use of Core Grants treated as one off basis. Going forwards it is important to be clear on the sustainable budget position i.e. the budget which can be supported by on-going resources, and to identify clearly the use of one off funding to balance budgets. The above figures include the one off use of Core Grants of £10.380m in 2017/18 and £9.195m in 2018/19.

## **8. Balancing 2017/18 and 2018/19 Budget**

8.1. Alongside the revision of growth projections, detailed work has been undertaken to identify how the remaining gap can be closed in the short and long term. This has included a review of savings RAG rated as Red to consider partial achievement in the short term, identification of any new savings proposals and a review of all corporate funding and resource assumptions. Table 5 below identifies the Core Funding Gap and provides details of new savings areas identified.

**Table 5: Core Funding Gap**

	2017/18 £m	2018/19 £m	Notes
Funding Gap as identified above in Table 4	12.574	21.001	
Remove non-sustainable funding from the calculations	10.380	9.195	
Reduce Gap by sustainable, base-budget savings proposals:			
- Corporate Funding Resource Assumptions	-5.868	-5.868	
- Red RAG rated Savings – partially deliverable by 2017/18	-2.729	-2.729	
- Red RAG rated Savings – partially deliverable by 2018/19		-0.590	
- New Savings Proposals Identified	-0.666	-0.798	
<b>Total adjustments to be approved</b>	<b>-9.263</b>	<b>-9.985</b>	See Appendix 2
<b>Revised Funding Gap</b>	<b>13.691</b>	<b>20.211</b>	

8.2. The latest projections of Resources and Expenditure are shown in Table 6 below which reflect the revised position as shown in Table 5 above. Further detail is provided in Appendices 3 and 4.

**Table 6: Resource and Expenditure Projections 2017/18 to 2019/20**

	2017/18	2018/19	2019/20
	£	£	£
Resources	563,198,776	559,272,590	562,078,935
Expenditure	576,888,531	579,483,279	590,739,832
Sustainable Budget Gap	<b>-13,689,756</b>	<b>-20,210,689</b>	<b>-28,660,897</b>

8.3. It is recommended that the ongoing adjustments identified in Table 5 above of £9.263m and £9.985m for 2017/18 and 2018/19 respectively are agreed by Cabinet and recommended for approval by Council.

8.4. Cabinet has already considered and approved the use of some one-off resources to help close the core funding gap and further work is being undertaken to identify further proposals to deliver a balanced budget across 2017/18 and 2018/19 financial years. Further proposals will include the following options:

- Use of one-off grants (including Core Grants),
- Freeing up of earmarked reserves,

- Applying existing savings proposals that can be achieved more quickly and therefore brought forward,
  - Delivering anticipated and managed underspends,
  - Allowing for collection fund adjustments and, potentially,
  - Carrying forward unapplied Adult Services Contingent Budget.
- 8.5. It is important to note that should any of the base budget savings proposals identified in this report not be progressed this will result in the core funding gap increasing, reducing the Council's sustainability and requiring identification of further one-off funds (from the proposed sources set out in paragraph 8.4 above) to temporarily balance the budget.
- 8.6. A key component of the Council's long term strategy to become self-sufficient is the need to invest resources to deliver efficiencies and returns on investment. This requires investment in the right places at the right time and there are three key components to this strategy:
- 8.6.1. Identify Resources for investment; understanding the sources of funding, the implications and timescales involved
- 8.6.2. Create the conditions to deliver success; whether this is creating the space for innovation, or the time to ensure proposals are robust
- 8.6.3. Invest wisely in the short and longer term within a framework of proposals; this will ensure the strategic direction of the Council as set out in the Corporate Plan can be achieved.
- 8.7. The Efficiency Plan attached at Appendix 5 sets out our plans to use new flexibilities in Capital Receipts to meet the first component set out in 8.6.1 above. A full and thorough analysis of our capital assets and our ability to generate capital receipts will now be undertaken over the summer. The initial working target for capital receipts is £38m, as set out in Appendix 5.
- 8.8. The options to deliver a balanced budget in the short term, as set out in paragraph 8.4 above, may only be achievable by use of this new flexibility to enable short term resources to be reprofiled to create the conditions to deliver success (i.e. the second component set out in 8.6.2.) and potentially reduce the pressure to close the funding gap in the short term only by the implementation of published Red RAG rated savings.
- 8.9. The efficiency plan at Appendix 5 identifies the framework by which the final component as set out in 8.6.3 can be achieved.

- 8.10. The Financial Strategy assumes a 3.99% Council Tax increase in every year going forward. This is presumed to be the maximum increase allowed without having to hold a referendum. If this planning assumption were changed, the core funding gap would alter accordingly.
- 8.11. Growth in resources to close the remaining funding gap is being considered but is unlikely to deliver a solution, certainly in the short term or as an initiative on its own. It is unlikely to be appropriate to consider an increase in Council Tax to close the £13.689m core funding gap in 2017/18, which would be above the assumed referendum threshold of 3.99%.
- 8.12. The approach being adopted; generating capital receipts, using new flexibilities, freeing up one-off resources and identifying a long-term strategic Sustainable Business Model will demonstrate the following characteristics over the short-term:
- 8.12.1. The Council's long-term core funding gap is understood and acknowledged. In 2017/18 this gap is £13.7m growing to approximately £45m without action by 2021/22.
- 8.12.2. The underlying self-sustainability of the Council requires a re-set of Council finances in two ways;
- Our resources and spending must be brought into line (i.e. referring to back to Chart 1, the gap between the Green line and the Purple line must be closed)
  - Our ability to generate resources needs to match our demand on expenditure (i.e. referring back to Chart 1, the Green and Purple lines need to follow the same trajectory and grow, or fall, at the same rate).
- 8.12.3. To achieve this requires short term stability in the Council's budget and operational model to create the conditions to deliver success in the implementation of our Corporate Plan.
- 8.12.4. Delivery of all savings proposals approved to date (including those set out in Appendix 2 to this report) creates a core funding gap of £13.7m in 2017/18 growing to £20.2m in 2018/19, £28.7m in 2019/20 and estimated to reach £45m by 2021/22.
- 8.12.5. Red RAG Rated proposals set out in January 2016 amounted to approximately £15m of which £2.7m have been taken forward for approval in this report ('Achievable RED Savings' as set out in Appendix 2). The balance of RED savings, if delivered, would,



from a financial perspective, close the gap in 2017/18 and thereby bring the Council closer to a self-sufficient funding position (i.e. by permanently bringing the funding gap down by a further £12m). This would, however, have a significant impact on service delivery across many areas in the short term and potentially on a permanent basis.

- 8.12.6. Delivery of one-off funding instead, if sufficient sources and proposals could be identified, would require the identification of approximately £34m over the next two years and would leave the funding gap in 2019/20 untouched at £28.7m.
- 8.13. A balance must therefore be struck between making decisions purely on a financial basis which may have unintended and unwanted operational impacts on service delivery; or instead focussing entirely on our ambitions to deliver quality and valued services which we do not have the funding to provide on a sustainable basis in the longer term.
- 8.14. Our approach is to acknowledge our financial position, try to minimise short-term decision making on a purely financial basis and create the conditions to enable the Council to meet as many of its key strategic outcomes in the long term, within a self-sufficient financial model. In practice, this undoubtedly means using one-off funding in the short term to enable the time a space to deliver a Sustainable Business Model in the medium term.

## **9. Review of 2017/18 and 2018/19 Savings Proposals**

- 9.1. As demonstrated in Table 5 above, there are a number of proposals which, with approval, reduce the core funding gap in the financial years 2017/18 and 2018/19. Details of these proposals are given in Appendix 2. Implications identified by Directorate of the Council are given below.

### **9.2. Commissioning Directorate**

- 9.2.1. Since the May 2016 Financial Strategy, further savings have been proposed for 2017/18 within the Commissioning directorate. The majority of these savings are in areas that may have to reduce to nil in order to balance the council's budget in the medium term. These functions are predominantly within the Leisure and Culture portfolio.
- 9.2.2. A project plan is being put in place to document the timescales in which savings could be achieved from the transfer of Leisure and Culture assets and services into alternative management and funding arrangements. The plan particularly focuses on leisure centres, libraries and museums.

Significant progress has already been made in this regard within Libraries, where five libraries have been transferred into alternative management arrangements since January 2016. The new 2017/18 Libraries saving proposed represents continuation with this work, particularly within the larger market towns.

9.2.3. Service redesign continues to take place, for example within the Arts Service, where collaboration between Shropshire Council and the Arts Sector is enabling the Arts Development Officer to support the sector in becoming more self-sufficient and sustainable, enabling the Arts budget to be tapered down over several years.

9.2.4. Within Outdoor Partnerships, an enterprising approach to providing a cost neutral parks service has been proposed. The new approach will be to increase income in order to maintain expenditure budgets for the service, therefore reducing Council support and working towards a medium-term cost-neutral service.

9.2.5. The Community Enablement Team is also beginning to work on a business plan focussing on generating income in order to safeguard the work of the team. The majority of the new 2017/18 saving relates to this new enterprising approach.

9.2.6. It is proposed that youth commissioning funding in support of “direct” local youth activity provision is reduced in 2017/18 and has been previously highlighted in Cabinet papers. Our suggested approach to maximising the value of future funding is based on targeting funding to those areas where previous intelligence has confirmed that the “specific needs” are the highest.

### 9.3. **Children’s Services**

9.3.1. An external review of the savings proposals put forward for the Children and Young People directorate have been undertaken and provided general validation to the proposal. Subject to some further detailed analysis and modelling in some areas as recommended, savings rated green amber are brought forward for approval.

9.3.2. Further agreement will need to be reached regarding the ongoing contribution of DSG to Early Help and prevention services

9.3.3. At the point of writing the impact of the National Funding Formula for education together with proposals set out in the Education Excellence Everywhere white paper are unclear and will need to be analysed as details of the role of Local Authorities in education and therefore its associated

funding in the short and medium term are forthcoming. These potential reductions in funding for the LA have not been factored into the existing savings proposals.

9.3.4. Where services are traded, there is an opportunity to up-trade both within and outside Shropshire Council and thus secure additional revenue within existing resources.

9.3.5. Where traded services are not fully funded and are not meeting statutory responsibilities, further efficiencies will be secured.

#### 9.4. **Public Health**

9.4.1. The implications of further cuts in Public Health Grant need further evaluation and may impair the ability of the Council to meet its statutory functions in this area. As more detail is available, the impact of reductions on services will be detailed.

#### 9.5. **Adult Services**

9.5.1. The implications for service cuts within Adult Services will be formulated around the on-going review into demographic growth and underlying costs. The latest position is mentioned in Section 5 above, and it is the understanding of the scale, the ability to predict and the key drivers behind this growth that will shape the Council's ability to manage the impact on the overall budget.

#### 9.6. **Resources and Support**

9.6.1. The Council has benchmarked the costs of delivering its corporate and democratic core against similar authorities and found it to be below average cost. In addition, a review of management costs demonstrates that senior management pay rates are amongst the very lowest in the country and since 2011 the number of senior managers has fallen from 95 to 42. This is already a reduction in excess of 50% and is planned to fall further in future. As reported in October 2015, even if support costs were able to be reduced to 50% across the entire Council, this would deliver no more than £10m to £12m in total and, while part of the solution, will not, in itself, solve the Council's overall financial position.

9.6.2. As reported to Cabinet on 27 April and 11 May 2016, a Digital Transformation Programme is currently being drawn up to final business case by the ICT Project Team and will form a cornerstone of the Council's drive for improved efficiency within service delivery. Two reports have been approved by Cabinet this year (Social Care System Replacement 27 April

2016 and ICT Digital Transformation Programme 11 May 2016). The summary financial implications of these two developments as currently estimated are set out in Table 7 below. A final business case is currently being produced from which the financial implications will be taken to Full Council for approval.

**Table 7: Summary Financial Implications of ICT Investment**

	Year 0 (2016/17) £	Year 1 (2017/18) ) £	Year 2 (2018/19) ) £	Year 3 (2019/20) ) £	Year 4 (2020/21) ) £	Total £
<b>Costs:</b>						
Social Care System	3,574	2,059	301	225	232	
Digital Strategy	17,879	12,034	6,486	4,915	4,465	
<b>Total Costs</b>	<b>21,453</b>	<b>14,093</b>	<b>6,787</b>	<b>5,140</b>	<b>4,697</b>	
Cashable Savings	80	441	708	848	970	
Base Budget	5,217	5,217	5,217	5,217	5,217	
<b>Net Position to be Funded</b>	<b>16,156</b>	<b>8,435</b>	<b>862</b>	<b>(925)</b>	<b>(1,490)</b>	<b>23,037</b>
Non-Cashable Benefits	352	3,583	7,419	8,992	11,008	31,354

## 10. Performance Management Scrutiny Committee/ Task and Finish Group

- 10.1. The Budget 2016/17 Task and Finish Group recommended that Scrutiny should be involved in the budget setting process at an earlier stage than it had been previously. This recommendation was agreed by Cabinet at their meeting of the 10 February 2016
- 10.2. In response to this a Budget Setting Task and Finish Group was established to enable scrutiny to have earlier involvement in the budget setting process and provide meaningful comment on the savings proposals and potential alternatives.
- 10.3. Performance Management Scrutiny Committee and the Budget Setting Task Group have met and considered proposals as set out in previous reports and have also reviewed the Council's position on General Fund Balance and Earmarked Reserves. The process used to determine the basis for, and level of, Earmarked Reserves and General Fund Balance has also been reviewed by an Audit Committee Task Group. The Group

concluded that the approach taken was reasonable and this was reported back to the Scrutiny Task and Finish Group. In addition, the Performance Management Scrutiny Task Group have reviewed the Adult Services growth model as described in Section 5 above and considered the wider implications for developing savings proposals across the whole Council.

- 10.4. The Performance Management Scrutiny Committee will report on progress to Cabinet on 27 July 2016.

## **11. Efficiency Strategy and Plan 2016/17 to 2019/20**

- 11.1. On 17<sup>th</sup> December, as part of the Draft Local Government Finance Settlement it was announced that multiyear settlements could be agreed subject to local authorities producing Efficiency plans.
- 11.2. Detailed below is an extract from a letter to local Authorities from the Secretary of State for Local Government and Communities dated 10 March 2016.

“I do not intend to provide further guidance on what efficiency plans should contain – they should be locally owned and locally driven. But it is important that they show how this greater certainty can bring about opportunities for further savings. They should cover the full 4-year period and be open and transparent about the benefits this will bring to both your council and your community. You should collaborate with your local neighbours and public sector partners and link into devolution deals where appropriate.

Of course this offer is entirely optional. It is open to any authority to continue to work on a year-by-year basis, but I cannot guarantee this minimum offer to those who do not accept.

I have already seen how much the sector has welcomed this move and I look forward to a strong response. For any further queries, please contact officials at the above address”

- 11.3. It is recommended, given the level of uncertainty surrounding local government finance, that an efficiency plan is produced. Attached at Appendix 5 is the Council’s proposed Efficiency Statement in response to this request.
- 11.4. It is important to note that the agreement of the Efficiency Plan will give some certainty on some, but not all, elements of funding from Central Government. The offer includes a minimum guarantee for Revenue Support Grant, Rural Services Delivery Grant and Transition Grant only and does not refer to New Homes Bonus, Better Care Fund or any specific grant.

11.5. Whilst the a multi-year settlement offers certainty on specific government grants over the next few years and protects against the strong probability that these grants will be reduced unless the Council accepts the settlement offered, it should be made clear that the funding gap referred to earlier in this report remains and so the Council must work to develop a sustainable budget position in the medium term.

## **12. Implications for the Council of the EU Referendum Decision**

- 12.1. Following the result of the referendum on 23 June 2016, the UK is now expected to invoke 'Article 50' which outlines the process a country must use to withdraw from the EU. This would then lead to a two-year period of negotiations between the UK government and the European Council to agree the conditions for withdrawal and to disentangle the laws and agreements which currently exist. In the short term, the uncertainty will have implications for financial markets which we are already seeing by the UK's credit rating has been downgraded from the top AAA, and FTSE 100 and other listed company share prices have fallen dramatically. In the longer term, the economic position for the UK will very much depend on the deal and relationships the UK forges with the remaining EU countries and those further afield.
- 12.2. There have been predictions of further austerity measures beyond those required if the UK had voted to stay within the EU. It is too early to be clear on what this may mean for Shropshire's finances. It does, however, appear that the acceptance of the four-year financial settlement from the government (as described in Section 11 above) would be in the interest of the Council given the potential for further cuts.
- 12.3. The Council has a Treasury Management Policy in place to guard against the major impacts of movements in money markets, although long term implications are not known and will need to be kept under review.

**List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)**

Financial Strategy 2017/18 - 2018/19 – Cabinet 18 May 2016

Financial Strategy 2016/17 – 2018/19 – Cabinet 17 February 2016

ICT Digital Transformation Programme – Cabinet 11 May 2016

Social Care System Replacement – Cabinet 27 April 2016

**Cabinet Member (Portfolio Holder)**

Malcolm Pate

**Local Member**

All

**Appendices**

Appendix 1 – Adults Revised Growth Projections Presentation

Appendix 2 – 2017/18 and 2018/19 Savings Proposals and Core Grants

Appendix 3 – Resource Projections


Appendix 4 – Expenditure Projections

Appendix 5 – Efficiency Plan



# Adults Services

## Forecasting Purchasing Spend May 2016



**Method:**

Focus on spot contract expenditure

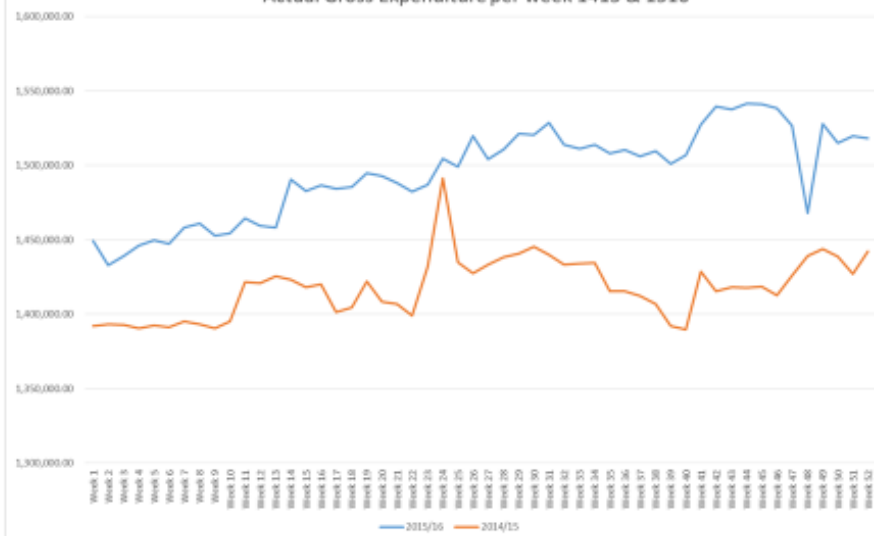
1. Establish a pattern of weekly growth
2. Establish a Week 1 starting point for 16/17
3. Apply growth trend to starting point
4. Monitor against actual and review differences



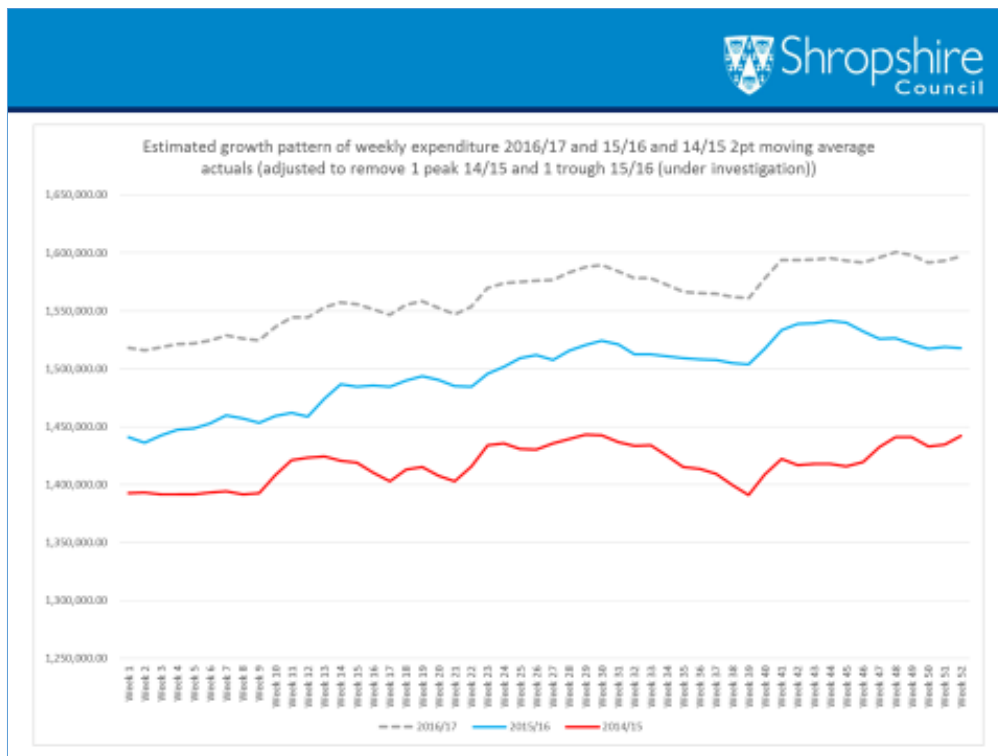
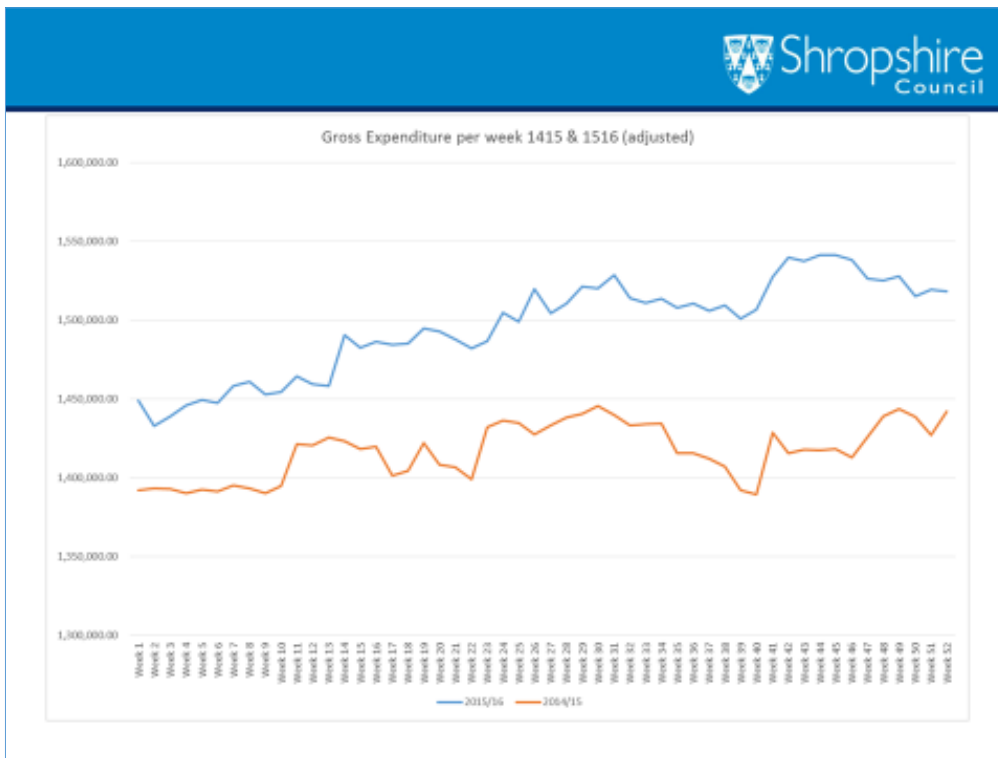
### 1. Establishing a pattern of growth:

- Weekly gross spend data 14/15 and 15/16
- Identify, investigate and eliminate unusual transactions
- Smooth actuals using moving averages
- Apply the resulting trend

Actual Gross Expenditure per week 1415 & 1516



Actual payments made related to the week in which the relevant care was delivered. Includes Block spend.

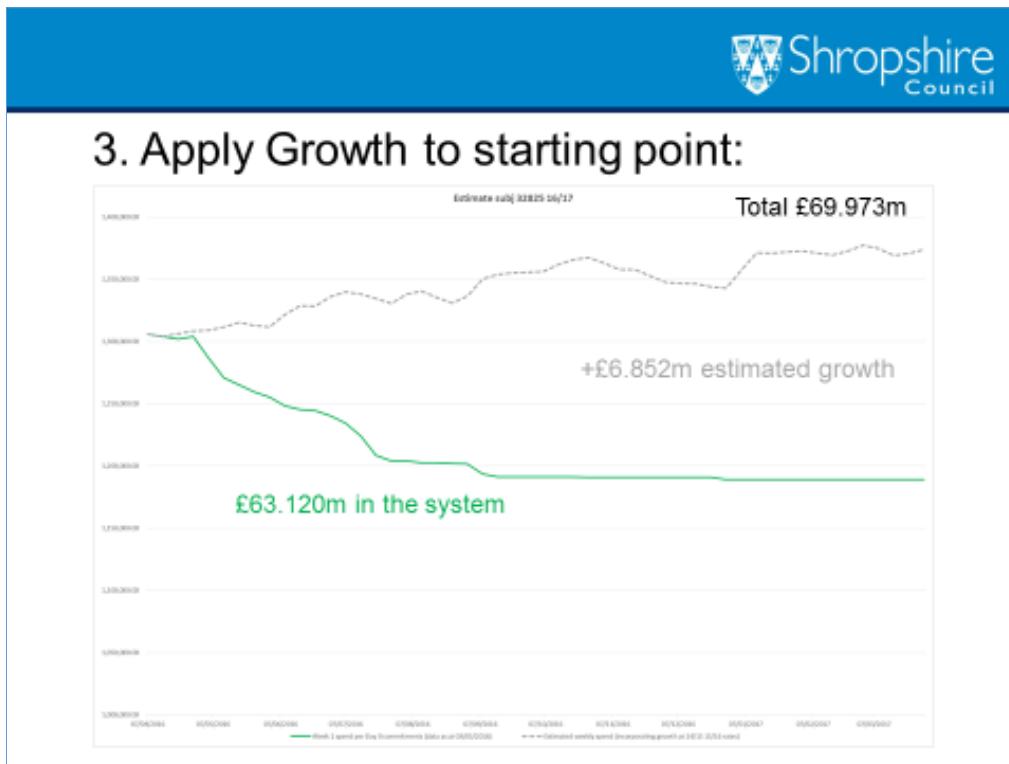
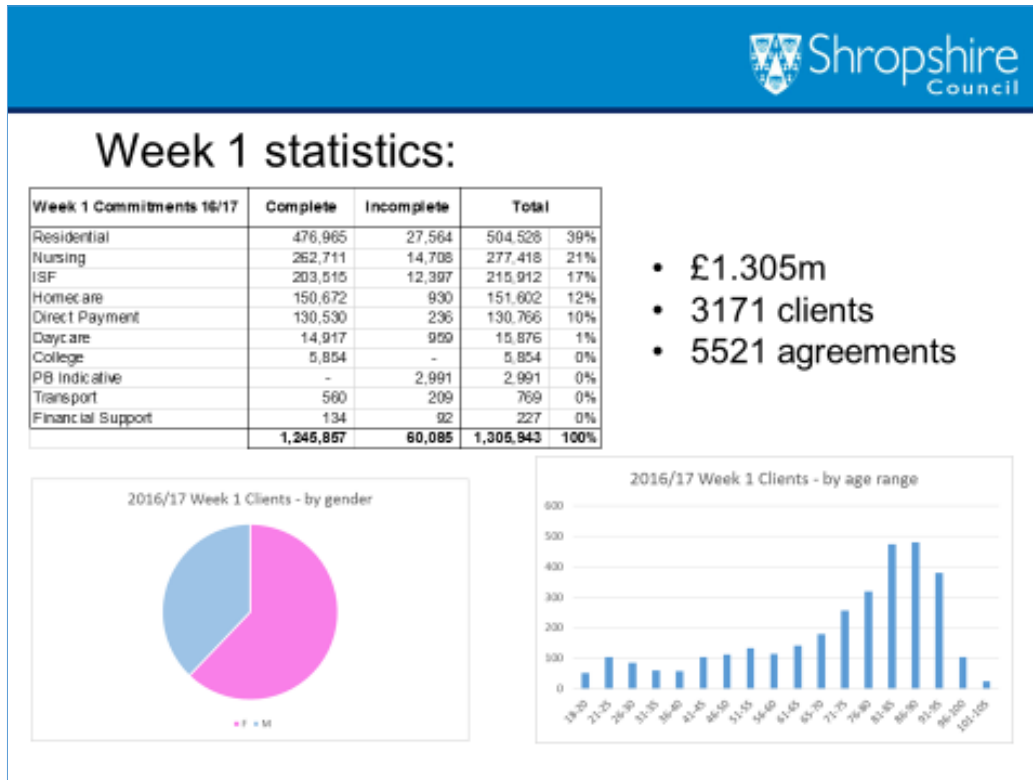


## 2. Establishing Week 1 spend:

- Critical to get this right
- Issues include:
  - Pending contracts (not yet on the system)
  - Backdated contracts (not yet on the system)
  - Incomplete contracts (loaded but not authorised to pay)

## Current Week 1 estimate:

- Analyse contracts loaded
- £1.305m per week 1 spend estimate
- Ensure annual uplift loaded



## Latest Forecast Result:

Purchasing Area	2015/16			2016/17			2017/18	2018/19	2019/20	2020/21	
	BUDGET	FINAL	Variance	BUDGET	PROJECTION	Variance	PROJECTION	PROJECTION	PROJECTION	PROJECTION	
SPOT PURCHASING (including Direct Payments)	52,948,680	62,167,495	9,218,815	74,658,860	67,393,312	(7,266,548)	73,244,625	79,585,241	86,456,037	93,901,470	
HEALTH EXPENDITURE ON INTEGRATED PACKAGES	3,347,000	3,139,040	(208,000)	2,579,430	2,579,430	0	2,579,430	2,579,430	2,579,430	2,579,430	
BLOCK PURCHASING	16,240,620	16,958,795	718,175	16,997,800	17,774,274	776,474	18,129,760	18,492,355	18,862,202	19,239,446	
CONTRIBUTIONS TO DOM CARE	(4,070,390)	(3,990,593)	79,797	(6,527,540)	(6,988,905)	(1,538,635)	(7,498,235)	(8,048,308)	(8,642,483)	(9,284,414)	
CONTRIBUTIONS TO RES CARE	(10,707,390)	(12,399,235)	(1,691,865)	(13,491,520)	(11,057,238)	2,434,282	(11,863,051)	(12,793,322)	(13,673,373)	(14,688,979)	
INCOME FROM HEALTH	(4,036,970)	(3,700,879)	336,091	(3,151,290)	(2,579,430)	571,760	(2,579,430)	(2,579,430)	(2,579,430)	(2,579,430)	
SERVICE CHARGE	(13,940)	(8,640)	5,294	(33,500)	(33,500)	0	(33,500)	(33,500)	(33,500)	(33,500)	
DEBIT AGAINST CONTRIBUTIONS TO RES CARE	148,080	0	(148,080)	0	0	0	0	0	0	0	
ILF GRANT	0	(1,315,000)	(1,315,000)	(1,665,670)	(1,665,670)	0	(1,665,670)	(1,665,670)	(1,665,670)	(1,665,670)	
CARE ACT FUNDING FROM BCF	0	(609,000)	(609,000)	0	(609,000)	(609,000)	(609,000)	(609,000)	(609,000)	(609,000)	
CARE ACT IMPLEMENTATION GRANT	(2,009,320)	(2,007,844)	1,476	0	0	0	0	0	0	0	
	51,846,520	58,234,111	6,387,601	67,367,660	64,813,274	(2,554,386)	69,704,916	74,987,795	80,694,242	86,859,344	
Net Growth Forecast					6,579,163	12%	4,891,642	5,282,870	5,706,457	6,165,301	8%

### Caution:

Actuals can take over a year to stop moving

- Backdated Contracts
- Incomplete Contracts

Health related activity needs further work

## Appendix 2

Summary	2017/18 (£m)	2018/19 (£m)	Notes
Green Savings	1.773	-1.535	Approved by Cabinet 18 Mat 2016
Amber Savings	5.989	2.337	Approved by Cabinet 18 May 2016
Achievable Red Savings	2.729	0.590	Recommended for Approval, Cabinet 13 July 2016
New Proposals	0.666	0.132	Recommended for Approval, Cabinet 13 July 2016
Corporate Savings	5.868	0.000	Recommended for Approval, Cabinet 13 July 2016
<b>Total</b>	<b>17.025</b>	<b>1.524</b>	
<b>Cumulative Total</b>		<b>18.549</b>	

Analysis of Savings Proposals - Summary	2017/18	2017/18	2018/19	2018/19	2017/18	2018/19
Green and Ambers previously considered by Cabinet	May-16	Jul-16	May-16	Jul-16	Movement	Movement
	£	£	£	£	£	£
<b>Green</b>						
Adults	0	0	0	0		
Childrens	-1,157,500	-277,340	0	0		
Commissioning	0	0	0	0		
Public Health	0	0	0	0		
Resources and Support	-1,496,045	-1,496,045	1,535,434	1,535,434		
	-2,653,545	-1,773,385	1,535,434	1,535,434	880,160	0
<b>Amber</b>						
Adults	0	0	0	0		
Childrens	-2,600,030	-1,787,500	-309,245	-87,500		
Commissioning	-3,463,070	-3,463,070	-355,000	-455,000		
Public Health	-228,849	-228,849	-250,848	-250,848		
Resources and Support	-509,546	-509,546	-1,543,158	-1,543,158		
	-6,801,495	-5,988,965	-2,458,251	-2,336,506	812,530	121,745
Green and Ambers previously considered by Cabinet	-9,455,040	-7,762,350	-922,817	-801,072		
<b>Red</b>						
Adults	-4,023,866	-4,023,866	0	0		
Childrens	-2,104,543	-3,797,233	-2,413,623	-2,635,368		
Commissioning	-7,190,580	-7,190,580	-3,913,680	-3,813,680		
Public Health	0	0	0	0		
Resources and Support	-2,030,000	-2,030,000	-1,090,000	-1,090,000		
	-15,348,989	-17,041,679	-7,417,303	-7,539,048	-1,692,690	-121,745
<b>Total Savings Identified</b>	<b>-24,804,029</b>	<b>-24,804,029</b>	<b>-8,340,120</b>	<b>-8,340,120</b>	<b>0</b>	<b>0</b>

### New Savings To be Approved

Red Rates Savings Deliverable - in 2017/18 and 2018/19					
Adults		0		0	
Childrens		-125,733		0	
Commissioning		-843,570		0	
Public Health		0		0	
Resources and Support		-1,759,890		-590,000	
<b>Total</b>		<b>-2,729,193</b>		<b>-590,000</b>	<b>-2,729,213</b>

New Savings Proposals					
Energy Company Work		-132,000		-132,000	
Grey Fleet Savings		-424,000			
Shrewsbury Town Council Civics		-110,000			
<b>Total</b>		<b>-666,000</b>		<b>-132,000</b>	

Review of Corporate Budgets		-5,868,000			
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<b>Total New Savings</b>		<b>-9,263,193</b>		<b>-722,000</b>	
<b>Cumulative by 2018/19</b>				<b>-9,985,193</b>	

Children's Services						
Ref	Directorate/Portfolio	Council Function	2017/18 Savings Proposal (£)	2018/19 Savings Proposal (£)	Commentary	Status
<b>Green savings:</b>						
C14	Children's Safeguarding / David Minnery	Children with Disabilities	-170,000	0	Recommissioning provision to deliver in a different way	Approved Cabinet 18.05.16
C19	Children's - Safeguarding / David Minnery	Foster Care Service - Fostering Placements	-107,340	0	Savings achieved through best value.	Approved Cabinet 18.05.16
<b>Total Green Savings</b>			<b>-277,340</b>	<b>0</b>		
<b>Amber Savings:</b>						
C01	Children's Learning and Skills / David Minnery	Education Access and Equality	-150,000	0	School attendance monitoring function placed at risk	Approved Cabinet 18.05.16
C02	Children's - Learning & Skills / David Minnery	Education Improvement (including Early Years)	-200,000	0	Reduced provision available to support high quality educational outcomes, could impact on the outcomes for children and on the LAs capacity to support improvement	Approved Cabinet 18.05.16 2018/19 Saving now categorised as Red
C03	Children's - Learning & Skills / David Minnery	Home to School Transport (including SEN Transport)	-187,500	-87,500	Further efficiencies are reliant on full implementation of personalisation policy, and fuel costs.	Approved Cabinet 18.05.16 Savings in both years reduced and balance now categorised as Red
C08	Children's - Learning & Skills / David Minnery	Information Advice and Guidance	-250,000	0	The team would reduce significantly and would not be able to provide information advice and guidance across Shropshire. This could impact on the progression of young people, and the number of young people who are not in education employment or training	Approved Cabinet 18.05.16 Saving in 2017/18 reduced and balance now categorised as Red
C25	Children's - Safeguarding / David Minnery	Children's Centres	-1,000,000		Early Help services prevents children wherever possible receiving children's social care interventions. Schools and other stakeholders will face pressure to meet demand.	Approved Cabinet 18.05.16
<b>Total Amber Savings</b>			<b>-1,787,500</b>	<b>-87,500</b>		
<b>Achievable Red Savings</b>						
C31	Children's Learning and Skills / David Minnery	Special Educational Needs	-94,311	0	To deliver a further saving in 2017/18 the team will divert resources towards traded work.	Recommended for approval Cabinet 13.07.16
C32	Children's - Learning & Skills / David Minnery	Education Improvement (subject to ESG)	-31,422	0	Additional Saving proposed to be funded from traded work and review of the service.	Recommended for approval Cabinet 13.07.16
<b>Total Achievable Red Savings</b>			<b>-125,733</b>	<b>0</b>		
<b>New Initiatives</b>						
None						
<b>Corporate Savings</b>						
None						
<b>Total Savings</b>						
			<b>-2,190,573</b>	<b>-175,000</b>		

Commissioning			2017/18	2018/19		
Ref	Directorate/Portfolio	Council Function	Savings Proposal (£)	Savings Proposal (£)	Commentary	Status
<b>Green savings:</b>						
None						
<b>Amber Savings:</b>						
M01	Commissioning - Planning, Regulatory Services and Environment / Mal Price	Refuse collection and recycling	-2,250,000	0	Collection service redesign / contract renegotiation	Approved Cabinet 18.05.16
M05	Commissioning - Planning, Regulatory Services and Environment / Mal Price	Environmental health, planning and trading standards	-280,000	-205,000	Redesign of service areas	Approved Cabinet 18.05.16
M06	Commissioning - Highways and Transportation / Simon Jones	Highways management, maintenance and street cleansing	-350,000	-150,000	Energy efficiency, increased income and redesigning the workforce	Approved Cabinet 18.05.16
M11	Commissioning - Highways and Transportation / Simon Jones	Public transport - Council Delivery	-250,000	0	Redesign of functional areas	Approved Cabinet 18.05.16
M12	Commissioning - Business and Economy / Steve Charmley	Economic growth and business support	-159,040	-100,000	Combination of efficiency savings and local commissioning of functional areas	Approved Cabinet 18.05.16
M13	Commissioning - Leisure and Culture / Stuart West	Leisure centres, swimming pools and sports development	-70,080	0	Combination of efficiency savings and local commissioning of functional areas	Approved Cabinet 18.05.16
M14	Commissioning - Leisure and Culture / Stuart West	Theatre services	-103,950	0	Increases in income	Approved Cabinet 18.05.16
<b>Total Amber Savings</b>			<b>-3,463,070</b>	<b>-455,000</b>		
<b>Achievable Red Savings</b>						
M08	Commissioning - Leisure and Culture / Stuart West	Parks, countryside and rights of way	-25,000	0	Outdoor Partnerships business plan for income generation should result in further savings being proposed later in the financial year, but at present an assessment of the proposals against the 2016/17 savings target is required before further savings can be proposed.	Recommended for approval Cabinet 13.07.16
M10	Commissioning - Corporate Support	Commissioning directorate management team and support functions	-80,000	0	Efficiency savings and further redesign.	Recommended for approval Cabinet 13.07.16
M16	Commissioning - Leisure and Culture / Stuart West	Leisure centres, swimming pools and sports development	-77,830	0	25% saving on Teme Leisure contract to be negotiated. Will result in reduction in provision.	Recommended for approval Cabinet 13.07.16
M17	Commissioning - Leisure and Culture / Stuart West	Museums and tourism	-80,000	0	Further redesign of function.	Recommended for approval Cabinet 13.07.16
M20	Commissioning - Leisure and Culture / Stuart West	Libraries	-150,000	0	Transfer of one or more of the larger libraries to a commissioned model.	Recommended for approval Cabinet 13.07.16
M21	Commissioning / Children and Young People	Youth activities and youth centres	-118,400	0	50% reduction to LJC budgets for youth activities	Recommended for approval Cabinet 13.07.16
M22	Commissioning - Rural Services and Communities / Cecelia Motley	Community development	-76,450	0	Efficiency savings and move to income generating model proposed at present.	Recommended for approval Cabinet 13.07.16
M23	Commissioning - Leisure and Culture / Stuart West	Arts	-35,890	0	As per December 2015 proposals developed in consultation with stakeholders	Recommended for approval Cabinet 13.07.16
M25	Commissioning - Highways and Transportation / Simon Jones	Car parks	-200,000	0	To be delivered through change to linear tariffs. Could be potential to increase this value later in the financial year.	Recommended for approval Cabinet 13.07.16
<b>Total Achievable Red Savings</b>			<b>-843,570</b>	<b>0</b>		
<b>New Initiatives</b>						
M26	Commissioning - Business and Economy / Steve Charmley	Energy Company Work	-132,000	-132,000	Development of an energy company indicates net income generation for the Council.	Recommended for approval Cabinet 13.07.16
M27	Commissioning - Highways and Transportation / Simon Jones	Grey Fleet savings	-424,000	0	Review of grey fleet mileage claimed shows that potential savings can be released across the Council in 2017/18.	Recommended for approval Cabinet 13.07.16
<b>Total New Initiatives</b>			<b>-556,000</b>	<b>-132,000</b>		
<b>Corporate Savings</b>						
None						
<b>Total Savings</b>			<b>-4,862,640</b>	<b>-587,000</b>		



## Public Health

Ref	Directorate/Portfolio	Council Function	2017/18 Savings Proposal (£)	2018/19 Savings Proposal (£)	Commentary	Status
<b>Green savings:</b>						
None						
<b>Amber Savings:</b>						
P02	Public Health / Karen Calder	Registrars	-20,000	-20,000	The Department of Health is yet to announce the Public Health Grant for the next two years therefore it will not be clear until the end of January about the resources available to the council to meet its statutory commitments. In addition the Home Office is consulting on changes to the Marriage Legislation that may mean that the Registrars' Service may have a reduction in the sources of revenue that it receives through the licensing of venues and the related fees for conducting services. On that basis the saving plan has been given an overall rating of Amber until a detailed review of the factors outlined above can be assessed.	Approved Cabinet 18.05.16
P07	Public Health / Karen Calder	Help to Change	-80,349	-102,348		Approved Cabinet 18.05.16
P09	Public Health / Karen Calder	Multi-agency Drug and Alcohol Team	-25,000	-25,000		Approved Cabinet 18.05.16
P11	Public Health / Karen Calder	School Nurses	-56,000	-56,000		Approved Cabinet 18.05.16
P17	Public Health / Karen Calder	Community Safety	-47,500	-47,500		Approved Cabinet 18.05.16
<b>Total Amber Savings</b>			<b>-228,849</b>	<b>-250,848</b>		
<b>Achievable Red Savings</b>						
None						
<b>New Initiatives</b>						
None						
<b>Corporate Savings</b>						
None						
<b>Total Savings</b>			<b>-228,849</b>	<b>-501,696</b>		

Resources and Support						
Ref	Directorate/Portfolio	Council Function	2017/18 Savings Proposal (£)	2018/19 Savings Proposal (£)	Commentary	Status
<b>Green savings:</b>						
R07	Resources and Support / Malcolm Pate	Provisional Settlement Adjustment	-1,496,045	1,535,434	Apply £5.385m of New Homes Bonus and £0.562m of RSDG over 3 years to offset front-loading of RSG reduction (Note growth not saving in 18/19 to reflect front loading of RSG reductions in years 1 and 2)	Approved Cabinet 18.05.16
<b>Total Green Savings</b>			<b>-1,496,045</b>	<b>1,535,434</b>		
<b>Amber Savings:</b>						
R04	Resources and Support / Malcolm Pate	Revenues and Benefits	-200,000	-100,000	Redesign of service areas	Approved Cabinet 18.05.16
R22	Resources and Support / Michael Wood	Customer Services	-290,997	0	Redesign of service areas to deliver corporate savings.	Approved Cabinet 18.05.16
R23	Resources and Support / Michael Wood	Other Customer services	-143,700	0	Redesign of service areas to deliver corporate savings.	Approved Cabinet 18.05.16
R24	Resources and Support / Michael Wood	Corporate Landlord	-1,001,113	-304,770	Redesign of service areas to deliver corporate savings.	Approved Cabinet 18.05.16
R26	Resources and Support / Michael Wood	Other property services	-150,812	0	Redesign of service areas to deliver corporate savings.	Approved Cabinet 18.05.16
R27	Resources and Support / Michael Wood	Non Distributable costs and other Corporate	-100,000	0	Redesign of service areas to deliver corporate savings.	Approved Cabinet 18.05.16
R28	Resources and Support / Michael Wood	Shire Services	-200,000	-276,617	Redesign of service areas to deliver corporate savings.	Approved Cabinet 18.05.16
R29	Resources and Support / Malcolm Pate	Other	1,577,076	-861,771	One-off resources and/or savings applied from previous years to offset unachieved savings reallocated to service areas.	Approved Cabinet 18.05.16
<b>Total Amber Savings</b>			<b>-509,546</b>	<b>-1,543,158</b>		
<b>Achievable Red Savings</b>						
R30	Resources and Support / Michael Wood	Corporate & Democratic Core	-229,890	0	Reductions in External Audit Fees, Debt Management Charges and Members Telephone and Car Allowance budgets can be delivered in full in 2017/18	Recommended for approval Cabinet 13.07.16
R31	Finance / Malcolm Pate	Treasury Management	-1,530,000	-590,000	Currently anticipated to be deliverable due to repayment of borrowing, thereby reducing debt charges and additional interest to be achieved on investments.	Recommended for approval Cabinet 13.07.16
<b>Total Achievable Red Savings</b>			<b>-1,759,890</b>	<b>-590,000</b>		
<b>New Initiatives</b>						
R32	Resources and Support / Malcolm Pate	Shrewsbury Town Civics	-110,000	0	Renegotiation of the Shrewsbury town Council contract has now enabled the base budget contribution towards the civic costs to be removed.	Recommended for approval Cabinet 13.07.16
<b>Total New Initiatives</b>			<b>-110,000</b>	<b>0</b>		
<b>Corporate Savings</b>						
R33	Resources and Support / Malcolm Pate	Review of Corporate Budgets	-5,868,000	0	Review of growth adjustments within the budget has released £2.898m within Corporate Budgets. A further £2.094m can be released due to a change in the collection fund surplus/deficit as a result of new guidance on the inclusion of a provision. Remaining £0.876m to be released from budgets retained for pensions contribution growth which is no longer required.	Recommended for approval Cabinet 13.07.16
<b>Total Corporate Savings</b>			<b>-5,868,000</b>	<b>0</b>		
<b>Total Savings</b>			<b>-9,743,481</b>	<b>-597,724</b>		

Appendix 3									
Projections of Resources - 2016/17 to 2019/20									
	2016/17	2016/17	2017/18	2017/18	2018/19	2018/19	2019/20	2019/20	Notes
	FINAL £	JULY £	INITIAL £	JULY £	INITIAL £	JULY £	INITIAL £	JULY £	
RSG	31,565,931	31,565,931	20,447,511	20,447,511	13,301,166	13,301,166	6,119,050	6,119,050	As in the Local Government Finance Settlement, Final 4 February 2016.
Business Rates Allocation									
Locally Retained Business Rates	38,746,737	38,746,737	39,447,278	39,447,278	40,160,485	40,160,485	40,886,586	40,886,586	Estimate from NNDR1 form for 2016/17 - 49%. Future years , growth of 0.8% and multiplier increase of 1% pa
Estimated Reduction in BRs from Budget Announcement (see below s31 Grants)			-3,860,000	-3,860,000	-3,860,000	-3,860,000	-3,860,000	-3,860,000	
Top up Grant	10,119,908	10,119,908	10,318,949	10,318,949	10,623,367	10,623,367	10,962,908	10,962,908	As in the Local Government Finance Settlement, Final 4 February 2016.
Council Tax taxbase	104,912.48	104,912	105,751.78	105,752	106,597.79	106,598	107,450.57	107,451	Taxbase increase 0.8% pa
Council Tax	1211.19	1211.19	1259.52	1259.52	1309.77	1309.77	1362.03	1362.03	3.99% increase per year
Council Tax Income	127,068,947	127,068,947	133,196,482	133,196,482	139,618,587	139,618,587	146,350,900	146,350,900	
Council Tax Collection Fund	2,987,003	2,987,003	500,000	500,000	500,000	500,000	500,000	500,000	
Business rates Collection Fund	-5,961,407	-5,961,407	-500,000	-500,000	-500,000	-500,000	-500,000	-500,000	
<b>Net Budget</b>	<b>204,527,118</b>	<b>204,527,118</b>	<b>199,550,220</b>	<b>199,550,220</b>	<b>199,843,605</b>	<b>199,843,605</b>	<b>200,459,444</b>	<b>200,459,444</b>	
<b>Grants included in Core Funding</b>									
Improved Better Care Fund			216,823	216,823	4,328,805	4,328,805	8,153,519	8,153,519	
New Homes Bonus	9,219,280	9,219,280	9,269,560	9,269,560	5,783,460	5,783,460	5,544,780	5,544,780	
Rural Services Delivery Grant	6,573,303	6,573,303	5,307,636	5,307,636	4,082,797	4,082,797	5,307,636	5,307,636	
Transition Grant	575,652	575,652	585,686	585,686		0		0	
s31 Business Rates Grants			3,860,000	3,860,000	3,860,000	3,860,000	3,860,000	3,860,000	
	16,368,235	16,368,235	19,239,705	19,239,705	18,055,062	18,055,062	22,865,935	22,865,935	
<b>Core Funding</b>	<b>220,895,353</b>	<b>220,895,353</b>	<b>218,789,925</b>	<b>218,789,925</b>	<b>217,898,667</b>	<b>217,898,667</b>	<b>223,325,379</b>	<b>223,325,379</b>	
Excluding Collection Funds for smoothing	223,869,757		218,789,925		217,898,667		223,325,379		As measured by Government
			-2.27%		-0.41%		2.49%		Year on year change
							-544,378		
							-0.24%		Change over the 4 year period
<b>Local Income</b>									
Fees and charges	60,900,260	65,394,230	66,080,165	62,132,906	71,371,297	63,209,935	74,573,557	64,414,281	
Other Grants and contributions	32,619,780	32,594,170	32,619,780	32,594,170	32,619,780	32,594,170	32,619,780	32,594,170	
Specific Grants (excluding Core Funding Grants above)	239,871,115	238,527,565	239,571,625	238,228,075	235,459,668	234,116,118	231,634,955	230,291,405	
Internal Recharges	11,090,250	11,453,700	11,090,250	11,453,700	11,090,250	11,453,700	11,090,250	11,453,700	
Total Income outside of Core Funding	344,481,405	347,969,665	349,361,820	344,408,851	350,540,995	341,373,923	349,918,542	338,753,556	
<b>Gross Budget</b>	<b>565,376,758</b>	<b>568,865,018</b>	<b>568,151,744</b>	<b>563,198,776</b>	<b>568,439,661</b>	<b>559,272,590</b>	<b>573,243,921</b>	<b>562,078,935</b>	

## Appendix 4

Projections of Expenditure - 2017/18 , 2018/19 and 2019/20							APPENDIX 4		
	2016/17	2016/17	2017/18	2017/18	2018/19	2018/19	2019/20	2019/20	
	FINAL £	ADJUSTED £	INITIAL £	REVISED £	INITIAL £	REVISED £	INITIAL £	REVISED £	
<b>Original Gross Budget Requirement</b>	576,378,810	576,378,810	596,902,316	589,515,376	616,120,791	576,888,531	629,456,194	579,483,279	
<b>Inflationary Growth</b>									
<b>PAY</b>	1,991,292	1,991,292	1,597,392	1,361,007	1,613,332	1,166,054	1,367,738	996,311	
<b>PRICES</b>	5,006,995	5,006,995	2,411,736	1,861,804	2,595,592	1,669,604	3,109,939	1,717,763	
<b>Pensions</b>	0	0	0	0	0	0	0	0	
<b>Demography</b>	21,877,515	21,877,515	13,413,035	824,076	13,423,082	6,999,013	7,452,146	7,556,318	
<b>National Government Policy changes</b>									
NI	2,000,000	2,000,000							
Minimum Living Wage (included in pay and prices for adjust	1,000,000	1,000,000	1,000,000		1,000,000		1,000,000		
Apprenticeships	500,000	500,000							
Debt charges	1,000,000	1,000,000							
<b>Grant loss/ grant rolled into Base funding</b>	1,970,870	1,970,870							
<b>Specific Grants Changes between years</b>	2,492,253	2,492,253	-1,288,024	-1,288,024	-5,296,603	-5,296,603	986,161	986,161	
<b>Income Changes</b>	-10,079,103	-10,079,103							
All other changes in 2016/17	-7,236,317	-7,236,317	2,084,336	2,084,336					
<b>Adjustment to Gross budget offset by Income changes</b>		3,488,260							
<b>Add Savings carried forward from 2015/16 to be achieved</b>		15,961,130							
<b>Deduct ongoing Savings - 2016/17</b>		-26,836,330							
<b>Deduct ongoing Savings - 2017/18</b>				-7,762,349					
<b>Deduct ongoing Savings - 2018/19</b>						-901,078			
<b>Adjust for Reduction to offset income reduction</b>				-444,000		-320,242			
<b>TO BE APPROVED</b>									
Corporate Base Budget Savings				-5,868,481					
Red Savings Deliverable				-2,729,213		-590,000			
New Savings Proposals				-666,000		-132,000			
	596,902,316	589,515,376	616,120,791	576,888,531	629,456,194	579,483,279	643,372,178	590,739,832	

## Appendix 5

### Shropshire Council: Efficiency Strategy and Plan 2016/17 to 2019/20

#### Background

1. As part of the Local Government Finance Settlement the Chancellor announced that multiyear settlements could be agreed subject to local authorities producing an Efficiency Plan. Subsequently, in March the Secretary of State for Local Government and Communities wrote to all Local Authorities confirming this offer and stating that although no detailed guidance was to be provided on the content of efficiency plans they should show how this greater certainty can bring about opportunities for further savings.
2. Also in March the government issued updated Statutory Guidance on the Flexible Use of Capital Receipts and stated that the proposed use of this flexibility should be transparent and agreed by full Council as part of the Financial Strategy and any proposed Efficiency Plan.
3. This Efficiency Strategy and Plan will summarise the Council's Strategy for maximising efficiency over the next 4 years allowing essential services to be maintained within a sustainable budget. The plan will also detail how, to achieve a sustainable budget, the Council proposes to utilise the new flexibility in the use of Council Receipts available between 1 April 2016 and 31 March 2019.
4. The plan should be read in conjunction with the Financial Strategy 2017/18 – 2019/20 Report approved by Cabinet on 13 July 2016.
5. This plan is required to be submitted to Government by 14 October 2016 and will be recommended for Council approval on 21 July 2016. Subject to government approval, this plan will allow the Council to benefit from certainty about the minimum level of resources from central government. Although government funding is a reducing percentage of the Council's total funding, this will allow an element of stability to the Council's financial planning.
6. The following section will detail
  - The council's approach to delivering a sustainable budget
  - Proposed use of the new flexibilities around the use of capital receipts
  - Prudential indicators

## The Council's approach to delivering a sustainable budget

7. Shropshire Council has a proven track record of delivering savings and efficiencies. In the past 7 years, since the Unitary Council was formed the Council has delivered £160m savings including:

- De-layered its management structure and established appropriate spans of control across all functions
- Moving away from the National Pay Scale and reducing salaries by 5.4% over 2 years and making other terms and conditions savings to limit staff costs.
- Asset rationalisation, contract renegotiation and service redesign across all areas of the Council.
- Redesign of Adult Social Care to deliver some of the lowest cost but highest quality services in the Country.

The table below provides a summary of the savings in each financial year

**Table 1: Savings 2009/10 – 2015/16**

Financial Year	Saving £m
2009/10	10.280
2010/11	7.540
2011/12	28.440
2012/13	23.890
2013/14	23.880
2014/15	39.890
2015/16	26.440
	<b>160.360</b>

8. As noted above, a large proportion of the savings have been achieved under the strapline of moving to a “Workforce that fits”. This has minimised the impact on the front line service the customer receives. Where direct services delivery has been redesigned, a positive impact for citizens has been sought. A good example of this is the redesign which has occurred in Adults Services which is described below.
9. Efficiencies and savings have been achieved across all services including those under increasing financial pressure from increased service demand. In Adult Services, a key area of service redesign has been based upon different conversations and support occurring at a very early stage in the relationship or pathway that the citizen encounters. At the First Point of Contact (FPoC) the conversation starts focusing on utilising the strengths of both the individual and their family in conjunction with the available resources in the local community to meet their needs at that time. This has enabled successful solutions to be identified for over 70% of the people who contact us through FPoC during the first conversation. We follow up two weeks later to confirm that the need or issue has

been addressed or resolved. The feedback received has been both positive in terms of choice of support and the aspirational focus of the support. We have shown that the Council cares through this simple call back. The principle of holding different conversations continues with those people who require a local face to face support again through the redesigned “Let’s Talk” approach. This has delivered a shorter wait to see a Social worker and being local based allows for greater use of local community based resources.

10. In the current financial year the council has savings proposals of £23.051m to be achieved and a further £24m is being met by one-off initiatives and funding.

11. A number of savings proposals have been agreed over the next 2 financial years and a framework of proposals is being drawn together under the Council’s new Corporate Plan (due to be approved on 13 July 2016) which focuses on the following high level outcomes:

- Healthy People
  - A clean and attractive environment is maintained
  - Potential for future good health is improved
  - Demand for health and care services is reduced
- Resilient Communities
  - Volunteering and self-support has increased
  - Needs have been met to prevent demand from escalating
  - Local members are leading in their communities
  - The range of opportunities for leisure, culture and community participation has increased, with low or no funding
- Prosperous Economy
  - Rural businesses have grown
  - Existing businesses overall have grown
  - New small businesses have established
  - The economy has diversified into higher added-value business
  - Jobs for young people have been created
- Operation of the Council
  - Corporate Support and Overheads reduce
  - The efficiency of the Council has been improved
  - New income streams have been created
  - Commercial operating is increasing across the Council

12. The framework for savings proposals includes:

- Redesign and restructure of services in Adults, Children’s and Commissioning Services,

- Working with our partners to find alternative delivery solutions for a number of front line services,
- Action to reduce corporate support costs and overheads
- Delivering new income streams across the Council
- A new Digital Strategy to improve ICT efficiency
- Changes to reduce costs and increase benefits from contracted, external service delivery
- Creation of a new enterprise and commercial services section within the Council to drive a more commercial approach to service delivery

13. The overall impact of this framework of proposals is being formulated alongside the Corporate Plan with performance measures identified alongside financial targets. To date, proposals that have been formulated into resilient plans amount to £8.5m, with a further £9.985m for later years recommended for approval on 13 July 2016. This still leaves an ongoing funding shortfall in the medium to long term for which proposals will continue to be brought forward within the funding envelope and framework as described above.

14. Shropshire Council in the last 12 months has accelerated its partnership working at a strategic level both to seek out new opportunities that will benefit Shropshire directly as well as contributing to wider areas of work that benefit a wider geography but will reap longer term benefits to the county. Examples include our involvement in the West Midlands Combined Authority as a non-constituent member where discussions have already begun on key strategic areas of focus such as a Land Commission for the WMCA and also the establishment of a Growth Company.

In February 2016 Shropshire also formally became active members in the Northern Gateway Partnership – established by Cheshire East to realise the benefits of HS2 coming to Crewe. For Shropshire there are real benefits for the county along the A500 corridor.

Shropshire, alongside Telford and Wrekin and Herefordshire Councils have also been finalising the devolution proposals that will be forwarded to the DCLG in the summer in anticipation of a future ‘challenge session’ before a formal submission by the end of the year.

Most recently, Shropshire has worked with 10 other public sector partners including the CCG, West Mercia Police, DWP and Shrewsbury and Telford Hospitals to mention a few, in establishing the Shropshire Estates Partnership and have recently secured £50,000 from the LGA/Cabinet Office to develop a detailed Assets and Service Delivery Plan as we look to create greater efficiencies across the public sector estate.



15. There is considerable uncertainty around public finances at the present time including the impact of 100% Local Business Rates Retention, the impact of potential devolution plans of which Shropshire is currently actively working with four, changes in service delivery responsibilities and the impact of the recent EU referendum decision. These uncertainties prevent the Council from gaining a clear understanding of its financial envelope into the future.
16. The Council's Corporate Plan sets out the high level outcomes for the Council over the next four-year period (<http://shropshire.gov.uk/committee-services/ieListDocuments.aspx?CId=130&MId=3358&Ver=4>). The Council is planning to use a mixture of confirmed efficiency plans (as mentioned above) alongside a number of one-off proposals to manage the budget over the next 2 years. This will allow sufficient time to produce detailed delivery plans resulting in a long term Sustainable Business Model within the framework mentioned above. The Council feels strongly that it is important to consider fully the options for changes to services understanding the risks and potential benefits and ensuring wherever possible the outcomes for Shropshire and its residents remain good. It is also hoped that, over the medium term, there will be more information around some of the uncertainties referred to above which will allow the Council to better plan sustainable service delivery. The new flexibility around the use of Capital receipts will support the Council's financial strategy over the next 3 years to facilitate this.

	2016/17 (£m)	2017/18 (£m)	2018/19 (£m)	2019/20 (£m)
Estimated Gross Resources		563.2	559.3	562.1
Growth Model estimate of Gross Expenditure		576.9	579.5	590.7
Core Funding Gap		13.7	20.2	28.6
Efficiency Proposals:				
Resilient Plans approved in Growth Model Figure (to 13.07.16)		17.0	1.4	0
Framework Proposals (developed alongside Corporate Plan)				28.6
Short Term Proposals approved (to 13.07.16)		13.7	20.2	0

Remaining Gap	0	0	0	0
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### Proposed Use of new Flexibilities around the use of Capital Receipts

17. The greater flexibilities around the use of capital receipts offered in the financial years 2016 to 2019 allow the Council to utilise capital receipts generated in this period to fund the revenue costs of service reform. The key criteria to use when deciding whether expenditure can be funded by the capital receipts flexibility is that it is forecast to generate ongoing savings to an authority's (or several authorities'), and/or to another public sector body's net service expenditure.

18. Over the 3 year period 2016/17 to 2018/19, Shropshire proposes to use the flexibility as follows:

- £12.5m to fund redundancy costs. This is in line with an average annual cost of redundancy of approximately £4.1m over the last 5 years and will allow the council to manage service redesign and restructure changes.
- IT Digital Transformation is estimated to cost £20.268m over the three-year period. This will involve a complete review of the Council's IT infrastructure and deliver significant efficiency savings estimated to reach £8.9m per annum and an overall return on investment by year 4. The full report can be found by clicking on the link below:  
<http://shropshire.gov.uk/committee-services/documents/b10729/To%20Follow%20Report%2011th-May-2016%2011.00%20Cabinet.pdf?T=9>
- Replacement of Adults and Children's Social Care IT system is estimated to cost £5.185m over the three-year period. This project will update and upgrade the current social care processes with a new IT System to ensure the quality and delivery of social care services for the adults and children of Shropshire are provided in the most cost effective way. The system will also improve the quality of management information which will increase the ability to drive greater efficiency from service and contract delivery. The replacement of the IT System is estimated to delivery efficiency savings estimated to reach £2.2m per annum and an overall return on investment by year 4. The full report can be found by clicking on the link below:  
<http://shropshire.gov.uk/committee-services/documents/g3193/Public%20reports%20pack%2027th-Apr-2016%2012.30%20Cabinet.pdf?T=10>

The split over the three financial years is shown in the table below:

	2016/17 £m	2017/18 £m	2018/19 £m	Total £m
Redundancy costs	4.143	4.143	4.143	12.429
IT Digital Transformation	12.824	6.620	0.824	20.268
Adults and Children's Social Care IT system IT	3.331	1.816	0.038	5.185
Total per annum	20.298	12.579	5.005	37.882

### Prudential Indicators

19. The attached report (link below) sets out the Council's prudential indicators for 2016/17. These indicators are designed to ensure that the Council's capital borrowing is affordable and does not place undue burden on the Council's revenue budget or Council tax payers (i.e. the cost of servicing the interest paid on capital borrowing). This report forms part of the overall service and financial planning strategy which was approved at full Council on 25 February 2016.

<http://shropshire.gov.uk/committee-services/documents/g2927/Public%20reports%20pack%2025th-Feb-2016%2010.00%20Council.pdf?T=10>

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Committee and date

Cabinet

13<sup>th</sup> July 2016

## SHROPSHIRE COUNCIL EQUALITY OBJECTIVES ACTION PLAN 2016/2020

**Responsible Officer** George Candler, Director of Commissioning  
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### 1. Summary

- 1.1 This report outlines the corporate approach of Shropshire Council towards continuing compliance with its Public Sector Equality Duty (PSED), as set out in the Equality Act 2010, including the requirement to publish a corporate Equality Objectives Action Plan for the period 2016/2020.
- 1.2 Corporate Equality Objectives Action Plans are required to be published by local authorities at a minimum of four yearly intervals. Approval is accordingly sought for the 2016/2020 draft document attached as appendix to this report.
- 1.3 Progress being made by Shropshire Council builds upon the first Equality Objectives Action Plan 2012/2016, endorsed by Cabinet in 2012. This was updated in 2014, following a mid-cycle stocktake of compliance with the PSED, with the inclusion of actions to publish more visibly, collect and analyse more proactively, and work more jointly on equality-related issues.
- 1.4 Emphasis subsequently placed upon such actions is aiding the Council to meet its general equality duty under the PSED. This may be described as the duty on a public authority, when carrying out its functions, to have what is called *due regard* to three equality aims.
- 1.5 These are:
  - Eliminating discrimination, harassment and victimisation;
  - Advancing equality of opportunity;
  - Fostering good relations.
- 1.6 The Equality Objectives Action Plan 2016/2020 will enable up to date positioning of the Council to assist in efforts to meet its PSED, seek to demonstrate good practice in so doing, and facilitate timely links with other corporate policy and strategy development, utilising the core value of Equality and Inclusion as set out in the Council's draft Corporate Plan 2016/2017.

- 1.7 This value is defined as: *“Treating everyone as equal regardless of their circumstances and backgrounds, and identifying and helping people who may need support”*. The Equality Objectives Action Plan for 2016/2020 accordingly sets out ways in which the Council may demonstrate application of this and other corporate values, and ongoing progress towards achieving the national equality aims.

## **2. Recommendations**

- 2.1 Cabinet agrees to the publication of Shropshire Council’s Equality Objectives Action Plan for 2016 to 2020, in line with the Public Sector Equality Duty.
- 2.2 Cabinet notes the progress made in this policy arena and the necessary and optimum linkages to be made between this document, the Corporate Plan 2016 to 2017, and associated corporate and partnership documentation, as part of good practice approaches towards meeting the needs of the diverse communities served by the Council and partners.
- 2.3 Cabinet agrees to receive a progress report on equality developments at local, regional and national level at a timely future date, at which point further recommendations may be tabled.

## **REPORT**

### **3.0 Risk Assessment and Opportunities Appraisal**

#### **3.1 Risk Management**

- 3.1.1 The Equality Act 2010 legislation states that a listed authority must comply with both a general equality duty and with specific duties, as set out in the Act and described as the Public Sector Equality Duty (PSED).
- 3.1.2 To demonstrate full compliance with the general duty, we are required to publish annual information about our workforce diversity and service user diversity. In order to demonstrate full compliance with the specific duties, we are required to publish one or more equality objectives which we think we should achieve. The frequency for these is a minimum of every four years.
- 3.1.3 The regulations also specify that a listed authority must publish its equality information and equality objectives in a manner which is accessible to the public and may publish this information within another published document. Diversity reports are therefore on the Council website, along with the equality objectives action plan 2012/2016 and the stocktake report published in 2015.
- 3.1.4 If the Council did not publish an action plan for the period 2016/2020, it would not be in a position to readily demonstrate compliance with the PSED. This would represent a major risk, not least in reputational terms, as it would involve breach of legal obligation, affect more than one group of stakeholders,

attract medium-term attention of legislative or regulatory bodies and potentially attract significant adverse media interest.

- 3.1.5 Publication of the Equality Objectives Action Plan for 2016 to 2020 will allow the Council to further collaborate with communities and partners at a local level, with stakeholders at a local and sub-regional level, and with Government at a national level, in order to maximise the opportunities for the County to realise its policy intentions as per the core corporate value, of: “Treating everyone as equal regardless of their circumstances and backgrounds, and identifying and helping people who may need support”
- 3.1.6 One risk of not taking this opportunity to be up to date and compliant is that it could weaken the efforts we make to influence sub-regional and national policy, where we have for example been proactive in leading social inclusion efforts through the Shropshire Voluntary and Community Sector Assembly and the Marches LEP, and to parliamentary select committee inquiries, where we have engaged in dialogue on Holocaust Memorial Day and ensured inclusion of digital and social inclusion issues in responses made to committee inquiries on productivity and economy.
- 3.1.4 Another risk is that it could be seen as ignoring the needs of the vulnerable and those at risk of social exclusion, despite the fact that such individuals form wider groupings of people who need to be identified and who may need support either as individuals or as groupings.

### **3.2 *Equalities, Human Rights and Community***

- 3.2.1 An Equality, Social Inclusion and Impact Assessment (ESIIA) has been completed with regard to the draft Equality Objectives Action Plan for 2016 to 2020 and is attached to this report.
- 3.2.2 ESIIAs need to be reviewed on a regular basis and modified to reflect increasing depth of evidence from customers and communities about positive or negative impact of service changes on people in Protected Characteristics groupings, and people at risk of social exclusion. Failure to have considered and undertaken a robust ESIIA could potentially result in proceedings being taken against us for failing to have considered equalities and social inclusion.

### **4.0 Financial Implications**

- 4.1 For 2016/2017 and future years, it is anticipated that the specialist staffing resource will be met from within existing commissioning unit budgets, and that staff time within service areas including Human Resources will be the main cost item for the Council.

### **5.0 Background**

#### **5.1 Equality**

- 5.1.1 Organisations are expected by national and international governments and bodies to have policies and practices that address equality and diversity

effectively, and that place these matters at the heart of all decision making processes. For Shropshire Council, equality is about using national laws and policies alongside local commitments to protect human rights and to remove unfairness and discrimination.

5.1.2 In order to demonstrate proactive commitment to equality, the Council needs to be able to:

- Understand the social, economic and environmental context in which it operates;
- Forecast likely changes and challenges to any or all of the above;
- Ensure that the Council is equipped to continue to deliver on national and international equality aims and local policy drivers.

5.1.3 In so doing, the Council is mindful of **national and international policy and legislation**, including the Equality Act 2010. The Equality Act 2010, together with the Human Rights Act 1998 and the UN Convention on the Rights of the Child, forms a robust framework of protection for equality, diversity, social inclusion and human rights.

5.1.4 In complying with the Act, and in seeking to be proactive, we show that we meet what is called the **Public Sector Equality Duty (PSED)**. This legislation states that a listed authority must comply with both a general equality duty and with specific duties, as set out in the Act.

5.1.5 The **general equality duty** may be described as the duty on a public authority, when carrying out its functions, to have what is called **due regard** to the three equality aims.

These are:

- Eliminating discrimination, harassment and victimisation;
- Advancing equality of opportunity;
- Fostering good relations.

5.1.6 To demonstrate full compliance with the **specific duties**, the Council is required to publish:

- information about workforce diversity and about service user diversity, to demonstrate compliance with the general duty. The frequency for this is annual, with effect from 31<sup>st</sup> January 2012. The published information *“...must include, in particular, information relating to persons who share a protected characteristic who are: its employees (for listed authorities who employ 150 or more staff); and other persons affected by its policies and practices (for example, service users”*) (“Technical Guidance on Public Sector Equality Duty for England”; Equality and Human Rights Commission, 2013; ISBN 978 1 84206 475 7; p.68, paragraph 6.7)



- one or more equality objectives which the Council thinks should be achieved to help with any of the things mentioned in the general equality duty. The frequency for these is a minimum of every four years, with effect from 6<sup>th</sup> April 2012.

## 5.2 Social Inclusion

5.2.1 Equal opportunities form a core element of good policy making around healthy, resilient and prosperous communities. This is partly in recognition that greater economic activity by all groups in society contributes to and boosts the local economy as well as aiding individual prosperity and wellbeing. A society in which everyone feels valued, and where their skills and talents are used to the full, is a productive and resourceful society. It is also about social inclusion. A society in which everyone feels they have a part to play, and in which people respect the views of other people, is a resilient and caring society.

5.2.2 When we talk about **society**, we are talking about the individuals and about the various or diverse groups who collectively make up society. This includes what we may call the vulnerable and those in need, as well as groups who happen to have something in common such as their age or their gender.

5.2.3 When we talk about **social inclusion**, the groups that we are thinking of in particular are: families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; and people considered to be vulnerable.

5.2.4 When we talk about people who are **vulnerable**, the definition that we are using to describe a vulnerable person is:

*“An individual who is identified as having complex needs and/or requires additional support to enable them to access services and support”*

5.2.5 **Complex needs** may be described as difficult personal circumstances and/or life events that affect individuals. The following list of circumstances and events is intended to be illustrative rather than exhaustive: alcohol and/or drug dependency; bereavements; adopted from care or leaving care; indebtedness; divorcing or terminating a civil partnership; experiencing redundancy, retirement or unemployment; experiencing homelessness; leaving the armed forces; leaving hospital; people who are victims of crime including domestic violence; people with one or more of the nine national Protected Characteristics.

5.2.6 When we talk about the **nine 'protected characteristics' groups**, these are something that we look at as well as social inclusion when considering the PSED obligations. The groups are, in alphabetical order:

- Age;
- Disability;
- Gender reassignment;

- Marriage and civil partnership;
- Pregnancy and maternity;
- Race;
- Religion and belief;
- Sex;
- Sexual orientation.

5.2.7 A key Council role, endorsed by the wider community through views expressed in the 'Big Conversation', and supported by staff, is to look out for the groups described as having protected characteristics, and in particular for the vulnerable. By interacting with all our communities and groupings within them, we also understand their needs better and include them more in our strategic thoughts and actions.

5.2.8 As with all of our communities of place and interest, we aim to involve people in ways in which they may want to be involved, can be encouraged to do so, and are able to do so, in order to support and sustain them as resilient communities. Our focus on locality working relates directly to this aim.

5.2.9 Considering equality, diversity and social inclusion enables us to plan and deliver services that are responsive to the needs of our diverse communities, with a workforce that is representative of those communities and that is sensitive to the needs of those communities. We do this in partnership not only with other public sector bodies but also with the business sector and the voluntary and community sector. Where this involves organisations arranging and delivering services on our behalf, for example where we have commissioned a service, they are expected to demonstrate that equality and diversity are similarly at the core of their own strategic thoughts and actions

### **5.3 Publish more visibly**

5.3.1 Good practice suggests that a visible and coherent suite of documentation around equality, diversity and social inclusion demonstrates openness and transparency. It also provides an accessible route to the information and actions contained therein. There is now a dedicated section on the external website, to aid in this endeavour. This may be found as follows: [Equality, diversity and social inclusion – Shropshire Council](#)

5.3.2 The Council sets out to visibly demonstrate equal treatment to people who are in Protected Characteristic groupings and people at risk of social exclusion, and to people who are not, through having what is termed 'due regard' to their needs and views when developing policy and strategy and when commissioning, procuring, arranging or delivering services.

5.3.3 In order to better understand the impact of policies and decisions on all issues relating to equality, and to do this in a consistent way across the Council, equality impact assessments are carried out. The assessments are completed using standard templates, referred to as **Equality and Social Inclusion Impact Assessments (ESIAs)**. They were revised in 2014 to include an emphasis on social inclusion, and to combine guidance and evidence into one document for ease of access and usage.

- 5.3.4 An online resource library of ESIIAs is published in one place on the website together with the refreshed guidance, in order to help internal and external audiences to understand what is expected and why, and in order to show use made of these impact assessments in decision making. In addition, steps are being taken to embed the ESIIA approach through one to one support to service area managers, in liaison with Human Resources Team. The online library is located as follows: [Equality and social inclusion impact assessments \(ESIIA\) – Shropshire Council](#)
- 5.3.5 The needs of rural communities are also factored into this process and into other ways in which we develop and assess policy and strategy, such as rural proofing of policies. This is in recognition of the fact that Shropshire is a large, predominantly rural and sparsely populated authority. There are therefore practical challenges and costs for the Council and partners in delivering services, and for communities in finding out about and accessing services.

#### **5.4. Collect and analyse more proactively**

- 5.4.1 The Council's Service User Diversity Report sets out to share information and statistics about the diversity of Shropshire Council's service users and communities. Published on an annual basis, the service user diversity report sets out to act as a complementary report to diversity information also required to be published on an annual basis about the workforce.
- 5.4.2 The majority of the equality and diversity information that the Council holds relating to service users is collected and monitored within service areas. They use such data in order to help develop and refine policy and strategy, design services, assess and improve performance, and make best use of resources.
- 5.4.3 The Council also makes efforts to collect demographic data on diversity of the population through use of a standard monitoring chart at public events. The Voluntary and Community Sector Assembly (VCSA) has kindly acted as a pilot in this regard, with two years of data now starting to add to corporate evidence bases on equality.
- 5.4.4 Alongside encouraging proactive and systematic collection of equality data at service area and partnership level, the Council also endeavours to influence national policy. This year, the Council made a detailed submission to ONS with regard to content being considered for the national 2021 Census. The Council shared this submission across the Marches Local Enterprise Partnership (LEP). A cohesive corporate response was submitted through the Performance, Intelligence and Policy Team.

#### **5.5 Work more jointly**

- 5.5.1 The Council collects and uses equality and diversity data as part of a range of partnership and corporate approaches towards meeting the needs of service users. These approaches involve consultation and engagement with current and potential service users, communities, and stakeholders such as housing developers, social care providers, the Marches LEP, and voluntary and community sector bodies.

- 5.5.2 Good practice is also sought out in the field of equality and diversity policy from public sector bodies and other local authorities. Examples include Cornwall, Cumbria, Gloucestershire and Leicestershire local authorities, and Southend Borough Council, whose good practice we adopted in relation to the planting of cherry trees to mark Holocaust Memorial Day.
- 5.5.3 In this example, the Council is committed to helping children and young people to understand the messages of the Holocaust in ways that are age appropriate and useful. With this in mind, we have focussed on working with primary school children. After planting a first Holocaust Memorial Day cherry tree in 2015, with children from Mereside Church of England (CofE) Primary School in Shrewsbury, we are now starting to grow a cherry tree orchard of remembrance across Shropshire.
- 5.5.4 Mereside Primary School also produced a resource pack on the Holocaust, linking it with the Jewish tree festival of Tu B'Shevat. The resource pack was circulated to all primary schools across the county ahead of Holocaust Memorial Day. We went back to the school this year to see how the first tree was growing, and held an interfaith commemoration ceremony. A second HMD cherry tree was then planted in a further interfaith ceremony at Woodside Academy in Oswestry, in the north of the county. Our intention is for a third cherry tree, again a Black Oliver fruit tree local to the West Midlands, to be planted in the south of the county in 2017.

## **5.6 Next Steps for 2016/2020**

- 5.6.1 We will continue to target our efforts at finding out where there are gaps in equality and diversity data, and in finding out where there may be barriers to accessing particular services, for people with one or more of the Protected Characteristics and for people who are at risk of social exclusion.
- 5.6.2 This will help us to demonstrate adherence to the Corporate Value for Equality and Inclusion: "Treating everyone as equal regardless of their circumstances and backgrounds, and identifying and helping people who may need support".
- 5.6.3 The draft Equality Objectives Action Plan 2016/2020 accordingly continues the policy imperatives to publish more visibly, collect and analyse data more proactively, and work more jointly, strengthened by the knowledge we are starting to gain to about our diverse communities and their diverse needs, to help us to make quality decisions about policies, strategies and service changes rooted in robust evidence.

## **6.0 Additional Information**

- 6.1 The Council's draft Corporate Plan 2016/2017, also an agenda item to the 13<sup>th</sup> July 2016 Cabinet meeting, sets out the following core values in which equality and inclusion is explicitly defined as a core value and is implicit to the overall ethos and mission of Shropshire Council, which is:

***“To be an excellent organisation working with partners to protect the vulnerable, create the conditions for economic growth, and support communities to be resilient.”***

6.2 Our values drive our behaviour and demonstrate to our communities, our staff and our partners what we see as being important. These are in alphabetical order, because they are equally important:

<b>Value</b>	<b>Description</b>
<b>Environment</b>	Leading the way in protecting, enhancing and valuing our natural resources, and respecting our historic environment.
<b>Equality and inclusion</b>	Treating everyone as equal regardless of their circumstances and backgrounds, and identifying and helping people who may need support.
<b>Excellence</b>	Striving for excellence in every aspect of what we do, and using our resources wisely and responsibly in partnership with others to maximise their impact.
<b>Fairness</b>	Being fair, open and honest, acting with integrity, and expecting the same in others.
<b>Innovation</b>	Striving to improve, to learn from others, to encourage entrepreneurship and to explore new approaches with enthusiasm.
<b>Listening</b>	Demonstrating that we are listening and responding to communities, partners and staff, and treating views with respect.
<b>Partnership</b>	Working collaboratively with communities and partners to benefit the people of Shropshire.
<b>Self-reliance</b>	Encouraging people to be as independent and in control of their lives as possible, for as long as possible.

## **7.0 Conclusions**

7.1 Having an up to date corporate Equality Objectives Action Plan in place will assist the Council to demonstrate compliance with its legal requirements under the Equality Act 2010, as well as enabling action on a range of strategic equality initiatives and activities across service areas of the Council, including joint projects, appropriate training and support to elected Members and officers, and service area equality and social inclusion impact assessments.

7.2 It will additionally aid efforts to continue to increase the depth, breadth and focus of the evidence base about the people who live and work in Shropshire. This helps the Council to maintain its strategic and service area level data in order to be positioned to meet future ambitions, challenges and changes such as public sector reform.

7.3 Endorsement of the Plan also affords this Council the chance to continue to work closely with communities, and strengthen collaborative working arrangements across all sectors, with partners including other local authorities and business leaders. This will not only aid achievement of local corporate

and partnership outcomes but also aid progress to continue to be made towards achieving national equality aims, ie:

- Eliminating discrimination, harassment and victimisation;
- Advancing equality of opportunity;
- Fostering good relations.

**List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)**

Equality Act 2010

Shropshire Council Draft Corporate Plan 2016/2017

Technical Guidance on Public Sector Equality Duty for England; Equality and Human Rights Commission, 2013; ISBN 978 1 84206 475

**Cabinet Member (Portfolio Holder)**

Cllr Cecilia Motley, Portfolio Holder for Rural Services and Communities

**Local Member**

All Members

**Appendices**

Appendix A: Shropshire Council Equality Objectives Action Plan 2016/2020: Draft

Appendix B: Equality and Social Inclusion Impact Assessment of the Draft

Shropshire Council Equality Objectives Action Plan 2016/2020

**Appendix A to Report to Cabinet 130716: Shropshire Council Corporate Equality Objectives Action Plan 2016/2020 DRAFT**

**Overall Strategic Action A: publish more visibly**

Key Action	By whom	By when	Commentary
<p>A. i.) Organise online resource materials on equalities, diversity and social inclusion into one location on the external website at <a href="http://www.shropshire.gov.uk">www.shropshire.gov.uk</a>, so that information is presented as logically and visibly as possible, with links to further material that may be helpful, and keep under review to ensure timeliness and relevance.</p>	<p>Rurality and Equalities Specialist, Performance Intelligence and Policy Team; Digital Services Officer</p>	<p>July 2014, with review every three months thereafter</p>	<p>The focus is on the internet, for internal and external audiences alike, whilst efforts continue to aid digital inclusion and offer alternatives such as support and advice via telephone.</p> <p>Initial reorganisation and revision of online materials on equality, diversity and social inclusion completed July 2014, together with updated contextual information about equality, diversity and social inclusion. Further material added around Holocaust Memorial Day activities February 2015 and 2016.</p> <p>The web location for content is badged: “equality, diversity and social inclusion”</p>
<p>A. ii.) Publish examples of Equality and Social Inclusion Impact Assessments (ESIAs) in one place on the website together with the refreshed guidance, in order to help internal and external audiences to understand what is expected and why, and in order to show use made of these impact assessments in decision making</p>	<p>Rurality and Equalities Specialist, Performance Intelligence and Policy Team; Digital Services Officer</p>	<p>Ongoing, with annual reviews in September linked to annual service user diversity report</p>	<p>Equality impact assessment materials revised August 2014, as part of production of a single Equality, Diversity and Social Inclusion Strategy to pull together policy documentation and associated practical guidance materials. These ESIAs combine guidance and evidence template into one document for ease of access and usage.</p>

Key Action	By whom	By when	Commentary
A. iii.) Publish and present contextual equality information in a range of ways and through local, national and European opportunities that arise, in order to enable use to be made in corporate and service area policy and strategy development of all opportunities to aid social inclusion.	Commissioning Unit Manager; Performance Intelligence and Policy Team; Communications Team; Service Areas	Ongoing	Examples collated and online presence utilised, including partner organisation websites and Marches LEP website. An example would be Census profiles, and the annual service user and workforce diversity monitoring reports.
A. iv.) Utilise appropriate communication channels including social media and face to face, in order to promote opportunities to foster good relations between people from diverse communities of place and interest as well as people with Protected Characteristics.	Commissioning Unit Manager; Digital Services Manager; Community Enablement Team; Customer Service Team; Communications Team	Ongoing	Examples collated and online presence utilised, including partner organisation websites and Marches LEP website. An example would be detail about Holocaust Memorial Day activities, published as press releases, and as a mini-site on the Council website, featured in local media and recorded on the national Holocaust Memorial Day Trust website. Other examples would be linkages being made to support corporate work to welcome Syrian refugees to the county.



**Overall Strategic Action B: collect and analyse more proactively**

Key Action	By whom	By when	Commentary
<p>B. i.) Analyse service user and community profile evidence base and report back in annual service user diversity reports, in order to prioritise where the gaps are in the evidence base and seek to fill them.</p>	<p>Commissioning Unit Manager; Rurality and Equalities Specialist; Performance Intelligence and Policy Team; Service Areas</p>	<p>September 2016; reviews each year linked to annual service user diversity report</p>	<p>Comparison work undertaken into Cornwall, Cumbria, Gloucestershire, Leicestershire and Warwickshire approaches. Research underway into projected population shift in specific locations eg increasingly elderly population in rural areas</p>
<p>B. ii.) Collect data about service user participation in service area activity and about participation by partner organisations and the wider community in service area activity and in public events including consultation opportunities</p>	<p>Commissioning Unit Manager; Rurality and Equalities Specialist; Performance Intelligence and Policy Team; Service Areas; Community and Voluntary Sector Assembly</p>		<p>Collection involves usage of a standard monitoring chart at public events. The Voluntary and Community Sector Assembly (VCSA) has kindly acted as a pilot in this regard, and will continue to use it at public events. The chart has previously been used as an interactive and non-intrusive way to gather such information from members of the community in upwards of 40 community toolkit events within rural parishes and market towns. It was also adapted for use in adult social care consultation event involving service users and carers, where again it was used as an interactive tool with use of stickers.</p> <p>The leisure service area has agreed to act as a pilot for 2016 and 2017 in more extensive recording of equality data, using the diversity chart where possible.</p>

Key Action	By Whom	By When	Commentary
B. iii.) Analyse internal information on workforce, and compare with good practice authorities, in order to identify and comment on trends and prioritise where the gaps may be in representation within the workforce of groups with Protected Characteristics.	Human Resources Team; Rurality and Equalities Specialist, Performance Intelligence and Policy Team	September 2016; reviews each year linked to annual workforce diversity report	Comparison work undertaken.  Positive approaches towards recruitment and retention link to research into projected population shift in specific locations eg influx of students to new university in Shrewsbury
B. iv.) Identify good practice in training and guidance around discrimination, harassment or victimisation, including around recruitment, induction and retention, and where appropriate introduce this as part of Shropshire Council training programmes and briefings for officers and elected Members.	Human Resources Team; Rurality and Equalities Specialist, Performance Intelligence and Policy Team	March 2016; reviews each March linked to preparation of annual workforce diversity report	Research undertaken into how other rural authorities, public sector organisations eg NHS Foundation Trusts, and the private sector and voluntary and community sector approach training and guidance.  This is shared with Human Resources and with Employment Services, to particularly aid in appointing officer training, linked to safeguarding; in one-off support and guidance; in induction of new employees and elected Members; and in preparation of annual workforce diversity report.
B. v.) Evaluate perceived effectiveness of briefings and training programmes, in order to ensure officers and Members feel equipped and encouraged to come forward where any such incidents occur	Human Resources Team; Performance Intelligence and Policy Team; Communications Team	March 2017	Initial review in March 2016; further discussions to be undertaken into how this may best also be achieved for town and parish councils and other partner organisations

Key Action	By whom	By when	Commentary
B. vi.) Evaluate perceived effectiveness of communication methods for people experiencing or observing discrimination, harassment or victimisation, in order to ensure that service users and members of the public feel equipped to come forward where any such incidents occur, including perceived hate crime	Joint Agency Hate Crime Reporting Group; Community Safety Team; Feedback and Insight Team; Communications Team; Shropshire Council Service Areas	September 2016	<p>Easy-to-understand hate crime reporting forms are an action to be progressed.</p> <p>Corporate evaluation links to corporate research into projected population shift in specific locations eg influx of students to new university in Shrewsbury, and to support for corporate work to welcome Syrian refugees to the county.</p> <p>Service area evaluation will be sought for 2016 annual service user diversity report</p>
B. vii.) Evaluate perceived effectiveness of refreshed inter agency hate crime reporting materials, in order to ensure officers and Members feel equipped and encouraged to make use of these and refer the community to these where any such incidents occur	Joint Agency Hate Crime Reporting Group; Community Safety Team; Feedback and Insight Team; Communications Team; Shropshire Council Service Areas	March 2017	<p>Launch of refreshed inter agency hate crime material, including leaflets, cards and posters with updated list of local reporting centres, formed part of Cultural and Diversity Day in Shrewsbury on 25<sup>th</sup> July 2015. Further discussions to be undertaken into how training and support may best be achieved for Shropshire Council officers and Members, town and parish councils and other partner organisations</p>
B. viii.) Establish current patterns of hate crime incident reporting, in order to help target inter agency efforts to collect and monitor such data, and to publicise reporting channels including online	Joint Agency Hate Crime Reporting Group; Community Safety Team; Communications Team	Ongoing	<p>Efforts are underway to estimate the number of people who experience hate incidents or crimes, and explore the feasibility of further research to analyse levels of hate crime under reporting in the county. Progress reports are made to the Hate Crime Reporting Group</p>

**Overall Strategic Action C: work more jointly**

Key Action	By whom	By when	Commentary
<p>C. i.) Share materials across sectors, in order to pool resources for maximum effect and increase understanding amongst the general public, service users and communities of the challenges faced by people with Protected Characteristics and people at risk of social exclusion.</p>	<p>Commissioning Unit; Communications Team; Community Enablement Team; Marches LEP Social Inclusion Mini Group; Shropshire Voluntary and Community Sector Assembly; other strategic and collaborative partnership working arrangements</p>	<p>Ongoing; actions to be planned for 2016/2017</p>	<p>Explore feasibility of running joint sub-regional local events on specific topics, supported by officers in the Commissioning Unit to aid linkages across sectors and organisational boundaries eg mental well-being and employment, eg digital skills.</p> <p>Explore potential actions through the Marches LEP Social Inclusion Mini Group, to follow up on activity already completed.</p>
<p>C. ii.) Promote Holocaust Memorial Day, 27<sup>th</sup> January each year across the county and more widely</p>	<p>Commissioning Unit; Inter Faith Forums; Communications Team; Community Enablement Team; Digital Services Team; Outdoor Recreation Team; libraries; primary and secondary schools and colleges; town and parish councils.</p>	<p>January each year</p>	<p>Activities are focussed on work with primary schools and interfaith forums. In January 2016, this comprised cherry tree planting at Woodside Academy; and measuring of first cherry tree at Mereside CE Primary School, with inter faith services, plus sharing of Mereside resource pack with all primary schools.</p> <p>Further work is planned to link with national work on Holocaust Education Details about activities are published as press releases, as a mini-site on the Council website, and via the national Holocaust Memorial Day Trust website.</p>

Key Action	By Whom	By When	Commentary
C. iii.) Continue to promote national events, in order to pool resources for maximum effect and increase understanding amongst the general public, service users and communities of the challenges faced by people with Protected Characteristics and people at risk of social exclusion.	Commissioning Unit; Service Areas; Communications Team; other strategic and collaborative partnership working arrangements	Ongoing	Commissioning Unit officers monitor calendar details of key dates and events, and disseminate to Members and senior officers with relevant briefing as appropriate, eg World Mental Health Day, 10 <sup>th</sup> October each year
C. iv.) Evaluate perceived effectiveness of joint local events and initiatives and joint promotion of national events in helping service users and communities to feel better equipped to recognise discrimination, harassment and victimisation against groups and individuals, and to feel better able to know what to do next.	Commissioning Unit; Service Areas; Communications Team; Voluntary and Community Sector Assembly; Marches LEP; other strategic and collaborative partnership working arrangements,	March 2017	Evaluation will involve elected Members, and relevant external organisations and partnerships. An example would be Holocaust Memorial Day: this includes the South Shropshire Interfaith Forum and the Shrewsbury Interfaith Forum, who are linked into the VCSA (Voluntary and Community Sector Assembly); local primary schools, and local Members for the schools involved
C. v.) Identify good partnership practices at local and national level in achieving progress towards the three national equality aims, ie.: eliminating discrimination, harassment and victimisation; advancing equality of opportunity; and fostering good relations, in order to aid Shropshire Council to meet its general equality duty under the Public Sector Equality Duty and to monitor application of the new corporate value of "Equality and Inclusion".	Rurality and Equalities Specialist, Performance Intelligence and Policy Team	March 2017	Utilise examples such as the new NHS workforce race equality standard to develop an equality and inclusion outcomes framework that will draw upon corporate and partnership measures of the impact on the community of local and joint work on equality and inclusion, and in so doing help meet the three equality aims as well as monitor application of corporate values. This is anticipated to feature support to staff in understanding the PSED and in making use of ESIIAs for service changes.

Key Action	By whom	By when	Commentary
C. vi.) Identify good practice in training and guidance on developing and maintaining good relations, including around recruitment, induction and retention, and where appropriate, introduce this as part of Shropshire Council training programmes and briefings for officers and elected Members.	Human Resources Team; Rurality and Equalities Specialist, Performance Intelligence and Policy Team	March 2016; reviews each March linked to preparation of annual workforce diversity report	<p>Research undertaken into how other rural authorities, public sector organisations eg NHS Foundation Trusts, and the private sector and voluntary and community sector approach training and guidance.</p> <p>This is shared with Human Resources and with Employment Services, to particularly aid in appointing officer training, linked to safeguarding; in one-off support and guidance; in induction of new employees and elected Members; and in preparation of annual workforce diversity report.</p>
C. vii.) Evaluate increased understanding amongst officers and elected Members about the challenges faced by people with Protected Characteristics and people at risk of social exclusion	Human Resources Team; Rurality and Equalities Specialist, Performance Intelligence and Policy Team	March 2017	<p>Initial review in March 2016; further discussions to be undertaken into how this may best also be achieved for town and parish councils and other partner organisations.</p> <p>eg Community Enablement Teams have an ongoing role to support elected Members in engaging and reaching all sections of their local community, in liaison with town and parish councils through mechanisms including Local Joint Committees.</p>

Key Action	By whom	By when	Commentary
C. viii.) Support positive joint approaches towards recruitment and retention of young people in local businesses across the sub region	Human Resources Team; Funding Team; Marches LEP Social Inclusion Mini Group	Ongoing, in line with corporate and partnership objectives	<p>Examples include HR Team support for the Marches Grad for Business (Growing Talent funded) placed graduates with local businesses across Shropshire, Telford &amp; Wrekin and Herefordshire. A graduate scheme also ran at Shropshire Council, where 21 graduates were placed between 2011 and 2015</p> <p>Work was also carried out with County Training to implement a pilot Mentoring of Traineeships amongst Shropshire Council Graduates from April 2015</p>
C. ix.) Utilise appropriate communication channels including social media and face to face, in order to promote opportunities to foster good relations between people from diverse communities of place and interest and people with protected characteristics	Commissioning Unit; Community Enablement Team; Customer Service Team; Communications Team	Ongoing	<p>Examples are collated and online presence utilised, including partner organisation and Marches LEP websites. One example is Holocaust Memorial Day (HMD), which includes mini-site on the Council website, features on local media, and publicity and recording of activities on the national HMD Trust website, thereby raising the profile of Shropshire as a welcoming place as well as providing opportunity for young people to work with representatives of a range of faith communities.</p>

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**Shropshire Council Cabinet Report 13<sup>th</sup> July 2016 Appendix B**  
**Equality and Social Inclusion Impact Assessment (ESIIA)**  
**Shropshire Council Equality Objectives Action Plan 2016/2020**

**Contextual Notes 2016**

***The What and the Why:***

The Equality and Social Inclusion Impact Assessment (ESIIA) approach helps to identify whether or not any new or significant changes to services, including policies, procedures, functions or projects, may have an adverse impact on a particular group of people, and whether the human rights of individuals may be affected.

This assessment encompasses consideration of social inclusion. This is so that we are thinking as carefully and completely as possible about all Shropshire groups and communities, including people in rural areas and people we may describe as vulnerable, for example due to low income or to safeguarding concerns, as well as people in what are described as the nine 'protected characteristics' of groups of people in our population, eg Age. We demonstrate equal treatment to people who are in these groups and to people who are not, through having what is termed 'due regard' to their needs and views when developing and implementing policy and strategy and when commissioning, procuring, arranging or delivering services.

It is a legal requirement for local authorities to assess the equality and human rights impact of changes proposed or made to services. Carrying out ESIIAs helps us as a public authority to ensure that, as far as possible, we are taking actions to meet the general equality duty placed on us by the Equality Act 2010, and to thus demonstrate that the three equality aims are integral to our decision making processes. These are: eliminating discrimination, harassment and victimisation; advancing equality of opportunity; and fostering good relations.

***The How:***

The guidance and the evidence template are combined into one document for ease of access and usage, including questions that set out to act as useful prompts to service areas at each stage. The assessment comprises two parts: a screening part, and a full report part.

**Screening (Part One)** enables energies to be focussed on the service changes for which there are potentially important equalities and human rights implications. If screening indicates that the impact is likely to be positive overall, or is likely to have a medium or low negative or positive impact on certain groups of people, a full report is not required. Energies should instead focus on review and monitoring and ongoing evidence collection, enabling incremental improvements and adjustments that will lead to overall positive impacts for all groups in Shropshire.

A **full report (Part Two)** needs to be carried out where screening indicates that there are considered to be or likely to be significant negative impacts for certain groups of people, and/or where there are human rights implications. Where there is some uncertainty as to what decision to reach based on the evidence available, a full report is recommended, as it enables more evidence to be collected that will help the service area to reach an informed opinion.

## Shropshire Council Part 1 ESIIA: initial screening and assessment

*Please note: prompt questions and guidance within boxes are in italics. You are welcome to type over them when completing this form. Please extend the boxes if you need more space for your commentary.*

### Name of service change

Shropshire Council Equality Objectives Action Plan 2016 to 2020.

### Aims of the service change and description

The corporate approach of Shropshire Council towards continuing compliance with its Public Sector Equality Duty (PSED), as set out in the Equality Act 2010, includes the requirement to publish a Corporate Equality Objectives Action Plan for the period 2016/2020.

Corporate Equality Objectives Action Plans are required to be published by local authorities at a minimum of four yearly intervals.

The draft Equality Objectives Action Plan for 2016 to 2020 builds upon the first Equality Objectives Action Plan 2012/2016, endorsed by Cabinet in 2012. This was updated in 2014, following a mid-cycle stocktake of compliance with the PSED, with the inclusion of actions to publish more visibly, collect and analyse more proactively, and work more jointly on equality-related issues.

Emphasis subsequently placed upon such actions is aiding the Council to meet its general equality duty under the PSED. This may be described as the duty on a public authority, when carrying out its functions, to have what is called *due regard* to three equality aims.

These are:

- Eliminating discrimination, harassment and victimisation;
- Advancing equality of opportunity;
- Fostering good relations.

The Equality Objectives Action Plan 2016/2020 will enable up to date positioning of the Council to assist in efforts to meet its PSED, seek to demonstrate good practice in so doing, and facilitate timely links with other corporate policy and strategy development, utilising the core value of Equality and Inclusion as set out in the Council's draft Corporate Plan 2016/2017.

This value is defined as: *"Treating everyone as equal regardless of their circumstances and backgrounds, and identifying and helping people who may need support"*. The Equality Objectives Action Plan for 2016/2020 accordingly sets out ways in which the Council may demonstrate application of this and other corporate values, and ongoing progress towards achieving the national equality aims.

### **Intended audiences and target groups for the service change**

The intended audiences and target groups for the corporate equality objectives action plan are: the wider community in Shropshire; groupings within that community including Protected Characteristic groupings and those at risk of social exclusion; actual and potential service users; Shropshire Council workforce and elected Members of the Council; stakeholders including constituent members of the strategic partnerships, particularly the Marches Local Enterprise Partnership, the Voluntary and Community Sector Assembly, the inter agency Hate Crime Reporting Group, and the Local Nature Partnerships of the Marches sub region; town and parish councils; local businesses including those with whom and through whom we do business as a Council; other public sector organisations; and at national level the Equality and Human Rights Commission, Government Departments, and the Rural Services Network.

### **Evidence used for screening of the service change**

In producing the corporate equality objectives action plan drafted up for 2016 to 2020, use has been made of evidence collected for annual service user and workforce diversity reports; learning points from actions completed for 2012 to 2016 for the first corporate equality objectives action plan and mid term stocktake; feedback from communities, stakeholders and staff in development of the Corporate Plan, in the ongoing Big Conversation, and via community and voluntary sector public events; data from Census 2001 analyses; Council and other contributions to national consultation on Census 2021; and good practice examples of approaches to equality and social inclusion, particularly in rural areas.

Refinements in approach have been made, using the existing evidence base at corporate and service area, to help to ensure that the action plan takes as much account as possible of the needs of the diverse communities of Shropshire, given its position as a large and predominantly rural county, its known demography as an ageing and widely scattered population, and the policy intentions of the Council to seek to support communities and achieve progress on local corporate outcomes and national equality aims.

### **Specific consultation and engagement with intended audiences and target groups for the service change**

The range, scope and diversity of the intended audiences and target groups for Shropshire Council's Equality Objectives Action Plan necessitate a correspondingly wide range, scope and diversity of mechanisms for ongoing engagement that will utilise every available opportunity to not only engage with people but also gather feedback and evidence from people about their experiences from an equality and social inclusion perspective. This includes living and working in Shropshire; visiting here or studying here; bringing up families in Shropshire; doing business in Shropshire or thinking of doing so. The challenge is to be seen as a welcoming county and to demonstrate that welcome to all audiences and target groupings, in adherence to the set of corporate values as well as national equality aims. Consultation and engagement feedback has been utilised to produce the Plan for 2016 to 2020, and becomes an ongoing task for all members of the workforce, in liaison with the elected Members of the Council, adding to our evidence base and making adjustments to policy and strategy and service delivery as we do so, for example through use of service area ESIAs.

## Potential impact on Protected Characteristic groups and on social inclusion

### Guidance notes on how to carry out the initial assessment

Using the results of evidence gathering and specific consultation and engagement, please consider how the service change as proposed may affect people within the nine Protected Characteristic groups and people at risk of social exclusion.

1. Have the intended audiences and target groups been consulted about:
  - their current needs and aspirations and what is important to them;
  - the potential impact of this service change on them, whether positive or negative, intended or unintended;
  - the potential barriers they may face.
2. If the intended audience and target groups have not been consulted directly, have representatives been consulted, or people with specialist knowledge, or research explored?
3. Have other stakeholder groups and secondary groups, for example carers of service users, been explored in terms of potential unintended impacts?
4. Are there systems set up to:
  - monitor the impact, positive or negative, intended or intended, for all the different groups;
  - enable open feedback and suggestions from a variety of audiences through a variety of methods.
5. Are there any Human Rights implications? For example, is there a breach of one or more of the human rights of an individual or group?
6. Will the service change as proposed have a positive or negative impact on fostering good relations?
7. Will the service change as proposed have a positive or negative impact on social inclusion?

### Guidance on what a negative impact might look like

<b>High Negative</b>	Significant potential impact, risk of exposure, history of complaints, no mitigating measures in place or no evidence available: urgent need for consultation with customers, general public, workforce
<b>Medium Negative</b>	Some potential impact, some mitigating measures in place but no evidence available how effective they are: would be beneficial to consult with customers, general public, workforce
<b>Low Negative</b>	Almost bordering on non-relevance to the ESIIA process (heavily legislation led, very little discretion can be exercised, limited public facing aspect, national policy affecting degree of local impact possible)

## Initial assessment for each group

Please rate the impact that you perceive the service change is likely to have on a group, through inserting a tick in the relevant column. Please add any extra notes that you think might be helpful for readers.

<b>Protected Characteristic groups and other groups in Shropshire</b>	<b>High negative impact</b> <i>Part Two ESIIA required</i>	<b>High positive impact</b> <i>Part One ESIIA required</i>	<b>Medium positive or negative impact</b> <i>Part One ESIIA required</i>	<b>Low positive or negative impact</b> <i>Part One ESIIA required</i>
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg child for whom there are safeguarding concerns eg older person with disability)			Medium positive impact anticipated	
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)			Medium positive impact anticipated	
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)			Medium positive impact anticipated	
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring responsibility, potential for bullying and harassment)			Medium positive impact anticipated	
<b>Pregnancy &amp; Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)			Medium positive impact anticipated	
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)			Medium positive impact anticipated	
<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)			Medium positive impact anticipated	
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)			Medium positive impact anticipated	
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)			Medium positive impact anticipated	
<b>Other: Social Inclusion</b> (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people for whom there are safeguarding concerns; people you consider to be vulnerable)			Medium positive impact anticipated	

## Decision, review and monitoring

Decision	Yes	No
Part One ESIIA Only?	Yes	
Proceed to Part Two Full Report?		No

***If Part One, please now use the boxes below and sign off at the foot of the page. If Part Two, please move on to the full report stage.***

### **Actions to mitigate negative impact or enhance positive impact of the service change**

A medium positive impact is anticipated for all groupings within the community and thus for the whole community, as the Council's corporate equality objectives action plan sets out to meet the three national equality aims set out in the general equality duty placed upon local authorities under the Public Sector Equality Duty (PSED).

These are:

- Eliminating discrimination, harassment and victimisation;
- Advancing equality of opportunity;
- Fostering good relations.

The Equality Objectives Action Plan 2016/2020 will enable up to date positioning of the Council to assist in efforts to meet its PSED, seek to demonstrate good practice in so doing, and facilitate timely links with other corporate policy and strategy development, utilising the core value of Equality and Inclusion set out in the Council's draft Corporate Plan 2016/2017.

The Action Plan will be published online, with timely reporting and publicity about progress on individual actions, eg use of ESIIAs by service areas to guide and shape service area strategy, eg work with primary schools and inter faith forums on Holocaust Education, helping to foster good relations particularly for the groupings of Age, Race and Religion and Belief.

The workforce of the Council is a key target group in the Council's equality endeavours, as are the elected Members of the Council as community leaders. The assistance of all staff across all service areas, in taking account of equality considerations in their everyday actions and in applying such considerations to planned changes to services, for example through ESIIAs, will help the Council to proactively meet its PSED as well as mitigate against any risks of non compliance.

There are potential costs to the Council if challenges are made on grounds of equality, and due regard is not deemed to have been made of the needs of all groupings when considerations are being made about changes to services, such as reductions or removal of services. A challenge for the Council as a public body is therefore to ensure that, as far as possible, all staff and Members are aware of equality responsibilities, of the support available to help them meet these responsibilities, and of the role of ESIIAs in helping the Council to demonstrate that due regard is being taken of the needs and views of all groupings. The Action Plan accordingly includes action points around training and support.




## Actions to review and monitor the impact of the service change

We will continue to target efforts at identifying any gaps in equality and diversity data, and in finding out where there may be barriers to accessing particular services, for people with one or more of the Protected Characteristics and for people at risk of social exclusion. This will be reported upon in the annual Service User and Workforce Diversity Reports published online.

This will help us to demonstrate adherence to the Corporate Value for Equality and Inclusion: "Treating everyone as equal regardless of their circumstances and backgrounds, and identifying and helping people who may need support".



The draft Equality Objectives Action Plan 2016/2020 continues the policy imperatives to publish more visibly, collect and analyse data more proactively, and work more jointly, strengthened by the knowledge we are starting to gain about our diverse communities and their diverse needs, to help us to make quality decisions about policies, strategies and service changes rooted in robust evidence. The anticipation is that there will be incremental improvements leading to overall positive impacts for all groupings in Shropshire, with refinements, readjustments or revisions where necessary to policy and strategy at partnership, corporate and service area level.

## Scrutiny at Part One screening stage

People involved	Signatures	Date
Lead officer carrying out the screening <b>Mrs Lois Dale</b>	 Rurality and Equalities Specialist	28 <sup>th</sup> June 2016
Any internal support* <b>Steve Taylor</b>	 Team Leader for - Performance, Intelligence & Policy	30 <sup>th</sup> June 2016
Any external support** <b>Chris Westwood</b>	 Customer Service Manager	28 June 2016
Head of service <b>Tom Dodds</b>	 Commissioning Support Manager	30 June 2016

\*Refers to other officers within the service area; \*\*Refers to support external to the service

## Sign off at Part One screening stage

Name	Signatures	Date
Lead officer's name <b>Mrs Lois Dale</b>		30 <sup>th</sup> June 2016
Head of service's name <b>Tom Dodds</b>	 Commissioning Support Manager	30 June 2016

## Shropshire Council Part 2 ESIIA: full report

### Guidance notes on how to carry out the full report

The decision that you are seeking to make, as a result of carrying out this full report, will take one of four routes:

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

The Part Two Full Report therefore starts with a forensic scrutiny of the evidence and consultation results considered during Part One Screening, and identification of gaps in data for people in any of the nine Protected Characteristic groups and people who may be at risk of social exclusion, eg rural communities. There may also be gaps identified to you independently of this process, from sources including the intended audiences and target groups themselves.

The forensic scrutiny stage enables you to assess:

- **Which gaps need to be filled right now, to help you to make a decision about the likely impact of the proposed service change?**

This could involve methods such as: one off service area focus groups; use of customer records; examination of data held elsewhere in the organisation, such as corporate customer complaints; and reference to data held by similar authorities or at national level from which reliable comparisons might be drawn, including via the Rural Services Network. Quantitative evidence could include data from NHS Foundation Trusts, community and voluntary sector bodies, and partnerships including the Local Enterprise Partnership and the Health and Well Being Board. Qualitative evidence could include commentary from stakeholders.

- **Which gaps could be filled within a timeframe that will enable you to monitor potential barriers and any positive or negative impacts on groups and individuals further along into the process?**

This could potentially be as part of wider corporate and partnership efforts to strengthen the evidence base on equalities. Examples would be: joint information sharing protocols about victims of hate crime incidents; the collection of data that will fill gaps across a number of service areas, eg needs of young people with learning disabilities as they progress through into independent living; and publicity awareness campaigns that encourage open feedback and suggestions from a variety of audiences.



Once you have identified your evidence gaps, and decided on the actions you will take right now and further into the process, please record your activity in the following boxes. Please extend the boxes as needed.

**Evidence used for assessment of the service change: activity record**

*How did you carry out further research into the nine Protected Characteristic groups and those who may be at risk of social exclusion, about their current needs and aspirations and about the likely impacts and barriers that they face in day to day living?*

*And what did it tell you?*

**Specific consultation and engagement with intended audiences and target groups for the service change: activity record**

*How did you carry out further specific consultation and engagement activity with the intended audiences and with other stakeholders who may be affected by the service change?*

*And what did it tell you?*

**Further and ongoing research and consultation with intended audiences and target groups for the service change: activity record**

*What further research, consultation and engagement activity do you think is required to help fill gaps in our understanding about the potential or known affect that this proposed service change may have on any of the ten groupings and on the intended audiences and target groups? This could be by your service area and/or at corporate and partnership level.*

## Full report assessment for each group

Please rate the impact as you now perceive it, by inserting a tick. Please give brief comments for each group, to give context to your decision, including what barriers these groups or individuals may face.

Protected Characteristic groups and other groups in Shropshire	High negative impact	High positive impact	Medium positive or negative impact	Low positive or negative impact
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg child for whom there are safeguarding concerns eg older person with disability)				
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)				
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring responsibility, potential for bullying and harassment)				
<b>Pregnancy &amp; Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)				
<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				
<b>Other: Social Inclusion</b> (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people for whom there are safeguarding concerns; people you consider to be vulnerable)				

## ESIIA Full Report decision, review and monitoring

### Summary of findings and analysis - ESIIA decision

*You should now be in a position to record your decision. Please highlight in bold the route that you have decided to take.*

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

*Please add any brief overall comments to explain your choice.*

*You will then need to create an action plan and attach it to this report, to set out what further activity is taking place or is programmed that will:*

- *mitigate negative impact or enhance positive impact of the service change,*  
AND
- *review and monitor the impact of the service change*

*Please try to ensure that:*

- *Your decision is based on the aims of the service change, the evidence collected, consultation and engagement results, relative merits of alternative approaches and compliance with legislation, and that records are kept;*
- *The action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.*

### Scrutiny at Part Two full report stage

People involved	Signatures	Date
<i>Lead officer</i>		
<i>Any internal support</i>		
<i>Any external support</i>		
<i>Head of service</i>		

### Sign off at Part Two full report stage

<b>Signature (Lead Officer)</b>	<b>Signature (Head of Service)</b>
Date:	Date:

## Appendix: ESIIA Part Two Full Report: Guidance Notes on Action Plan

Please base your action plan on the evidence you find to support your decisions, and the challenges and opportunities you have identified. It could include arrangements for:

- continuing engagement and involvement with intended audiences, target groups and stakeholders;
- monitoring and evaluating the service change for its impact on different groups throughout the process and as the service change is carried out;
- ensuring that any pilot projects are evaluated and take account of issues described in the assessment, and that they are assessed to make sure they are having intended impact;
- ensuring that relevant colleagues are made aware of the assessment;
- disseminating information about the assessment to all relevant stakeholders who will be implementing the service change;
- strengthening the evidence base on equalities.

Please also consider:

- resource implications for in-house and external delivery of the service;
- arrangements for ensuring that external providers of the service are monitored for compliance with the Council's commitments to equality, diversity and social inclusion, and legal requirements including duties under the Equality Act 2010.

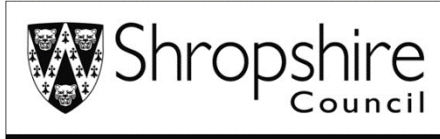
And finally, please also ensure that the action plan shows clear links to the corporate values as set out in the Corporate Plan 2016/2017 and to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.

These are:

- Eliminating discrimination, harassment and victimisation
- Advancing equality of opportunity
- Fostering good relations

***Note The Council is grateful in particular to Leicestershire County Council, for graciously allowing use to be made of their Equality and Human Rights Impact Assessments (EHRIAs) material and associated documentation in developing a Shropshire approach.***

***For further information on the use of ESIIAs: please contact your head of service or contact Mrs Lois Dale, Rurality and Equalities Specialist and Council policy support on equality, via telephone 01743 255684, or email [lois.dale@shropshire.gov.uk](mailto:lois.dale@shropshire.gov.uk).***



<u>Committee and Date</u>
Cabinet
13 July 2016

## Opening hours across Customer Service Points

**Responsible Officer** Rod Thomson

e-mail: [rod.thomson@shropshire.gov.uk](mailto:rod.thomson@shropshire.gov.uk)

Tel: 01743 253934

### 1. Summary

- 1.1 Shropshire Council provides a face to face customer service function in our market and rural towns via a network of Customer Service Points. There are 9 smaller rural Customer Service Points which are located at Albrighton, Bishop's Castle, Broseley, Church Stretton, Cleobury Country, Craven Arms, Ellesmere, Shifnal and Wem which have been, or are in the process of being, transferred to new management arrangements. Customer numbers at these smaller sites is traditionally very low. There are also 6 larger sites located in Shrewsbury, Oswestry, Market Drayton, Whitchurch, Bridgnorth and Ludlow and these see the large majority of our customer business.
- 1.2 Shropshire's citizens access council services through these venues for many different reasons, from simple transactions to much more complex life issues however the common trend across all sites has been a steady reduction in customer numbers with overall footfall having reduced by around 60% in the last 5 years. Despite this decrease in customer numbers, the opening hours of the service and the staff hours that are input in our larger sites has remained unchanged.
- 1.3 Given the high cost of face to face transactions, quoted by the Society of IT Managers as £8.62 compared to 15p for an online transaction, Customer Services have for some time encouraged and assisted customers who are able to do so to use self-service facilities which are public freephones linked to our Customer Service Centre and online services using newly installed public computers. Staff are then able to concentrate on helping customers who have more complex or technical issues that clearly require personal interaction with the customer. Our intention to automate bus pass renewals later this year is an example of how large operational savings can be made whilst maintaining, or in this case improving, the service our customers receive.

- 1.4 This natural reduction in customer numbers and an increasing ability to use alternative channels to do business with the Council, is occurring in parallel to the Council seeking community partners and new funding streams that can help to maintain these local services as the venues through which they operate come under increasing financial pressure. In the worst case scenario this pressure could mean the closure of such venues.
- 1.5 There is therefore an opportunity to review the level of both opening times and staff resources for each of our larger sites which may in turn make local investment in their running costs more attractive and at a level that is more appropriate to actual customer demand. This will only be done in consultation with our customers and with the clear objective of continuing a face to face service for those customers who need it.

## **2: Recommendations:**

Members are requested to:

- A Grant approval for a review of both the opening times and staffed hours input to larger Customer Service Points on a site by site basis with appropriate public and stakeholder consultation. The outcomes of consultation are to be brought back before Cabinet for further consideration.
- B Cabinet is recommended to give delegated authority to the Director of Public Health, in consultation with the Portfolio Holder for Resources and Support, with input from the Director of Commissioning to make any further decisions on service delivery.

## **3: Background: Customer Services Face to Face provision**

- 3.1 Customer Services operates public access points across Shropshire. Of the 9 smaller rural sites with very low customer numbers, all but 2 make use of library buildings the management of which is being transferred to other providers, namely Town Councils and community sector providers. New operators are following a self-serve and assisted self-serve model for customer services functions using public freephones and computers through which customers can do business with us. Customer Services continue to provide technical support for our new providers which enables them in turn to provide the service without direct input from Shropshire Council staff.
- 3.2 There are also six larger customer service points, or community hubs, where we see the vast majority of our customers. Of these larger hubs, Oswestry, Bridgnorth and Ludlow are currently co-located with the town libraries. Self-service facilities are not yet in place at all of these venues however where they are installed,

customers are able to manage a range of appropriate business with us over the phone and online with many now calling in specifically to use these. The use of a “meeter and greeter” who is quickly able to identify those customers who could self-serve and offer them assistance to do so where necessary, has led to a reduction in the number of customers needing direct help from more specialist staff.

- 3.3 Customer numbers at our face to face points have been steadily declining over a number of years with annual footfall reducing by just under 60% as shown in the table below:

Year ended	April 2012	April 2013	April 2014	April 2015	April 2016
Customer numbers	125826	123574	92781	67321	52346

Customer Services have initiated the automation later this year of the majority of concessionary travel renewals. In any normal year this would mean a further 5% reduction in customer footfall – between 400 and 600 customers per month, however during the bulk renewal period which occurs over the next two years this will mean that up to 1700 customers per month will receive a better service without the need to call at one of our offices.

- 3.4 Encouraging those who are able to access services independently to do so in turn enables Customer Service staff to help those customers who are unable to help themselves or who have more involved and complex issues often spanning more than one service. Complex issues with finances or benefits (including housing benefits and local crisis funding applications) and housing (including homelessness) on average account for around 40% of the business we deal with each month with some offices seeing a much higher percentage than this. The face to face service will also provide some of the triage, signposting and commissioning of specialist support for more vulnerable customers as the Universal Credit rolls out. The latest information received from the Department for Work & Pensions is to the effect that Shropshire can expect many individuals and families, both working and out of work, to transfer onto Universal Credit from early 2017.

## **4 Future operating requirements**

- 4.1 The recent Cabinet paper “A Partnership approach in designing the Future of our Local Services” sought approval on the principles and approaches Shropshire Council will use to engage and work with partners to try secure a sustainable future for local services and community based assets as well as which services and assets will be included within this approach, and how this work will be resourced and delivered.

- 4.2 Alongside this work and in view of falling customer numbers, there now exists an opportunity to re-examine the resource input required at our face to face sites so that the service can be maintained at more affordable and appropriate levels. The learning from our current hub operating model, the changing nature of our business particularly in helping customers with more complex issues and the opportunities that new IT functionality may bring will be incorporated into any new operating model so that the service is future-fit for our customers.
- 4.3 In the same way that each of our market towns is unique, so too are the numbers of customers seeking to use their face to face service and the reasons for which they call. The recommended approach across the six major hub sites is to consult upon and consider each venue individually and in partnership with any potential new operating partner. Additionally, consideration of TUPE implications or obligations for current staff will be required in the event of other providers taking on the running of services.

## **5 Risk assessment and opportunities appraisal:**

- 5.1 Earlier models of co-locating self-service and assisted self-service facilities with Town Councils have been helpful to the Town Councils themselves as their responsibilities have synergy with our own and to customers who do not differentiate between those responsibilities when seeking access to local services.
- 5.2 Place-based reviews of the service would need to be co-ordinated with wider discussions on transfer and delivery of other local services as recommended in “A partnership approach to designing the future of our local services”. Timescales on these discussions are tight with risks identified around adequately resourcing the project and the capacity for public and stakeholder challenge potentially delaying progress.
- 5.3 There is a risk that any reduction of the number of hours during which trained staff are available will fail to meet equality and social inclusion obligations. The impact at each site will be assessed through the completion of an Equality and Social Inclusion Impact Assessment which will take into account the types of customer business at each site, numbers of callers and levels of digital inclusion and exclusion that could impact on any decision, the alternative provision afforded by self-service facilities and the range of services available through these and the level of help on hand to successfully access these alternatives.
- 5.4 Shropshire citizens could construe proposals to reduce opening hours as an erosion of the service as opposed to matching times and staff resources to a much reduced level of actual customer activity. We will consult with our customers on a site by site basis to inform them appropriately and to gauge their opinions and seek their ideas. Consultation material would seek to reassure customers who



could not manage independently that help is still there for them and of the amount of adviser time that would still be available per customer in the event of reduced opening. We will make sure that customers are informed of proposals to support them to do business with us when specialist staff were not on site. For example, using our experience from sites where customers already self-serve, we would ensure that public freephones were available and linked to the right services for the site, with clearly signposted instructions making them easy to use. Opportunities to work with any new delivery partners who could provide the assistance needed to carry out more transactional business using online services will be pursued.

## **6 Financial implications**

- 6.1 Shropshire Council published its updated Financial Strategy on 17th February 2016. By 2020/21 the government's £44m revenue support grant is forecast to end. Before the final settlement for 2016/17 it had been anticipated that a further £77m savings would be required over the next 5 years due to the combination of inflationary increases in costs, demographic pressure, particularly in adult social care, and cuts in government grants. However, further pressures identified within the February 2016 Financial Strategy has highlighted a worse position than previously forecast, with £61m savings now required by 2018/19.
- 6.2 Figures given out as part of Shropshire Council's Big Conversation predicted that by 2020/21 some 87% of the council's resources will be needed to pay for protected services such as adult's and children's social care and safeguarding, domestic waste disposal, concessionary travel and school transport, leaving just 13% of resources to be spent on the remaining 150 plus services currently provided by the council.
- 6.3 The future delivery of the Customer Services function is part of a wider organisational restructure that will enable substantial savings to be made. A review of face to face customer services carried out in conjunction with the partnership approach to designing local services, based on the level of staff input and the opening hours needed will contribute to savings of £227,000 and an income target of £164,000 in the current financial year as well as the contribute to the future sustainability of local services.
- 6.4 Working with other partners, particularly health partners, widens the spectrum of services available to our customers at the first point of contact. Combining this with collaborative working with other council services increases the capacity to identify and alleviate crisis for vulnerable customers thus saving costs for the council elsewhere.

**List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)**

**Agenda item 99, Cabinet February 2015: Hubs Commissioning Model**

**Agenda item 7, Cabinet May 2015: Future Delivery of Customer Services In Shropshire pages 19 to 26.**

**Agenda item 63, Cabinet October 2015: Redesigning Shropshire Council's Library Service and Customer Service Points**

**Agenda item 7, Cabinet April 2016: A Partnership approach in designing the future of our Local Services**

**Cabinet Member : Michael Wood**

**Local Member**

**Appendix 1 – Equalities and Social Inclusion Impact Assessment**



## Shropshire Equality and Social Inclusion Impact Assessment (ESIIA)

### Customer Service Points

#### Shropshire Council Part 1 ESIIA: initial screening and assessment

*Please note: prompt questions and guidance within boxes are in italics. You are welcome to type over them when completing this form. Please extend the boxes if you need more space for your commentary.*

##### **Name of service change**

Customer Services Face to Face provision through Community Hubs– review of opening hours and staffed service.

##### **Aims of the service change and description**

The redesign of our Customer Service Points seeks to concentrate our provision in community hubs located in Shrewsbury, Oswestry, Market Drayton, Whitchurch, Ludlow and Bridgnorth where there is a mixture of population density and customer need and where our customer numbers are highest. These 6 offices chosen for our main hubs contain wards most at risk of being affected by forthcoming changes to the provision of welfare benefits and particularly the introduction and digitisation of the Universal Credit from early 2017 which will affect working and non-working alike. These changes are likely to place demand upon the service.

Customers visit their Council offices for a number of different reasons primary of which is to carry out a range of business with Shropshire Council.

The Hub concept is about making sure that our telephone and online services continue to be accessible to all customers especially those who may not have facilities to access help from their own home and that our direct support remains available to customers in genuine need of help.

Conducting business face to face is expensive. The Society of Information Technology Management's (SOCITM) latest estimate of costs quote the estimated average cost of delivering face to face services as £8.62 per transaction. This compares to £5 by telephone, £0.20 by automated voice recognition and £0.15 by online transaction.

Our hubs are therefore designed around encouraging and educating customers to access a range of more transactional services by themselves to avoid unnecessary contact. This is supported by the Customer Services business ethos of simplifying processes wherever we can.

By encouraging those customers who can to self-serve these Council Services and by providing learning and assistance for those needing a little support we will be able to provide a face to face service for those customers who are genuinely unable to manage either the use of self-service facilities or who have multiple or complex life issues with which they need help.

Of some significance are the continual changes to the system of welfare benefits which affect single people and families both in and out of work. Our 6 main hubs see the largest customer numbers for the Housing Benefit services as well as issues around financial need (accessing the Local Support and Prevention Fund and Discretionary housing Payments) and homelessness.

Working with Jobcentre Plus, we have developed a triage and support structure that will identify need and the potential risks for Shropshire citizens with the introduction of the Universal Credit which is scheduled in larger numbers from early 2017. Our hubs add to the digital infrastructure that will be needed to support customers claiming this benefit and staff have been trained to help the more vulnerable to make claims and report changes online.

We have already seen a significant reduction in the numbers of customers accessing our face to face services however it is our intention that we continue this service in our 6 main market towns so that Shropshire citizens can access services locally

The redesign of our service is taking place against a background of spending reductions and efficiency savings meaning that we would be required to deliver services across widespread sites in Shropshire with a much smaller workforce. In order to help our future sustainability and in the light of already significant reductions in customer numbers we intend to carry out a review of our service opening hours for each of our larger offices so that they are more appropriately matched to both current and future customer demand.

The intention across the 9 remaining customer service points at Albrighton, Broseley, Bishop's Castle, Church Stretton, Craven Arms, Cleobury Mortimer, Ellesmere, Shifnal and Wem where customer numbers are generally very low, is to find partners with whom we can work in order to continue these local services and to work from community venues that are easily and equally accessible to all. In these sites we will place an increasing emphasis on the use of free to use telephones linked to our Customer Service Centre and online access through free to use public computers but help will still be on hand from our business partners for those customers that need it.

#### **Intended audiences and target groups for the service change**

- Local citizens.
- Community groups.
- Local members.
- Revenues and Benefits staff whose customers account for the majority of footfall at our larger customer facing sites will also need to evolve new working practices that mitigate any potentially adverse impact on the protected characteristic groups.

#### **Evidence that will be used for screening of the service change**

On a site by site basis we will use demographic information on the surrounding population age structure and diversity, health, long-term illness or disability, unemployment and labour market and car ownership and ease of travel to help determine appropriate service. Additionally, the following information around digital ability and exclusion will help to shape this review and the adequacy of the supporting structure left in place:

**Use of digital services**

Digital inclusion isn't having physical access to the internet, but also having the necessary skills, confidence and capabilities to use the internet (effective access).

There are a number of factors that make it more likely that someone will be digitally excluded:

- Being over the age of 55 (69% of the off-line population)
- Living in a rural area (64% of the off-line population)
- Earning a low income or unemployed (44% of the off-line population)
- Living in social housing (37% of the off-line population)
- Having a registered disability (33% of the off-line population)

Those who are digitally excluded match socially excluded groups, and include:

- people without basic literacy skills
- individuals and families on low incomes
- people who are unemployed
- social housing and private rented tenants
- people who are homeless
- those with disabilities
- those over the age of 50

Research suggests that in Shropshire:

- 9.2% of the population have never used the internet (approximately 22% of the population)
- 13,111 people aged 16-64 are never likely to use the internet
- 12,908 people with basic literacy skills may have internet use but be unlikely to be able to use it effectively
- those on low earnings are more at risk of digital exclusion.

### **Specific consultation and engagement with intended audiences and target groups for the service change**

Local consultation will be carried out via the Council's online portal and via the existing customer service Point and other local publicity. Engagement with disability and under-represented groups. All delivery partners are required to promote Shropshire Council's "Comments, Compliments and Complaints" procedure so that members of the public can raise any ongoing issues that may arise from any transfer of service.

### **Potential impact on Protected Characteristic groups and on social inclusion**

<b>High Negative</b>	Significant potential impact, risk of exposure, history of complaints, no mitigating measures in place or no evidence available: urgent need for consultation with customers, general public, workforce
<b>Medium Negative</b>	Some potential impact, some mitigating measures in place but no evidence available how effective they are: would be beneficial to consult with customers, general public, workforce
<b>Low Negative</b>	Almost bordering on non-relevance to the ESIA process (heavily legislation led, very little discretion can be exercised, limited public facing aspect, national policy)

affecting degree of local impact possible)

### Initial assessment for each group

Please rate the impact that you perceive the service change is likely to have on a group, through inserting a tick in the relevant column.

<b>Protected Characteristic groups and other groups in Shropshire</b>	<b>High negative impact</b> <i>Part Two ESIIA required</i>	<b>High positive impact</b> <i>Part One ESIIA required</i>	<b>Medium positive or negative impact</b> <i>Part One ESIIA required</i>	<b>Low positive or negative impact</b> <i>Part One ESIIA required</i>
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg young person with disability)			✓	
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)			✓	
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
<b>Pregnancy &amp; Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)			✓	
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)				No evidence to suggest either positive or negative impact
<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				No evidence to suggest either positive or negative impact
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				No evidence to suggest either positive or negative impact

Other: Social Inclusion (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people you consider to be vulnerable)			✓	

## Decision, review and monitoring

Decision	Yes	No
Part One ESIIA Only?	✓	
Proceed to Part Two Full Report?		✓

***If Part One, please now use the boxes below and sign off at the foot of the page. If Part Two, please move on to the full report stage.***

### **Actions to mitigate negative impact or enhance positive impact of the service change**

We are working with benefits service colleagues to identify alternative ways for customers to have important documents handled and safely returned and for their enquiries to be answered in real time. Ongoing support will be provided for partner providers and public invited to give feedback on service

### **Actions to review and monitor the impact of the service change**

Comments, compliments and complaints process will be monitored, regular service reviews scheduled

## Scrutiny at Part One screening stage

People involved	Signatures	Date
Lead officer carrying out the screening	<i>Chris Westwood</i>	9 February 2016
Any internal support	Mrs Lois Dale, Principal Rural Policy Officer; ext 5684	
Any external support		
Head of service		

## Sign off at Part One screening stage

Name	Signatures	Date

<i>Lead officer's name</i>		
<i>Head of service's name</i>		



## Shropshire Council Part 2 ESIIA: full report

### Guidance notes on how to carry out the full report

The decision that you are seeking to make, as a result of carrying out this full report, will take one of four routes:

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

The Part Two Full Report therefore starts with a forensic scrutiny of the evidence and consultation results considered during Part One Screening, and identification of gaps in data for people in any of the nine Protected Characteristic groups and people who may be at risk of social exclusion, eg rural communities. There may also be gaps identified to you independently of this process, from sources including the intended audiences and target groups themselves.

The forensic scrutiny stage enables you to assess:

- **Which gaps need to be filled right now, to help you to make a decision about the likely impact of the proposed service change?**

This could involve methods such as: one off service area focus groups; use of customer records; examination of data held elsewhere in the organisation, such as corporate customer complaints; and reference to data held by similar authorities or at national level from which reliable comparisons might be drawn, including via the Rural Services Network. Quantitative evidence could include data from NHS Foundation Trusts, community and voluntary sector bodies, and partnerships including the Local Enterprise Partnership and the Health and Well Being Board. Qualitative evidence could include commentary from stakeholders.

- **Which gaps could be filled within a timeframe that will enable you to monitor potential barriers and any positive or negative impacts on groups and individuals further along into the process?**

This could potentially be as part of wider corporate and partnership efforts to strengthen the evidence base on equalities. Examples would be: joint information sharing protocols about victims of hate crime incidents; the collection of data that will fill gaps across a number of service areas, eg needs of young people with learning disabilities as they progress through into independent living; and publicity awareness campaigns that encourage open feedback and suggestions from a variety of audiences.

Once you have identified your evidence gaps, and decided on the actions you will take right now and further into the process, please record your activity in the following boxes. Please extend the boxes as needed.

**Evidence used for assessment of the service change: activity record**

*How did you carry out further research into the nine Protected Characteristic groups and those who may be at risk of social exclusion, about their current needs and aspirations and about the likely impacts and barriers that they face in day to day living?*

*And what did it tell you?*

**Specific consultation and engagement with intended audiences and target groups for the service change: activity record**

*How did you carry out further specific consultation and engagement activity with the intended audiences and with other stakeholders who may be affected by the service change?*

*And what did it tell you?*

**Further and ongoing research and consultation with intended audiences and target groups for the service change: activity record**

*What further research, consultation and engagement activity do you think is required to help fill gaps in our understanding about the potential or known affect that this proposed service change may have on any of the ten groupings and on the intended audiences and target groups? This could be by your service area and/or at corporate and partnership level.*

## Full report assessment for each group

*Please rate the impact as you now perceive it, by inserting a tick. Please give brief comments for each group, to give context to your decision, including what barriers these groups or individual may face.*

<b>Protected Characteristic groups and other groups in Shropshire</b>	<b>High negative impact</b>	<b>High positive impact</b>	<b>Medium positive or negative impact</b>	<b>Low positive or negative impact</b>
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg young person with disability)				
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)				
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring responsibility, potential for bullying and harassment)				
<b>Pregnancy &amp; Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)				
<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				
<b>Other: Social Inclusion</b> (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people you consider to be vulnerable)				

## ESIIA Full Report decision, review and monitoring

### Summary of findings and analysis - ESIIA decision

*You should now be in a position to record your decision. Please highlight in bold the route that you have decided to take.*

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

*Please add any brief overall comments to explain your choice.*

*You will then need to create an action plan and attach it to this report, to set out what further activity is taking place or is programmed that will:*

- *mitigate negative impact or enhance positive impact of the service change,*  
AND
- *review and monitor the impact of the service change*

*Please try to ensure that:*

- *Your decision is based on the aims of the service change, the evidence collected, consultation and engagement results, relative merits of alternative approaches and compliance with legislation, and that records are kept;*
- *The action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.*

### Scrutiny at Part Two full report stage

People involved	Signatures	Date
<i>Lead officer</i>		
<i>Any internal support</i>		
<i>Any external support</i>		
<i>Head of service</i>		

### Sign off at Part Two full report stage

Signature (Lead Officer)	Signature (Head of Service)
Date:	Date:

## Appendix: ESIIA Part Two Full Report: Guidance Notes on Action Plan

Please base your action plan on the evidence you find to support your decisions, and the challenges and opportunities you have identified. It could include arrangements for:

- continuing engagement and involvement with intended audiences, target groups and stakeholders;
- monitoring and evaluating the service change for its impact on different groups throughout the process and as the service change is carried out;
- ensuring that any pilot projects are evaluated and take account of issues described in the assessment, and that they are assessed to make sure they are having intended impact;
- ensuring that relevant colleagues are made aware of the assessment;
- disseminating information about the assessment to all relevant stakeholders who will be implementing the service change;
- strengthening the evidence base on equalities.

Please also consider:

- resource implications for in-house and external delivery of the service;
- arrangements for ensuring that external providers of the service are monitored for compliance with the Council's commitments to equality, diversity and social inclusion, and legal requirements including duties under the Equality Act 2010.

And finally, please also ensure that the action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.

These are:

- Eliminating discrimination, harassment and victimisation
- Advancing equality of opportunity
- Fostering good relations

***Note for 2014 refresh of our corporate equality impact assessment approach: Shropshire Council has referred to good practice elsewhere in refreshing the EINA material and replacing it with this ESIIA material. The Council is grateful in particular to Leicestershire County Council, for graciously allowing use to be made of their Equality and Human Rights Impact Assessments (EHRIAs) material and associated documentation.***

***For further information on the use of ESIIAs: please contact your head of service or contact Mrs Lois Dale, Principal Rural Policy Officer and internal policy support on equality, via telephone 01743 255667, or email [lois.dale@shropshire.gov.uk](mailto:lois.dale@shropshire.gov.uk).***

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Committee and Date

CABINET

13<sup>th</sup> July 2016

## **Proposed New Highway Safety Inspection Manual for Shropshire 2016 – 2020.**

**Responsible Officer Steve Brown – Highways, Transport & Environment  
Commissioning Manager**

e-mail: Steven.brown@shropshire.gov.uk Tel: 01743 257802

### **1. Summary**

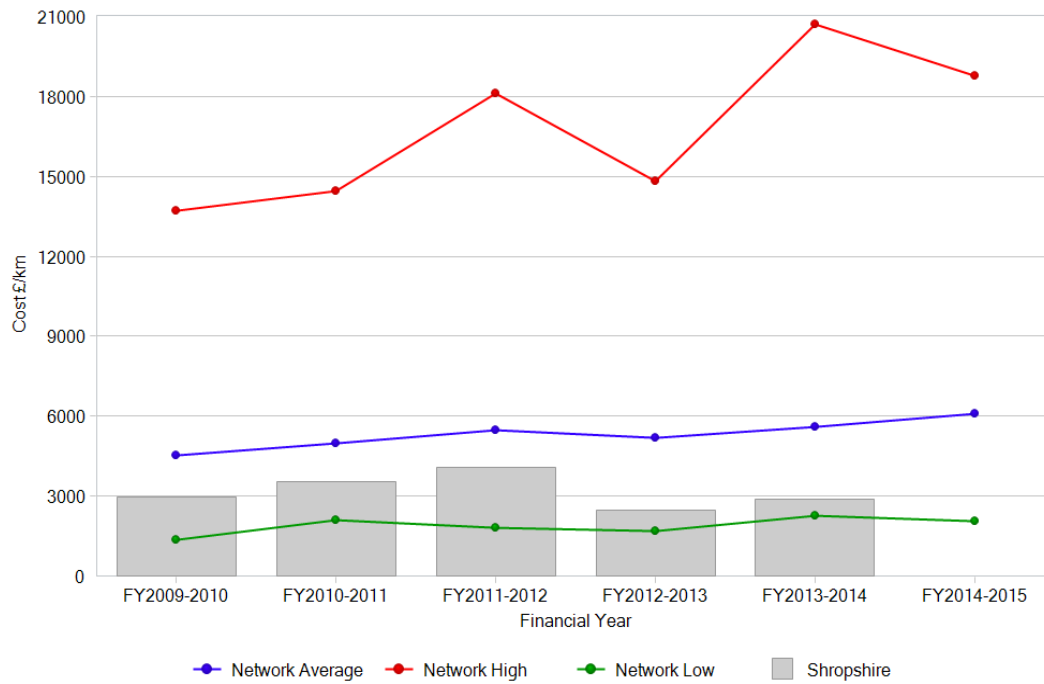
- 1.1. This report proposes an update to the previously approved Highway Inspection Manual for Shropshire Council, for Cabinet to consider. The Highway Safety Inspection Manual is important in formalising an approach as to how the highway is kept safe for the travelling public. The revised Inspection Manual supersedes the previously approved document by Cabinet in 2007. The Policy and Guidance has been reviewed to ensure that national guidance and industry developments are considered. Current and anticipated national amendments to practice in operations have been factored in, and that an ongoing efficiency review of this element of the service and its impact upon our contractor(s) has been included.
- 1.2. Critically, the Highway Safety Inspection Manual will be key to the Council's defence in court, litigation or liability cases. Simply, if a member of the public who uses the highway network has an accident that can be attributed to the condition of the highway network, then the highway authority is liable to pay damages, *unless* it can be proved that the Highways Authority has taken reasonable care to keep the highway safe.
- 1.3. Therefore the manual will be key in defending insurance claims and preventing increased insurance premiums that would have a negative financial and reputational impact upon the Council.
- 1.4. The Highway Safety Inspection Manual reflects the need to embed, drive and sustain:
  - Ever improving efficiency in the treatment interventions ordered, and the work system(s) utilised by highways inspectors, and the associated cost of treating interventions by contractors – which will drive efficiency savings, across the maintenance contract.
  - Reviews to maximise efficiency of inspection frequencies, to ensure improved work flow to highways maintenance contractors, to create reciprocal contract efficiency and reduced costs in the maintenance cycle.

- 1.5. The report requests Cabinet to approve the new Highway Safety Inspection Manual for implementation by Highways.
- 1.6. The Inspection Manual is also cognisant of the need to embed, drive and sustain:
  - Ever improving efficiency in the treatment interventions ordered, and the work system by highways inspectors, and the associated cost of treating interventions by contractors – which will drive efficiency savings across the maintenance contract.
  - Efficiency of inspection frequencies, to ensure improved work flow to highways maintenance contractors, to create reciprocal efficiency and reduced costs in the maintenance cycle.
  - Recognition that capital budgets (block grant) directly from the Department for Transport (DfT) are reducing and an Incentivisation process linked to increase funding on asset management is now in operation across England. Thus the manual has a focus on all of the above drivers of statutory, financial and reputational responsibilities, and the need to embed new systems and processes to drive efficiencies in cost and work systems.
  - The above is also an intrinsic contribution to Highways developing its target of achieving Level 3 status as recognised by the Department for Transport by 2018. Cabinet will recall a recent detailed report was approved in October 2015 - Highway Asset Management Strategy, which set out the case for Shropshire embracing an asset management approach, predominantly due to the fact that there is an Incentivisation in reduced capital block grants over the next four years of over 60% in capital allocations to this authority from the DfT.
  - The revised Highway Safety Inspection Manual contributes directly into Corporate Objectives of Resilient Communities and a Prosperous Economy, by ensuring the access and maintenance to an effective and efficient highways network in Shropshire. Which in turn builds upon the recent National Highways Survey (NHT) which Shropshire participates in as part of its Benchmarking data. This survey concluded, (based upon all of the participants whom responded in the national survey) that Shropshire Highways were :-
    - Low Cost
    - Medium Quality
    - Higher Satisfaction than average (of other authorities participating)

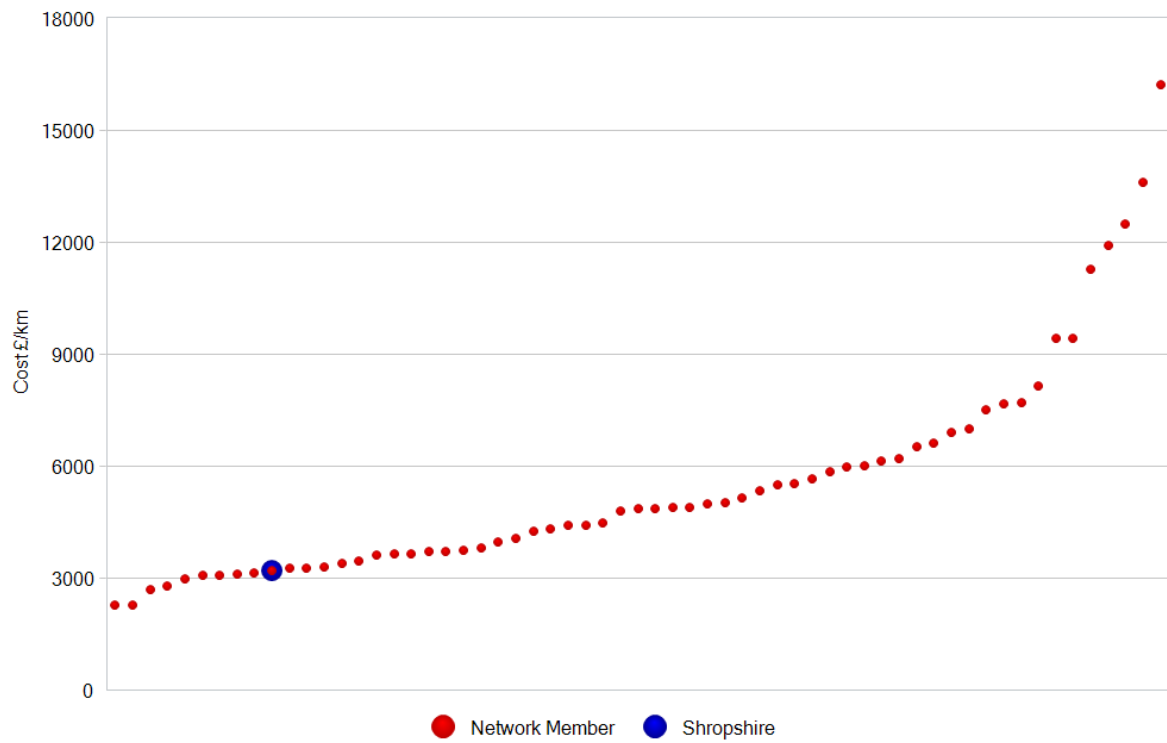


Extracts of the key finding of the NHT survey are demonstrated for reference.

**Total Cost Comparison £/km**

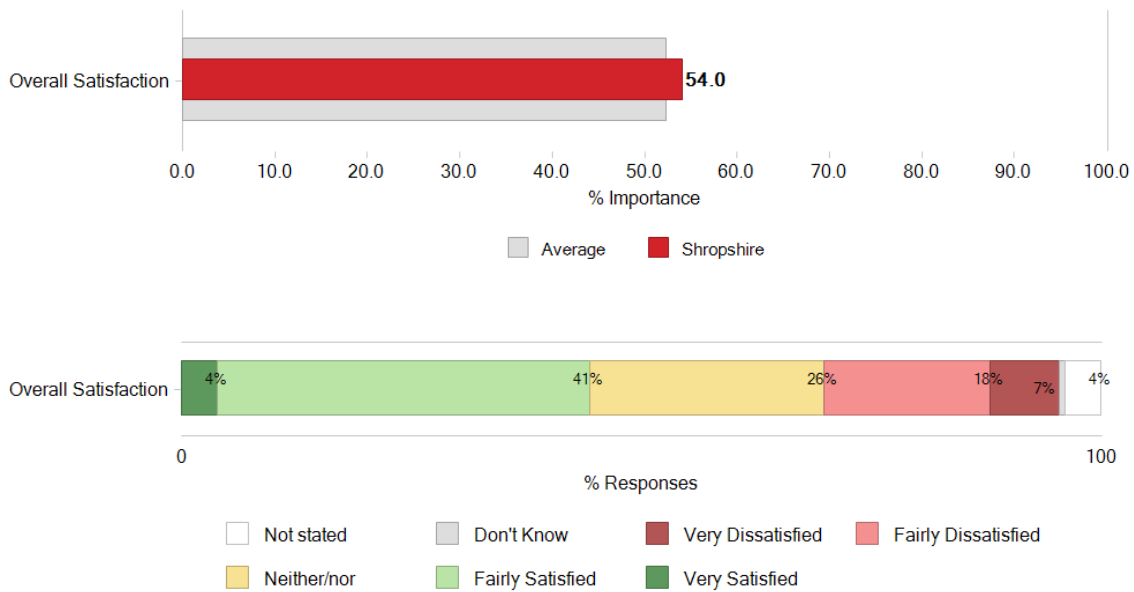


**Total Cost Ranking £/km (average of all years)**



SOURCE: CQC Efficiency Network Annual Report 2016: Shropshire

**How satisfied or dissatisfied are you overall with transport and highway Services?** (Source NHT Shropshire results 2015).



**2. Recommendations:**

- 2.1. That the report and attached Highway Safety Inspection Manual are approved for adoption.
- 2.2. Cabinet notes the ongoing transition of Highways to an asset management approach, in line with the Department for Transport guidance.
- 2.3. Cabinet notes that Shropshire Highways was assessed as a Level 2 Highways Authority by the Department for Transport, and aspects of its assessment were nationally recognised at a national seminar on highways improvements.
- 2.4. Cabinet notes Highways intent to become a Level 3 Highways Authority by 2018.

**3. Risk Assessment and Opportunities**

- 3.1. The Highway Safety Inspection Manual prescribes technical inspection and intervention details to Highways officers. It has been reviewed and an updated policy and guidance is proposed replacing a previously approved document.
- 3.2. An Equality and Social Impact Inclusion Assessment (ESIIA) has been completed for this report and attached documentation and is included in Appendix 3, the assessment has identified a low level impact at Stage 1.
- 3.3. It is not anticipated that there will be any negative or detrimental impact on highways users as a result of this report and attached documents being approved.

3.4. The report and attached documentation has been consulted internally with colleagues in

- Finance
- Insurance Team
- Highways Maintenance Managers
- Mouchel

#### **4. Financial Implications**

4.1 The updated manual and guidance is designed to be delivered within existing budgets in accordance with the local authority's financial strategy, therefore no additional pressure on budgets is anticipated. Additional staff training will be required, but provision for this will be made from within Environmental Maintenance's revenue budget.

4.2 There should be a recognition that capital budgets (block grant) directly from the Department for Transport (DfT) are reducing from 2016 / 2017 and an Incentivisation process linked to increase funding on asset management is now in operation across England. Shropshire Council was recently assessed as a Level 2 Highway Authority (only two authorities nationally have achieved Level 3 – the highest possible). Cabinet should note Shropshire Highways received £927,000 of additional Incentivisation fund in recognition of its Asset Management Approach (achieving Level 2 status) over and above its 2016/17 Capital block Grant from DfT). A detailed report was presented to and approved by Cabinet in October 2015 on this issue. Shropshire Highways were recognised for its good practice and was invited to share its approach at a national event in London in April 2016.

4.3 Cabinet should note that other authorities were awarded Level 3 status automatically as part of the transition process to Regional Devolution - such as the West Midlands Combined Authority, Liverpool, and Manchester Authorities et al.

4.4 Recognition that revenue budgets are reducing (£1.1 million has been agreed as corporate savings in 2016 /17 as Highways is classed as a 'maintained service'), over and above the reduced capital allocation as described above. Hence with a reducing capital and revenue pressure on the service, a key service priority is to identify efficiency via service reviews, or mini "Lean" reviews. Thus the manual has a focus on all of the above drivers of statutory, financial, reputational responsibilities, and the need to drive efficiencies in cost and work systems to embed new systems and process.

## 5 Background

5.1 Shropshire Council's highways service has developed an updated Highway Safety Inspection Manual for consideration by Cabinet – see **Appendix 1**. The highway network represents a significant asset to support the connectivity, resilience and reputation of the county. It is vitally important that this network is managed and developed appropriately.

5.2 Shropshire Council is responsible for the majority of highways in the county and these are used for:

- Vehicle journeys
- Walking
- Cycling
- Horse riding etc.

5.3 To provide some perspective, the table below provides a “dashboard indicator” of the volumes and scope of the highways assets.

Asset type	Quantity – length in kilometres or volume	Condition
<b>Carriageway</b>	5,150 km	Asset condition is comparable with other rural shire authorities. 13% of the carriageways could be considered for maintenance.
<b>Footway</b>	1,350 km	Approximately 2% of footways could be considered for maintenance.
<b>Structures</b>	1015 in total	The Bridge Condition Indicator for the stock of bridges is 80%.
<b>Drainage</b>	85,290 gullies in total	Gully data is being recorded and cleaning programme is ongoing.
<b>Street lighting</b>	18,311 columns in total	The equipment associated with traffic signals is in good condition, only smaller projects of upgrading pedestrian crossings required over the next 3 years and few major junctions in the next 5 years require Capital allocation.

5.4 For context, Shropshire has the following type of road by kilometre length (excluding trunk roads - managed by Highways England.)

Road type	Length (km`s)	Percentage of total
Minor roads	4,613.6	91.33%
Major Principal Roads	437.8	8.66%

- 5.5 The type, location, geography and topography of the road network, causes operational issues of logistics, network management and inherent hidden costs in physically assessing and 'seeing' the network in a dynamic and responsive content.
- 5.6 For clarity and understanding, the legal definition of the highway includes footpaths, walkways etc. Under the Highways Act 1980, Shropshire Council is not responsible for national trunk roads or motorways, these are managed by Highways England (for example the A5). Shropshire Council is responsible for all non-trunk A roads, as well as B, C and unclassified roads in Shropshire, as demonstrated in the above table.
- 5.7 The Highway Safety Inspection Manual has been revised – for key changes and amendments from the 2007 version to the proposed version, please refer to Appendix 2 to refresh the Council's approach to inspection, intervention and maintenance requirements, with the primary aim of providing operational guidance to Highway Technicians and Highway Managers who undertake inspections across the network on a prioritised basis.
- 5.8 The refreshed Highway Safety Inspection Manual will continue the existing countywide approach of utilising a formal system that prescribes the frequency of inspections and the method of assessing and recording its response to defects on the highway, and move towards identifying further efficiencies locally. Assuming approval, the revised guidance will be implemented from 1<sup>st</sup> October 2016 to allow for staff briefings and technical updates.
- 5.9 Street lights and bridge maintenance inspection schedules, policy and guidance are contained in other policies and are not included in this document.
- 5.10 For clarity, Cabinet should note that the Councils Insurance Team and Insurance Underwriters have been consulted upon this report and attached manual. The Councils insurers raised a number of clarification issues, which were duly responded to, all of these comments, clarifications or amendments have now been made and accepted by all.
- 5.11 The following are key sections of legislation that apply to the duty to maintain the highway:
- **Section 41 of the Highway Act 1980** imposes a duty on the Highways Authority to maintain those roads, footways and cycle tracks that are 'highways maintainable at public expense'.
  - **Section 58 of the Highways Act 1980** states that a statutory defence against third party claims is provided where the Highways Authority can establish that reasonable care has been taken to secure the part of the highway to which the action relates, so that it is not dangerous to traffic or users.

- **Section 130 of the Highways Act 1980** sets a general duty on the Highways to assert and protect the rights of the public in their lawful use of the highway.
- **Section 81 of the New Roads and Streetworks Act 1991** places a duty on utility companies to maintain their apparatus to the satisfaction of the Highways Authority.

5.12 Therefore, an updated and corporately agreed inspection manual is critical for the Council in respect of:

- Ensuring adequate resources are deployed by the Highways Authority to ensure a high quality intervention regime is constantly delivered.
- Providing confidence that statutory functions are being delivered as well as the reputational, economic and perception forming elements that the Council's major assets can create. The Council maintains a high repudiation rate in respect of third party claims, and this could have obvious consequences. **Currently the repudiation rate is circa 91.4% for 2016** (i.e. 91.4% of all claims defended / resisted). Obviously the figures vary depending on when the claims data is run, but Shropshire's repudiation rate is consistently above 90%, which is well above the national average. The average insurance claim nationally is circa £3,000, which can impact upon the council's direct and indirect budgets – i.e. increased insurance premiums.

5.13 For context the recent repudiation rates are:

<b>2014</b>	<b>90.9%</b>
<b>2015</b>	<b>95.4%</b>
<b>2016 (part year figure to date )</b>	<b>91.4%</b>

5.14 This document aims to improve this already high and well established position by ensuring efficiency of work ordering by Highways Technicians, and that consistent and efficient interventions are ordered for maintenance or repair via Highway Contractors to Shropshire Council.

5.15 Therefore the manual defines:

- Which type of defects are hazardous to highway users and must be dealt with as a priority
- Which defects should be repaired to avoid problems developing and can be dealt with as part of a works programme

- The safety inspection regime which forms a key aspect of Shropshire Council's strategy for managing liability and risk

5.16 The following aims are also supported by the manual:

- To assist Shropshire Council in implementing its approved asset management strategy (approved by Cabinet in October 2015)
- To collect data to ensure efficient and economic interventions into the highway network.
- To provide confidence that statutory responsibilities are being fulfilled.

5.17 Therefore the manual prescribes

- Which type of defects are hazardous to highway users and must be dealt with as a priority
- Which defects should be repaired to avoid problems developing and can be dealt with as part of a works programme
- The safety inspection regime which forms a key aspect of Shropshire Council's strategy for managing liability and risk
- To assist Shropshire Council in implementing its approved asset management strategy (approved by Cabinet in October 2015)
- To collect data to ensure efficient and economic interventions to the highway network.
- To provide confidence that statutory responsibilities are being fulfilled.

5.18 Currently Shropshire manages the carriageway asset according to a hierarchy based on Well Maintained Highways Code of Practice as set out in the following table:

<b>Category</b>	<b>Hierarchy Definition</b>	<b>Type of Road General Description</b>	<b>Description</b>
<b>1</b>	<b>Motorway</b>	Limited access motorway regulations apply	Routes for fast moving long distance traffic. Fully grade separated and restrictions on use
<b>2</b>	<b>Strategic route</b>	Trunk and some principal 'A' roads between primary destinations	Routes for fast moving long distance traffic with little frontage access or pedestrian traffic. Speed limits are usually in excess of 40 mph and there are few junctions. Pedestrian crossings are either segregated or controlled and parked vehicles are generally prohibited
<b>3a</b>	<b>Main Distributor</b>	Major urban network and inter-primary links. Short – medium distance traffic	Routes between strategic routes and linking urban centres to the strategic network with limited frontage access. In urban areas speed limits are usually 40 mph or less, parking is restricted at peak times and there are positive measures for pedestrian safety.
<b>3b</b>	<b>Secondary Distributor</b>	Classified road (B and C class) and unclassified urban bus routes carrying local traffic with frontage access and frequent junctions	In rural areas these roads link the larger villages and HGV generators to the strategic and main distributor network. In built up areas these roads have 30 mph speed limits and very high levels of pedestrian activity with some crossing facilities including zebra crossings. On- street parking is generally unrestricted except for safety reasons
<b>4a</b>	<b>Link road</b>	Roads linking between the main and secondary distributor network with frontage access and frequent junctions	In rural areas these roads link the smaller villages to the distributor roads. They are of varying width and not always capable of carrying two way traffic. In urban areas they are residential or industrial interconnecting roads with 30 mph speed limits, random pedestrian movements and uncontrolled parking
<b>4b</b>	<b>Local access road</b>	Roads serving limited numbers of properties carrying only access traffic	In rural areas these roads serve small settlements and provide access to individual properties and land. They are often only single lane width and unsuitable for HGVs. In urban areas they are often residential loop roads or cul-de-sacs.



5.19 Our hierarchy of footway network is similar to the current Well Maintained Highways Code of Practice structure and is shown in the table below

<b>Category</b>	<b>Category Name</b>	<b>Description</b>
<b>1</b>	<b>Primary Walking Route</b>	Busy urban shopping and business areas and main pedestrian routes
<b>2</b>	<b>Secondary Walking Route</b>	Medium usage routes through local areas feeding into primary routes, local shopping centres etc.
<b>3</b>	<b>Link Footways</b>	Linking local access footways through urban areas and busy rural footways
<b>4</b>	<b>Local Access Footways</b>	Footways associated with low usage, short estate roads to the main routes and cul-de-sacs.

5.20 While this hierarchy is a useful starting point, it is worth noting road classification should not be used as the sole basis for developing a hierarchy, as there may be differences between the classification of the road and its function or its criticality. Also, within Shropshire there are different characteristics that influence use of carriageways based on either a rural or urban setting, and as such, a more meaningful carriageway hierarchy based on road use would enable asset managers to make better decisions regarding the asset.

## **6 Conclusion**

6.1 This report and associated documentation develops our approach to achieving its statutory objectives under the Highways Act, and ensuring the continued development of the previously approved asset management approach.

### **List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)**

2007 Highways Inspection Manual

Cabinet Report of 14 October 2015, Shropshire Highways – Draft Asset Management and Communications Strategy and Implications of Department for Transport – Incentivised Funding.

#### **Cabinet Member (Portfolio Holder)**

Councillor Simon Jones, Portfolio Holder for Highways and Transport

**Local Members** – All local members affected.

## **Appendices**

**Appendix 1** Highway Safety Inspection Manual 2016

**Appendix 2** List of changes, amendments from the previously approved 2007 version

**Appendix 3** Equality and Social Impact Inclusion Assessment (ESIIA)

# Highway Safety Inspection Manual

October 2016



**SHROPSHIRE COUNCIL  
HIGHWAYS, TRANSPORT AND ENVIRONMENTAL MAINTENANCE**

**HIGHWAY SAFETY INSPECTION MANUAL**

**October 2016**

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## 1. INTRODUCTION

Safety inspections are an important means of keeping the highway safe for the travelling public. They are also vitally important in court cases for providing evidence that Shropshire Council takes a responsible attitude to its duties as a highway authority. If a member of the public has an accident which can be attributed to the condition of a section of highway, then the highway authority is liable to pay damages unless it can prove that it has taken reasonable care to keep the highway safe. The number of claims must be controlled as these have an impact on the highway maintenance budgets.

This inspection manual sets the standard for highway safety inspections on the county roads of Shropshire. In most cases following the advice given will be adequate, but staff engaged on safety inspections will be expected to apply their knowledge and experience to a proportionate assessment of the risks as they see it but if in any doubt they should seek advice from their supervisor. All details of inspections, defects and intended repairs must be recorded together with details of when subsequent repairs are carried out. In addition, sections with no defects must be positively recorded as such during inspections.

The Road Liaison Group Code of Good Practice for Highway Maintenance Management states:

“The establishment of an effective regime of inspection, assessment and recording is the most crucial component of highway maintenance”.

Condition Surveys are primarily intended to identify deficiencies in the structural condition of the highway which, if left untreated, are likely to adversely affect its long term performance and serviceability.

Service Inspections comprise of detailed assessments tailored to the particular type of highway to ensure that they meet the requirements for serviceability.

Safety Inspections are designed to identify all defects likely to create danger or serious inconvenience to network users or the wider community. The risk due to a hazard is assessed on site and the defect identified as detailed in Section 3 of this document with an appropriate priority response. All safety inspections are normally undertaken from a slow moving vehicle, double manned, and at frequencies that reflect the characteristics of the particular highway and its use. However this presumes that nearly all dangerous defects are observable from a slow moving vehicle. In practice this is not always achievable, especially for footpaths. In such circumstances the inspection should be completed on foot.

The main features covered in the safety inspection system are:

- Roads, footways and cycleways
- Highway structures
- Fences, guard rails and safety fences
- Signals, signs and road markings
- Trees, shrubs and grass verges
- Ironwork

## 2. SAFETY INSPECTIONS

Most safety inspections on the highway network will be undertaken from a slow moving vehicle travelling in one direction. On dual carriageways and wide single carriageways, inspections will be carried out in both directions in order that all features and possible defects on the network are observed from a road users' perspective. On single carriageway, strategic, main and secondary roads the inspections will take place from one direction in month one, and from the other direction in month two.

Driven inspections will be undertaken by an inspector with a driver.

**Table 1. Permissible methods of inspection**

	Mode		
	Driven	Cycled	Walked
<b>Carriageways</b>			
Strategic Routes	✓		✓ <sub>1</sub>
Main Distributor	✓		✓ <sub>1</sub>
Secondary Distributor	✓		✓ <sub>1</sub>
Link Roads	✓		✓ <sub>1</sub>
Local access Roads	✓		✓ <sub>1</sub>
<b>Footways</b>			
Primary Walking Route			✓
Secondary Walking Route			✓
Link Footways	✓ <sub>2</sub>		✓
Local Access	✓ <sub>2</sub>		✓
<b>Cycleways</b>			
Category Cycle Routes A	✓	✓	✓ <sub>1</sub>
Category Cycle Routes B	✓ <sub>1</sub>	✓	✓

Notes:

1 – Only permitted where the inspected surface can be clearly viewed and is not obscured by hedges, parked cars etc.

2 – On rural footways, safety inspections should be done from a slow moving vehicle with only the occasional need to proceed on foot. On urban footways, safety inspection from a slow moving vehicle may not be possible and may need to be conducted on foot.

The Code of Good Practice's current categorisation of roads and inspection intervals for safety inspections agreed by Shropshire Council, are as shown in Table 2.

A regular analysis of insurance claims should be undertaken. Any particular sections where there is a pattern of repeated claims should be considered for more frequent inspection than shown in Table 2.

Works orders to rectify dangerous defects must be consistently referenced in both the highway network and to safety inspection records.

An audit trail recording the process from identifying dangerous defects to the completion of the works is required. Works orders should differentiate between permanent and temporary repairs.

The inspection system will require schedules to be produced for roads to be inspected. Where no defects exist, nil returns must be recorded in the Integrated Highway Management System (IHMS) using the Data Capture Device (DCD). Defects found must be recorded and passed to the contractor for action. In the case of emergency repairs the date and time a defect is reported must be recorded, together with the date and time that the repair was completed.

The IHMS keeps details of road sections in its register. Inspection details are to be recorded using a DCD or, when a DCD is not available, on paper-based forms. The details are then to be transferred to the IHMS.

Reports of alleged dangerous defects may also be made by members of the public. These will be recorded in the IHMS, even if the defect is not found or not considered to be an immediate hazard. These reports will be investigated as a high priority action, typically on the same day, and any remedial actions will be made in the same way as for defects observed during a planned safety inspection.

Winter maintenance inspections should be treated as a special form of safety inspections and specific codes of practice adhered to. The results of the inspection and the proposed action must be recorded on a locally agreed basis.

The inspection due date is set by the previous date of inspection and the inspection frequency. The inspection regime acknowledges the need to maintain a regular inspection interval whilst acknowledging the normal operational challenges in maintaining that interval such as weekends, bank holidays, poor weather and normal variations in the time required to undertake inspections. An operational contingency, which is linked to the frequency of inspection and therefore risk, has been defined to cover these normal events and is given in Table 3.

The inspection must be completed by the earlier of the following two conditions:

- The end of the calendar month in which the inspection is due.
- The inspection due date plus the operational contingency.

The effect of the above conditions is illustrated in the following examples:

- *If an inspection due date is 10 May 2016 and the operational contingency is 5 working days, the inspection must be completed by 18 May 2016.*

- *If an inspection due date is 10 May 2016 and the operational contingency is 20 working days, the inspection must be completed by 31 May 2016.*

Inspection intervals can be extended further in exceptional circumstances such as severe weather events on the network. In these circumstances, the inspection must be undertaken as soon as is reasonably practicable following the event and a record maintained by the supervisor of the circumstances which prevented the completion of the inspection within the normal timescales.

**Table 2. Inspection Frequencies**

<b>Carriageways</b>			
<b>Category</b>	<b>Category Name</b>	<b>Description</b>	<b>Inspection Frequency</b>
<b>2</b>	Strategic Routes	Some Principal 'A' roads	1 Month
<b>3a</b>	Main Distributor	Other 'A' all 'B' roads and major urban network	1 Month
<b>3b</b>	Secondary Distributor	Urban 'C' roads and main inter settlement routes	1 Month
<b>4a</b>	Link Roads	Rural 'C' roads and urban minor distributor roads	3 Months
<b>4b</b>	Local access Roads	All other urban and rural roads carrying only access traffic	1 Year
<b>Footways</b>			
<b>Category</b>	<b>Category Name</b>	<b>Description</b>	<b>Inspection Frequency</b>
1	Primary Walking Route	Busy urban shopping and business areas and main pedestrian routes	1 Month
2	Secondary Walking Route	Medium usage routes through local areas feeding into primary routes etc.	3 Months
3	Link Footways	Linking local access footways through urban areas and busy rural footways	6 Months
4	Local Access Footways	All other low usage footways	1 Year
<b>Cycleways</b>			
A	Category A	Part of carriageway	As for the carriageway
B	Category B	Remote of carriageway	6 Months



**Table 3. Operational contingency**

<b>Inspection frequency</b>	<b>Operational contingency</b>
1 Month	5 working days
3 Months	5 working days
6 Months	20 working days
12 Months	20 working days

### **3. DEFECT IDENTIFICATION**

#### **3.1. Location of Defects**

All road sections within the county are identified by a Unique Road Section (URS) reference and on the National Street Gazetteer by a Unique Street Reference Number (USRN). Details of the USRN and the URS of a road section can also be found on the corporate Geographic Information System (GIS).

Defects must be referenced using the section's URS and suitable location details within that URS must be recorded.

#### **3.2. Defect Categories**

Clearly some defects need to be treated more urgently than others. In order to record how quickly action needs to be taken after an inspection, a "category" is applied to each individual defect.

**Table 4. Defect categories**

<b>Code of Practice Category</b>	<b>Shropshire Council Category</b>	<b>Description</b>
1	E	Make safe/repair within 24 hours
2H	1	Make safe/repair within 5 working days
2M	2	Make safe/repair within 20 working days
2L	3	Repair within future works programme

The time scale for each category commences when the defect is identified.

A list of Category E defects has been defined. In Shropshire, a risk-based approach has been applied to this list and the 24 hour action will generally be applied on the busiest locations, i.e. 'greatest risk' of an accident and resulting claim.

Some defects on minor roads must still be recorded as Category E where failure to act would mean that the first person to pass by would be likely to have an accident. This would apply to fallen trees, major bank slips, or particular potholes more than 100mm deep.

## **4. DEFECT DEFINITIONS**

### **4.1. Potentially Dangerous Deficiency**

In the Code of Practice, safety inspections are defined as a procedure designed to identify those defects likely to create danger or serious inconvenience to network users or the wider community, and therefore require immediate or urgent attention.

Category E defects are by definition immediate or imminent hazards, or hazards which pose a risk of short-term structural deterioration. They therefore require prompt attention.

It will however still be necessary for those undertaking inspections, or responding to reported incidents, to judge whether each observed or reported defect should be recorded as Category E and the consequent urgent action initiated. Each and every such decision could be critical to the safety of network users and may also potentially be subject to legal scrutiny in the event of an accident occurring at or near the site. In such circumstances complete and accurate records will be essential.

### **4.2. Suggested Items for Inspection**

This following section is a suggested schedule of deficiencies to be identified during safety inspections. It is not exhaustive and is provided as a check list only. It should be modified to suit local circumstances. The term running surface applies to the carriageway, footway or cycle route.

The schedule is as follows:

- Debris, spillage or contamination on running surface or hard shoulder.
- Displaced road studs lying on running surface.
- Overhead wires damaged or unstable.
- Damaged and exposed electrical wiring.
- Embankments and cuttings apparently unstable.
- Trees with loose branches or apparently unstable.
- Signs, signals or lighting damaged, defective, missing or unstable.
- Road markings and studs missing, misleading or badly worn.
- Signs, signals or lighting dirty or obscured.
- Sight-lines obscured by trees, unauthorised signs and other obstructions.
- Safety fencing, parapet fencing, handrail, and other barriers missing or defective.
- Abrupt level differences in the running surface.
- Potholes, cracks or gaps in the running surface.
- Crowning, depression and rutting in the running surface.
- Edge deterioration of the running surface.
- Kerbing, edging or channel defects.
- Rocking or otherwise unstable footpath or cycleway surfaces.
- Apparently slippery running surface.
- Ironwork (gully lids, manholes etc.) broken or missing.
- Gullies, drains or grips blocked or defective.
- Standing water, water discharging onto or overflowing across the running surface.

- Fords- inspected at same frequency as road category, check that depth gauge is present and record onto inspection record.

### **4.3. Deficiency and Risk**

Whether the above defects should be treated as Category E in particular circumstances, and the nature and speed of response, will depend, amongst other things, upon the assessed risk posed by:

- The depth, surface area or other degree of deficiency of the defect or obstruction.
- The volume, characteristics and speed of traffic.
- The location of the defect relative to highway features such as junctions and bends.
- The location of the defect relative to the positioning of users, especially vulnerable users, such as in traffic lanes or wheel tracks.
- The nature of interaction with other defects.
- Forecast weather conditions, especially potential for freezing of surface water.

A comprehensive list of investigatory levels, defect standards and responses are detailed in the Section 6.

## 5. ROLES

This document references a number of roles which are required to operate the safety inspection system. In a dynamic organisation, roles and titles can change; therefore the following generic descriptions of roles are defined which will be identifiable within the current organisational structure. An individual may undertake more than one of these roles.

Inspector	A person who has either been trained through a scheme that has been accredited by the Highway Inspectors Board or is able to demonstrate that they are suitably experienced in carrying out highway safety inspections.
Supervisor	A person who directly manages the task of safety inspections and is responsible for ensuring that the inspections are completed according to the required schedule and to the requirements of this manual.
Local Highways Manager	A person who is responsible for highways maintenance on a defined part of the network.
Local Highways Technician	A person who is able to assess risk and priorities on behalf of the Council using technical knowledge of highways maintenance; usually reports to the Local Highways Manager.
Traffic Team	Persons in this team are able to assess risk and priorities on behalf of the Council using technical knowledge of traffic management such as signs and lines.
Street Lighting Team	Persons in this team have responsibility for the operation and maintenance of the Council's street lighting asset.
Drainage Team	Persons in this team are able to assess risk and priorities on behalf of the Council using technical knowledge of highway drainage.
Natural Environment Team	Persons in this team are able to assess risk and priorities on behalf of the Council using technical knowledge of environmental issues.
Bridge Engineer	Person who is responsible for assessing risk and priorities on highway structures on behalf of the Council.
Arboricultural Officer	Person who is able to assess risk and priorities on behalf of the Council using technical knowledge of arboriculture.

## 6. HIGHWAY DEFECTS

This section is sorted into the usual activities related to the maintenance budget headings.

Many of the defects have notes or pictures as additional explanation.

<b>Heading</b>	<b>Activity</b>
Structural: E	Carriageway
Structural: F	Highway Drainage: Piped Drainage Systems, Gullies, Catchpits and Interceptors
Structural: F	Covers, Gratings, Frames and Boxes
Structural: F	Highway Drainage: Headwalls, Aprons, Filter Drains/Soakaways
Structural: G	Footways and Cycleways
Structural: G	Kerbs, Edging and Preformed Channels
Structural: H	Vehicle and Pedestrian Barriers
Structural: J	Embankments and Cuttings
Structural: S	Bridges and Walls
Routine/Horticultural: K	Grassed Areas
Routine/Horticultural: K	Hedges and Trees
Routine/Sweeping: L	Highway Obstructions/Cleansing/Spills
Routine/Signs: T	Signs: Face/Structure/Fixings
Routine/Signals: T	Traffic Signals: Hardware Routine/Drainage Cleaning: R Highway drainage: Flooding and Blockages
Routine/Road Markings: U	Roadstuds: General
Routine/Road Markings: U	Road Markings
Street Lighting: P	Road Lighting: Columns

## STRUCTURAL: E

### ACTIVITY - CARRIAGEWAY

#### \* DEFECTS

POTHOLES

FRETTING OF SURFACE JOINTS DEFECTIVE TRENCH

EDGE DETERIORATION

#### NOTES:

1. Response times for defects in the above category are given in Table 5.
2. Edge deterioration on rural unkerbed roads within 250mm of the original road edge and 50mm deep or less are not considered to be significant defects, and safety related action is not required.
3. Road sections where there is clear evidence of extensive rutting, poor cross sectional profile, poor longitudinal profile (unevenness), or smooth/polished areas, must be noted for inclusion in a future condition survey. In extreme cases, where for example the shape or unevenness is causing standing water to accumulate, creating a problem for traffic moving at legal speed, arrangements must be made to provide suitable warning signs.

**Table 5**

Road Category	Target response time for defects*		
	Type 1 (>100mm)	Type 2 (51-100mm)	Type 3 (25-50mm)
Strategic Route	Cat E	Cat E	Cat 1
Main Distributor (Urban)	Cat E	Cat E	Cat 1
Main Distributor (Rural)	Cat E	Cat 1	Cat 2
Secondary Distributor	Cat E	Cat 1	Cat 2
Link Road (Urban)	Cat E	Cat 1	Cat 2
Link Road (Rural)	Cat 1	Cat 1	Cat 3
Local Access (Urban)	Cat E	Cat 1	Cat 3
Local Access (Rural)	Cat 1	Cat 2	Cat 3

\* During severe weather conditions it may not always be possible to meet the target response times.

Defects have been classed as follows:

Type 1:

- Abrupt level difference in the surface >100mm (when measured vertically)
- Potholes >100mm deep
- Fretting of surface joints >100mm deep
- Edge deterioration >100mm deep

Type 2:

- Abrupt level difference in the surface >50mm up to 100mm (when measured vertically)
- Potholes >50mm up to 100mm deep
- Fretting of surface joints >50mm up to 100mm deep
- Edge deterioration >50mm deep

Type 3:

- Abrupt level differences in the surface >20mm up to 50mm (when measured vertically)
- Potholes >25mm up to 50mm deep



Pothole, Type 2 Defect on Secondary Distributor. Target Response Time Cat 1.



Edge deterioration Secondary Distributor, Type 3 defect: Target Response time Cat 2.



Fretting/Pothole, Local rural, Type 2: Target Response Time Cat 2.





Fretting/Cracking Main Distributor urban, Type 3: Target Response Time Cat 1.



Secondary Distributor, surface crazing include in renewal programme.

## STRUCTURAL: F

### ACTIVITY - HIGHWAY DRAINAGE: PIPED DRAINAGE SYSTEMS, GULLIES, CATCHPITS & INTERCEPTORS

#### \* DEFECTS

#### STANDING WATER

#### NOTES:

1. On strategic, main and secondary distributors, where one quarter of road width or more is covered by running or standing water, temporary warning signs must be erected within 24 hours in the first instance. When regular flooding occurs and funds are not immediately available to solve the flooding problems, permanent warning signs must be considered.
2. On other roads, where one half of the road width or more has running or standing water, temporary warning signs must be provided if:
  - The problem has not been resolved within 5 working days and the depth of standing water exceeds 75mm.
  - The problem has not been resolved within 5 working days and where water is running along one half of the road.
3. On the winter maintenance defined network of roads, blocked drainage systems, especially gullies, must be investigated within 5 working days if there is a significant seepage of water across the carriageway. Such seepage can cause the loss of any salt applied and rapidly lead to a significant build up of ice.



Standing water Local rural, action see note 2

## STRUCTURAL: F

### \* ACTIVITY – COVERS, GRATINGS, FRAMES AND BOXES

#### \* DEFECTS

CRACKED OR BROKEN

DIFFERENCE IN LEVEL WITH ROAD/FOOTWAY MISSING

PARALLEL GRATINGS ROCKING UNDER LOAD

CRACKING OR DEFECT AROUND IRONWORK

#### NOTES:

1. For defects on or immediately around fire hydrants refer to the Fire & Rescue Service by fax. Contact Brigade Water Officer on fax number 01743 260268. (If there is serious danger, arrangements must be made to make safe immediately by the Inspector).
2. For defects in non highway service furniture, these should be recorded and notified to the appropriate service company, the responsible body, or private owner. (If there is serious danger, arrangements must be made to make safe immediately by the Inspector).
3. All missing ironwork is to be treated as an emergency.
4. All ironwork that is badly cracked or broken, rocking under load and cracking, or any defect around ironwork, is to be made safe, if necessary.
5. All ironwork with a difference in level with the road should be dealt with in accordance with carriageway defects Table 5, except Type 3 defects on Strategic Routes and Main Distributors (Urban) which should be treated as Category 2 defects, in the footway in accordance with the footway defects Table 6, and in the cycleway in accordance with Cycleway Table 7.



Stop tap trip, Link Footway, Type 2: Target Response Time Cat 2.



Broken cover, Secondary Footway: Target Response Time Cat E.



Broken BT cover Local Access: Target Response Time Cat E.



BT cover Main Distributor rural, Type 3: Target Response Time Cat 2.



Fire Hydrant cover, see note 1.

## **STRUCTURAL: F**

### **\* ACTIVITY – HIGHWAY DRAINAGE: HEADWALLS, APRONS, FILTER DRAINS, SOAKAWAYS**

#### **\* DEFECTS**

HEADWALL/APRON CONDITION WEED GROWTH  
FILTER MATERIAL DISPLACED SILTED

#### NOTES:

1. Significant weed growth and silting up of drainage material that does not allow for effective run off of surface water may result in standing water on the highway. Arrangements should be made for action to be taken in the first instance under Drainage, and then arrangements made to clear or cleanse the affected sections as part of routine maintenance operations.
2. Displaced filter material on all main roads should be treated as an emergency.
3. Any significant scour or damage evident must be recorded and reported to the Local Highways Manager.



Blocked gully Secondary Distributor: Target Response Time Cat 1.



Blocked gully, Local rural: Target Response Time Cat 2.



Damaged drain inlet: Target Response Time Cat 1.

## STRUCTURAL: G

### \* ACTIVITY – FOOTWAYS AND CYCLEWAYS

#### \* DEFECTS

MAJOR CRACKING/POTHOLE/ABRUPT DIFFERENCE IN LEVEL FRETTING  
SLAB PROFILE – UNEVEN/TRIPS/GAPS >20MM SLAB ROCKING  
SLAB MISSING  
OVERGROWN BY VEGETATION  
DEFECTIVE TRENCH (SERVICE COMPANIES) ROOT DAMAGE – ABRUPT  
DIFFERENCE IN LEVEL

#### NOTES:

1. Potholes greater than 20mm deep and abrupt differences in level greater than 20mm, when measured vertically, shall be treated as an emergency on all footways in primary and secondary walking routes and link footways. On all other footways arrangements should be made to make safe or undertake repairs within 5 working days (see Table 6).
2. Non highway trenches with potholes greater than 20mm deep or abrupt differences in level greater than 20mm, when measured vertically, shall be recorded and notified to the appropriate service company, responsible body, or private owner. If there is a serious danger arrangements should be made to make safe immediately.
3. Rocking slabs, setts and such like must be checked to define whether they are a Type 1 or Type 2 defect.

**Table 6**

Footway Category	Target response time for defects*	
	Type 1 (>20mm)	Type 2 (see Note 4) (>10-20mm)
Primary Walking Route	Cat E	Cat 2
Secondary Walking Route	Cat 1	Cat 3
Link Footway	Cat 1	Cat 3
Local Access Footway	Cat 1	Cat 3

**Table 7**

Cycleway Category	Target response time for defects*	
	Type 1 (>20mm)	Type 2 (see Note 4) (10-20mm)
A	Cat 1	Cat 2
B	Cat 1	Cat 2



During severe weather conditions it may not always be possible to meet the target response times.

**Defects have been categorized as follows:**

Type 1:

- Abrupt level difference in the surface >20mm (when measured vertically)
- Potholes >20mm deep
- Fretting of surface joints >20mm deep
- Rocking slabs, giving a trip of >20mm

Type 2:

- Abrupt level difference in the surface >10mm up to 20mm (when measured vertically)
- Potholes >10mm up to 20mm deep
- Fretting of surface joints >10mm up to 20mm deep
- Rocking slabs, giving a trip of >10mm up to 20mm



Displaced slab, Secondary Walking Route, Type 2: Target Response Time Cat 3.



Little used rural footway overgrown by vegetation. Include in a siding programme when more than half of the footway overgrown.



Footway, broken slabs, Link Footway: Target Response Time Cat 3.



Footway damaged by over-running, include in renewal programme.



Footway surface and kerb problem, include in renewal programme.

## **STRUCTURAL: G**

### **\* ACTIVITY – KERBS, EDGING AND PREFORMED CHANNELS**

#### **\* DEFECTS**

DAMAGED

HORIZONTAL PROJECTION LOOSE/ROCKING

MISSING

VERTICAL PROJECTION

#### NOTES:

1. Many of the defects can be made safe using bituminous material. Permanent repairs should be carried out as part of routine repair programmes, subject to the availability of funds.
2. Where there is a footway immediately adjacent Target Response Times should be in accordance with Table 6.
3. Where there is no footway immediately adjacent and kerbs are damaged or missing, a risk assessment will be undertaken by a Local Highways Technician to determine the scale of works and response time required.
4. A regular spot kerb/kerb replacement programme should be developed to deal with missing or badly damaged kerbs that have been made safe using bituminous material.



Damaged kerb, make safe with bituminous material and include in spot kerb replacement programme.



Damaged kerb, make safe with bituminous material and include in spot kerb replacement programme.

## **STRUCTURAL: H**

### **ACTIVITY – VEHICLE AND PEDESTRIANS BARRIERS**

#### **\* DEFECTS**

DAMAGED/DEFORMED

CORROSION

ROT

VISIBILITY RESTRICTED

#### **NOTES:**

##### **Vehicle Barriers**

1. On all roads the site should be made safe within 24 hours of damage being notified or observed, by the provision of suitable warning signs. The provision of temporary barriers or lane closures should be considered where a Local Highways Technician has carried out a risk assessment exercise which indicated a significant risk to road users.

##### **Pedestrian Barriers**

2. For all barriers on primary and secondary walking routes the site must be made safe within 24 hours. Chestnut paling fencing can be used for this purpose. Permanent repairs must be carried out within 20 working days.

## **STRUCTURAL: J**

### **\* ACTIVITY – EMBANKMENTS AND CUTTINGS**

#### **\* DEFECTS**

FOUNDATION FAILURE/MAJOR SUBSIDENCE ROCK SLIDE

SEEPAGE

SLIDE (NON-ROCK) SLIP (NON-ROCK)

#### **NOTES:**

1. In cases of severe foundation failure or subsidence, an emergency road closure will be arranged and an engineering investigation undertaken by a Local Highways Technician within 24 hours.

Severe foundation failure in a cutting or embankment will result in significant deformation of adjacent surfaces. This may also include parts of the carriageway, footway, cycleway or verge. Under these circumstances normal use of the highway is not possible.

2. Rock slides, slides and slips must be reported immediately to the Local Highways Manager who will then carry out risk assessments. If the Local Highways Manager decides to close the road, immediate arrangements will be made to make the site safe and provide suitable warning signs. If the road is not to be closed, the site must be made safe within 24 hours by the provision of suitable warning signs.
3. Suitable advance warnings and warning signs must be provided within 24 hours on all Strategic, Main and Secondary Distributor Roads where foundation failures or major subsidence results in abrupt differences of >100mm.
4. Suitable advance warnings and warning signs must be provided within 5 working days on all other roads where foundation or major subsidence result in abrupt difference of >100mm.
5. Significant seepage that results in standing water and water running along the carriageway must be treated in accordance with the standing water defect procedure (as detailed previously). An emergency investigation and risk assessment will be undertaken by a Local Highways Technician within 5 working days.



Landslide, storm damage see note 2.



Mudslide, storm damage see note 2.



## **STRUCTURAL: S**

\* ACTIVITY – BRIDGES AND WALLS

\* DEFECTS

DAMAGED/DEFORMED

UNSTABLE MASONRY/BRICKWORK ROT

VISIBILITY RESTRICTED

NOTES:

1. All unstable masonry or brickwork observed in any structures adjacent to the highway must be reported immediately to the Local Highways Manager. A risk assessment must be carried out within 24 hours by suitably qualified staff. If necessary damage must be reported to the Bridge Engineer.



Damage to parapet wall see note 1.

## **ROUTINE/HORTICULTURAL: K**

### **\* ACTIVITY – GRASSED AREAS**

#### **\* DEFECTS**

INADEQUATE VISIBILITY

INJURIOUS WEEDS

OVERGROWN BY VEGETATION

#### **NOTES:**

1. Sites on Strategic, Main and Secondary Distributor Roads reported to have inadequate visibility should be inspected within 24 hours and arrangements made to make safe within 5 working days.
2. On all other roads, sites reported to have inadequate visibility should be inspected within 5 working days and arrangements made to make safe.
3. Injurious weeds growing on highways which could cause danger to humans, such as giant hogweed, should be treated by suitably qualified personnel within 5 working days.
4. Sites on Strategic and Main Distributor Roads reported to be dangerously overgrown by vegetation should be inspected within 24 hours. On all other roads dangerously overgrown vegetation should be inspected within 5 working days.



Local rural road overgrown by vegetation restricting visibility: Target Response Time Cat 2.



Injurious weeds – Giant Hogweed, must be treated by suitably qualified personnel. Target Response Time Cat 1.

## **ROUTINE/HORTICULTURAL: K**

### **\* ACTIVITY – HEDGES AND TREES**

#### **\* DEFECTS**

DEAD TREE DYING/DISEASED TREE

DEAD BRANCH OVERHANGING FOLIAGE

UNSTABLE

#### **NOTES:**

1. Highway safety inspections should include highway trees, including those outside, but within falling distance of the highway. Inspectors should take note of any encroachment or obstruction to visibility caused by highway trees. Any obvious damage, ill health or trip hazards should also be noted.
2. If there is an immediate danger to network users, the site is to be made safe within 24 hours. In addition, the matter should be referred to the Arboricultural Officer for advice.
3. In other instances, work required on trees adjacent to the highway should be referred to the landowner and action taken to remedy the situation agreed.



Target  
Response Time  
Cat E: make  
safe and inform  
the adjacent  
land-owner.  
Arrange to cut  
back if no action  
within 5 working  
days.



Overhanging tree, see note 3.



Diseased tree, see notes 1 and 2, and refer to Arboricultural Officer.

## **ROUTINE/HORTICULTURAL: L**

### **\* ACTIVITY – HIGHWAY OBSTRUCTIONS/CLEANSING/SPILLS**

#### **\* DEFECTS**

DEBRIS

SLURRY/MUD ON HIGHWAY FALLEN TREE OR BRANCH

DANGEROUS STRUCTURE NEAR HIGHWAY ROAD TRAFFIC ACCIDENT

OIL SPILLAGE FUEL/CHEMICAL SPILL

UNAUTHORISED OBSTRUCTION

#### NOTES:

1. Shropshire Council is responsible for the routine sweeping and cleansing of the highway.
2. Accident debris, slurry, mud deposits, oil spillages and the like on Strategic, Main and Secondary Distributor Roads that are considered by a Local Highways Technician to pose a significant risk to network users, must be made safe within 24 hours by the provision of warning signs and/or cleansing.

In the case of persons other than the highway authority causing debris, the person responsible must be contacted and request made for signing/cleaning up immediately. If a response is not forthcoming, sign and/or cleanse and re-charge.

3. On all other roads, a risk assessment will be carried out by a Local Highways Technician and arrangements made to sign and cleanse within 5 working days.

In the case of persons other than the highway authority causing the debris, the person responsible must be contacted and request made for signing/cleaning up within 5 working days. If a response is not forthcoming, sign and/or cleanse and re-charge.

4. All fuel and chemical spillages will be dealt with following consultation with the emergency services. In the event of advice being delayed from the emergency services, the site will be made safe by signing, and in extreme cases, by emergency road closures.



Mud on Local rural, see notes 2 and 3.



Rubbish deposited on road, see note 3.



## **ROUTINE/SIGNS: T**

### **\* ACTIVITY – SIGNS: FACE/STRUCTURE/FIXINGS**

#### **\* DEFECTS**

DAMAGED EXPOSED WIRING LAMP FAILURE  
LAMP ON DURING DAY MISSING  
OBSCURED SIGN  
PHYSICAL CONDITION OF POST/FITTINGS POINTING WRONG WAY  
REFLECTIVITY

#### **NOTES:**

1. The primary objective is to keep all traffic signs legible, visible and effective as far as possible at all times. The following defects in signs and bollards should be treated as Category E defects on Strategic, Main and Secondary Distributor Roads and all other road approaches to main roads:
  - Matters affecting the legibility of important warning and regulatory signs.
  - Damage, deterioration or vandalism to signs and bollards leaving the either the sign, or situation to which it applied, in a dangerous condition.

Permanent repairs should be undertaken within 5 working days wherever practicable.

On all other roads, the sites should be treated as Category 1 and permanent repairs undertaken within 20 working days.

2. On all roads, other road signs including posts and fittings that are missing, damaged, obscured or pointing the wrong way, should be treated as Category 3 and repaired within 3 months (unless they are considered redundant following consultation with the Traffic Team).
3. Lamp failures and lamps illuminated during the day should be reported to the Street Lighting Team who will arrange for the Term Contractor to undertake the necessary repairs.
4. Illuminated stop signs with lamp failure and any exposed wiring should be reported to the Street Lighting Team immediately by telephone.



Regulatory sign obscured Link Road: Target Response Time Cat 1.



Main Distributor target response time: Target Response Time Cat E.



Leaning sign Local urban: Target Response Time Cat 1.



Worn direction signs on Strategic Route, see note 2.



Damaged signs on Strategic Route; Target Response Time Cat 3.

## **ROUTINE/SIGNALS: T**

### **\* ACTIVITY – TRAFFIC SIGNALS: HARDWARE**

#### **\* DEFECTS**

ALIGNMENT OR OBSCURATION CONDITION OF BUTTONS  
CONDITION OF POLES/HEADS  
DAMAGED (STATE POLE/HEAD ETC.) EQUIPMENT CABINET CONDITION  
FAULTY MAST ARM ASSEMBLY LAMP FAILURE  
PHASE TIMES INCORRECT SIGNALS STUCK  
WAIT LAMP FAILURE ON PEDESTRIAN CROSSING NO ELECTRICITY  
SUPPLY  
COMPLETE FAILURE

#### **NOTES:**

1. All defects must be formally reported immediately by telephone to the Street Lighting Team who will then arrange for the necessary repairs.
2. Suitable temporary warning signs must be erected as soon as practicable, but within a 24 hour time frame.

See note 1.



## **ROUTINE /DRAINAGE CLEANING: R**

### **\* ACTIVITY – HIGHWAY DRAINAGE: FLOODING AND BLOCKAGES**

#### **\* DEFECTS**

#### **BLOCKAGES OF CULVERT/DITCH/DITCH OUTLET SILT ACCUMULATION**

#### **NOTES:**

1. Blocked drainage systems must be investigated within 5 working days if a significant seepage of water across the carriageway occurs. On the defined network of roads for winter maintenance, such seepage can result in the loss of any salt applied and rapidly led to a significant build up of ice. Seepage also significantly increases the risk of aquaplaning and wet skid accidents
2. Sections of Strategic, Main and Secondary Distributors that flood because of blockages and silt accumulation must be made safe within 24 hours by the provision of warning signs. Arrangements should be made to clear the blockage or siltation within 5 working days.

Sections of other roads that flood must be made safe by the provision of warning signs within 5 working days, following a risk assessment by a Local Highways Technician. Arrangements should be made to clear the blockage and siltation within 20 working days.

3. Advice must be sought from the Drainage Team on all privately owned ditches used to carry the highway water, which become blocked or silted up.
4. All properties reported to be subject to flooding as a result of highway drainage or the presence of the highway must be investigated. In cases of serious flooding, investigations must be undertaken immediately. Less serious cases should be investigated on the next working day and the remainder within 5 working days.

The cause of flooding must be identified and alternatives to prevent or minimise a recurrence evaluated.

A risk assessment will be undertaken by the Local Highways Manager to define the necessary follow up action to prevent or minimise a recurrence. Such action may have to be phased. Each phase must be undertaken as soon as possible.



Flooded Local road, see note 2.



Flooded Local road, see note 2.

## **ROUTINE/ROAD MARKINGS: U**

### **\* ACTIVITY – ROADSTUDS: GENERAL**

#### **\* DEFECTS**

DAMAGED CATSEYE CASING LOOSE CATSEYE

MISSING CATSEYE CASING

DAMAGED/MISSING CATSEYE RUBBERS DAMAGED/MISSING STICK ON

LOW CATSEYE – more than 6mm under template when template rests on road surface

HIGH CATSEYE – more than 6mm between edge of template and road surface

#### **NOTES:**

1. Missing catseyes, loose catseyes or badly damaged catseye casings are to be made safe within 24 hours and replaced in the next available programme.
2. Low or high catseye casings or damaged catseye rubbers are to be replaced in the next available programme if more than 10% are observed over a 300m section of warning lines, or 10% on any double line system.
3. Damaged or missing stick-on road studs are to be replaced in the next available programme if more than 10% are observed over a 300m section of warning lines, or 10% on any double line system.



Worn catseye, double line system, see note 2.



## **ROUTINE/ROAD MARKINGS: U**

### **\* ACTIVITY – ROAD MARKINGS**

#### **\* DEFECTS**

WEAR

REFLECTIVITY

MISSING

OBSCURED

#### **NOTES:**

1. When more than 50% of road markings are missing or worn away, markings should be replaced during the next available programme and within three months on Strategic, Main and Secondary Distributor roads. Consideration must be given to erecting warning signs following a risk assessment of the site by a Local Highways Technician.

Longitudinal road markings should normally be assessed over a 300m length. In the case of double white line systems or approaches to junctions, a 50m section should be used instead.

When 50% of Stop and Give Way markings are missing or worn away on all road categories, marking should be replaced within 3 months.

2. When more than 50% of road markings are obscured, or are visible by day, but not reflective at night, markings should be replaced during the next available Programme and within three months on Strategic, Main and Secondary Distributor roads

Consideration must be given to erecting warning signs following a risk assessment of the site by a Local Highways Technician. Longitudinal road markings should normally be assessed over a length of 300m. In the case of double white line systems, or approaches to junctions, a 50m section should be used instead.

3. When road edge markings have been provided on sections of road with a centre line marking, the minimum recommended road width should be 5.5m. This can vary due to safety reasons such as highlighting an approach to a narrow bridge, or to redefine the edge of the road because of serious edge defects. In both circumstances the centre line marking should be removed. If in doubt seek further advice from the Traffic Team.



Faded road markings: Target Response Time Cat 2



Worn double line system on a Secondary Distributor, see note 2.

## **STREET LIGHTING: P**

### **\* ACTIVITY – ROAD LIGHTING: COLUMNS**

#### **\* DEFECTS**

DAMAGED COLUMN (VANDALISM) LEANING OR COLLAPSED COLUMNS  
EXPOSED WIRING MISSING OR OPEN DOOR  
HANGING OR MISSING LANTERN BOWLS LAMP ON DURING DAY (DAY  
BURNER)  
OBSCURED LAMP

#### **NOTES:**

1. Damaged, leaning or collapsed columns, that are dangerous in the opinion of a Local Highways Technician, and exposed wiring, missing or open doors, or hanging lanterns, must be reported immediately to the Street Lighting Team by telephone.
2. All day burners or missing lantern bowls should be referred to the Street Lighting Team. When a significant number are observed on a section of highway the Street Lighting Team must be contacted within 24 hours.
3. All lamps obscured by highway trees, foliage and the like should be referred to the Street Lighting Term Maintenance Contractor in the first instance. Major pruning will be arranged by a Local Highway Technician in liaison with the Natural Environment Team.
4. Lamps obscured by trees, foliage and the like in private ownership should be referred to the owner using the procedure for overgrown trees and hedges.



Exposed wiring emergency, see note 1: Target Response Time Cat E.

Damaged column, see note 1: Cat E.



## Proposed changes made in Highway-Inspection-manual-edit2

Original document: Highway-Inspection-manual-September-2014

Date: 12 March 2016

Section	Comment/Change
All	Paragraph numbers removed as this were not used consistently and were confusing with level 2 headings.
Introduction	'Economy and Environment' replaced with 'Highways, Transport and Environmental Maintenance'
Introduction	End of paragraph 1 now reads 'The number of claims must be controlled as these have an impact on the highway maintenance budgets.'
Introduction	'as such during inspections' added to the end of paragraph 2
Introduction	'risk of danger' changed to 'risk due to a hazard'
Safety Inspections	'Safety Inspections – Roads' and 'Safety Inspections – Footways and Cycleways' have been combined into a single section. In practice the inspectors do not do footway inspections and carriageway inspections. Some of the existing text in Roads referred to footway inspections, other requirements are not repeated in the footway section; having one section solves this.
Safety Inspections	Road changed to Highway
Safety Inspections	The methods for carrying out the inspections have been put into one place. The categories are not referred to as the name to avoid confusion in the next and be consistent with the carriageway bits.
Safety Inspections	'by cycle' changed to 'on foot or by cycle'
Safety Inspections	Table 1 gives all the inspection frequencies in one place for improved clarity.
Safety Inspections	'by Divisional staff' removed to allow for the job to be done county-wide and commissioned out if required.
Safety Inspections	Highways Network Management Group replaced with Shropshire Council.
Safety Inspections	'These will be recorded on a locally agreed basis' changed to 'These will be recorded in the IHMS'
Safety Inspections	I would recommend removing the allowance for staff to be sick, especially if this document might form our brief for a contractor.
Safety Inspections	I would recommend that the final paragraph is changed. This paragraph only works for annual inspections. This should be revised to something like on the due date e.g. on the anniversary of the previous annual inspection.
Inspection System	Changed from Computerised Inspection System to Inspection System. Feels more modern.
Inspection System	Confirm removed and replaced with IHMS where appropriate. This allows us to change the system without the policy.
Defects	'For each budget heading' removed. I was told that inspection systems should not be related to financial items.
Location of Defects	Unique Road Sections promoted over USRNs. Inspections are actually done on URSs'
Defect Categories	'The categories match the current ordering system in "CONFIRM".' This statement is irrelevant in an inspection manual.
Defect	Do you need to define what a working day is as you discriminate the response

Categories	based on it?
Defect Categories	Risk based approach used instead of Risk Management Philosophy; it is the current term.
Defect Categories	<p><i>'A list of Category E defects has been defined. In Shropshire, a risk-based approach has been applied to this list and the 1 hour action will generally be applied on the busiest locations, i.e. 'greatest risk' of an accident and resulting claim.'</i> This paragraph is really misleading. One hand it states that Cat E will be 'generally applied' in the busiest locations (rather than Cat 1 or Cat 2) and also it suggests that Cat E is not used on minor routes which is not the case (Cat E is used on Local Access roads). I would recommend it is removed or changed to something as follows:</p> <p><i>'A list of Category E defects has been defined. In Shropshire, a risk-based approach has been applied to this list of defects and the fastest response applied where any hazard presents the greatest risk of an accident.'</i></p>
Highway Defect List	Removed the response times, these are simply repeated from the table above.
Section 7	Budget Heading is not Heading
Section U	Noted change for consistency on road markings in more than half of the marking must be worn to trigger an action. Changed text for clarity.
Section U	Changed the other trigger from 30% to 50% for consistency and reworded in alignment with the above comment.

- References to old organisations and departments have been updated as appropriate. References to specific systems (e.g. Confirm) have been removed and replaced with generic terms (e.g. IHMS) to allow for the authority to replace systems if needed.
- There are subtle edits to the introduction to improve clarity and precision.
- The 'Safety Inspections – Roads' and 'Safety Inspections – Footways and Cycleways' of the current document have been combined into a single section in the proposed document. Some of the existing text in the Roads section referred to footway inspections, other requirements are not repeated in the footway section; having one section solves these consistency issues.
- In the proposed Safety Inspections section, the methods for carrying out the inspections have been put into one place as stated above. The network classification categories are now referred to as the name rather than code to avoid confusion and be consistent with the current carriageway statements.
- In the proposed Safety Inspections section, Table 1 now gives all the inspection frequencies in one place for improved clarity.
- In the proposed Safety Inspections section, the words 'by Divisional staff' have been removed to allow for regular analysis of insurance claims to be done county-wide and commissioned out if required.
- In the proposed Safety Inspections section, the current phrase 'These will be recorded on a locally agreed basis' has been changed to 'These will be recorded in the IHMS' (IHMS has been defined).
- In the proposed Safety Inspections section, the text which allows for inspections to be delayed for staff sickness has been replaced by a section on operational contingency. This new section further clarifies the requirements on the Authority.
- In the proposed Safety Inspections section, where inspections are delayed in exceptional circumstances (e.g. severe weather), there is now a requirement for a record to be maintained of why these circumstances occurred.

- The reference to the inspection form in Appendix A which is called Computerised Inspection System in the current document has been removed.
- Under 'Location of defects', the network referencing requirements have been updated in line with the current practice.
- Paragraph 4 of Section G in the former document which introduced a judgement on future deterioration has been removed to keep outcome of the inspection purely based on what has been seen.
- Section U – Road Markings. A change has been made for road markings in order to standardise the intervention at 50% or more worn (day or night visibility); this has increased the intervention level from 30% to 50% on main roads. The reason for this change is to improve the consistency of the approach.

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## Equality and Social Inclusion Impact Assessment (ESIIA) Contextual Notes 2015

### ***The What and the Why:***

The Equality and Social Inclusion Impact Assessment (ESIIA) approach replaces the Equality Impact Needs Assessments (EINAs) previously in use by Shropshire Council. It helps to identify whether or not any new or significant changes to services, including policies, procedures, functions or projects, may have an adverse impact on a particular group of people, and whether the human rights of individuals may be affected.

This broader assessment covers consideration of social inclusion. This is so that we are thinking as carefully and completely as possible about all Shropshire groups and communities, including people in rural areas and people we may describe as vulnerable, for example due to low income or to safeguarding concerns, as well as people in what are described as the nine 'protected characteristics' of groups of people in our population, eg Age. We demonstrate equal treatment to people who are in these groups and to people who are not, through having what is termed 'due regard' to their needs and views when developing and implementing policy and strategy and when commissioning, procuring, arranging or delivering services.

It is a legal requirement for local authorities to assess the equality and human rights impact of changes proposed or made to services. Carrying out ESIIAs helps us as a public authority to ensure that, as far as possible, we are taking actions to meet the general equality duty placed on us by the Equality Act 2010, and to thus demonstrate that the three equality aims are integral to our decision making processes. These are: eliminating discrimination, harassment and victimisation; advancing equality of opportunity; and fostering good relations.

### ***The How:***

The guidance and the evidence template are combined into one document for ease of access and usage, including questions that set out to act as useful prompts to service areas at each stage. The assessment comprises two parts: a screening part, and a full report part.

***Screening (Part One)*** enables energies to be focussed on the service changes for which there are potentially important equalities and human rights implications. If screening indicates that the impact is likely to be positive overall, or is likely to have a medium or low negative or positive impact on certain groups of people, a full report is not required. Energies should instead focus on review and monitoring and ongoing evidence collection, enabling incremental improvements and adjustments that will lead to overall positive impacts for all groups in Shropshire.

A ***full report (Part Two)*** needs to be carried out where screening indicates that there are considered to be or likely to be significant negative impacts for certain groups of people, and/or where there are human rights implications. Where there is some uncertainty as to what decision to reach based on the evidence available, a full report is recommended, as it enables more evidence to be collected that will help the service area to reach an informed opinion.

## Shropshire Council Part 1 ESIIA: initial screening and assessment

*Please note: prompt questions and guidance within boxes are in italics. You are welcome to type over them when completing this form. Please extend the boxes if you need more space for your commentary.*

### **Name of service change**

New Policy and Inspection Manual for Shropshire Highways, the policy and the manual are a legal requirement in order for the Council to defend its maintenance regime in respect of third party claims, litigation, and follows National Code of Practice on Well Maintained Highways, hence this is a refresh and revision of the existing policy and technical manual. The Authority has little discretion and choice in this matter.

### **Aims of the service change and description**

The aim of the policy and technical manual is to ensure that the Council continues to carry out maintenance of highways in line with national best practice. This will also place the Council in a defensible legal position, against insurance claims or other associated claims. There is no change to the service, other than a revision of policy and guidance in line with national best practice.

### **Intended audiences and target groups for the service change**

All users of the highways, i.e. the general public, businesses, target groups such as school and community transport etc., as stated this is a legal, technical and code of practice document to encourage well maintained highways, which will be a positive benefit to all.

### **Evidence used for screening of the service change**

The Council has taken note of its legal requirements as well as good practice obligations. Please see committee report (attach hyperlink) for more detail.

### **Specific consultation and engagement with intended audiences and target groups for the service change**

Whilst there is no requirement to carry out specific consultation, as it is a technical, legal national code of practice requirement to effectively maintain the highway, the service area continues to seek and collect feedback from the general public etc. with regard to highways maintenance, e.g. potholes reporting and remedial action.

## **Potential impact on Protected Characteristic groups and on social inclusion**

### **Guidance notes on how to carry out the initial assessment**

Using the results of evidence gathering and specific consultation and engagement, please consider how the service change as proposed may affect people within the nine Protected Characteristic groups and people at risk of social exclusion.

1. Have the intended audiences and target groups been consulted about:

- their current needs and aspirations and what is important to them;

- the potential impact of this service change on them, whether positive or negative, intended or unintended;
  - The potential barriers they may face.
2. If the intended audience and target groups have not been consulted directly, have representatives been consulted, or people with specialist knowledge, or research explored?
  3. Have other stakeholder groups and secondary groups, for example carers of service users, been explored in terms of potential unintended impacts?
  4. Are there systems set up to:
    - monitor the impact, positive or negative, intended or intended, for all the different groups;
    - Enable open feedback and suggestions from a variety of audiences through a variety of methods.
  5. Are there any Human Rights implications? For example, is there a breach of one or more of the human rights of an individual or group?
  6. Will the service change as proposed have a positive or negative impact on fostering good relations?
  7. Will the service change as proposed have a positive or negative impact on social inclusion?

## Guidance on what a negative impact might look like


<b>High Negative</b>	Significant potential impact, risk of exposure, history of complaints, no mitigating measures in place or no evidence available: urgent need for consultation with customers, general public, workforce
<b>Medium Negative</b>	Some potential impact, some mitigating measures in place but no evidence available how effective they are: would be beneficial to consult with customers, general public, workforce
<b>Low Negative</b>	Almost bordering on non-relevance to the ESIA process (heavily legislation led, very little discretion can be exercised, limited public facing aspect, national policy affecting degree of local impact possible)

## Initial assessment for each group

Please rate the impact that you perceive the service change is likely to have on a group, through inserting a tick in the relevant column. Please add any extra notes that you think might be helpful for readers.

Protected Characteristic groups and other groups in Shropshire	High negative impact Part Two ESIIA required	High positive impact Part One ESIIA required	Medium positive or negative impact Part One ESIIA required	Low positive or negative impact Part One ESIIA required
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg child for whom there are safeguarding concerns eg older person with disability)				
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)				
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring responsibility, potential for bullying and harassment)				
<b>Pregnancy &amp; Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)				
<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				
<b>Other: Social Inclusion</b> (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people for whom there are safeguarding concerns; people you consider to be vulnerable)				

## Decision, review and monitoring

Decision	Yes	No
Part One ESIIA Only?		
Proceed to Part Two Full Report?		

***If Part One, please now use the boxes below and sign off at the foot of the page. If Part Two, please move on to the full report stage.***

### **Actions to mitigate negative impact or enhance positive impact of the service change**

*The service area is planning to alert the general public and stakeholders about this good practice manual via the following means, pending Cabinet approval the document and report will be placed upon the Council Highways section of the main web site. The report and Policy and Guidance manual are part of the councils statutory defence under the Highways Act 1980*

*In addition we will liaise with colleagues in Shropshire Council's Performance and Policy team on ways to systemically and in a proportionate and non-intrusive manner collect equalities data to enable us to monitor the effects of this change on those residents with protected Characteristics.*

*Additionally the service participates in the National Highways and Transport Survey, this is an independent survey within Shropshire, and the results of the service and presented to Senior Officers and Members, and evaluation reports of resident's feedback would also highlight any issues – should they be statistically significant.*

*The service area will seek to make use, where possible of national comparator data on demographic changes and on road and highways that reflect the rurality of the area and the nature of the service*

### **Actions to review and monitor the impact of the service change**

*Comments, compliments and complaints process will be monitored, regular service reviews scheduled*

## Scrutiny at Part One screening stage

People involved	Signatures	Date
<i>Lead officer carrying out the screening</i>	Steve Brown	10 <sup>th</sup> June 2016
<i>Any internal support*</i>		
<i>Any external support**</i>		
<i>Head of service</i>		

***\*This refers to other officers within the service area***

***\*\*This refers either to support external to the service but within the Council, eg from the Rurality and Equalities Specialist, or support external to the Council, eg perhaps from a peer authority***

### **Sign off at Part One screening stage**

<b>Name</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer's name</i>	Steve Brown	10 <sup>th</sup> June 2016
<i>Head of service's name</i>		

## Shropshire Council Part 2 ESIIA: full report

### Guidance notes on how to carry out the full report

The decision that you are seeking to make, as a result of carrying out this full report, will take one of four routes:

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

The Part Two Full Report therefore starts with a forensic scrutiny of the evidence and consultation results considered during Part One Screening, and identification of gaps in data for people in any of the nine Protected Characteristic groups and people who may be at risk of social exclusion, eg rural communities. There may also be gaps identified to you independently of this process, from sources including the intended audiences and target groups themselves.

The forensic scrutiny stage enables you to assess:

- **Which gaps need to be filled right now, to help you to make a decision about the likely impact of the proposed service change?**

This could involve methods such as: one off service area focus groups; use of customer records; examination of data held elsewhere in the organisation, such as corporate customer complaints; and reference to data held by similar authorities or at national level from which reliable comparisons might be drawn, including via the Rural Services Network. Quantitative evidence could include data from NHS Foundation Trusts, community and voluntary sector bodies, and partnerships including the Local Enterprise Partnership and the Health and Well Being Board. Qualitative evidence could include commentary from stakeholders.

- **Which gaps could be filled within a timeframe that will enable you to monitor potential barriers and any positive or negative impacts on groups and individuals further along into the process?**

This could potentially be as part of wider corporate and partnership efforts to strengthen the evidence base on equalities. Examples would be: joint information sharing protocols about victims of hate crime incidents; the collection of data that will fill gaps across a number of service areas, eg needs of young people with learning disabilities as they progress through into independent living; and publicity awareness campaigns that encourage open feedback and suggestions from a variety of audiences.

Once you have identified your evidence gaps, and decided on the actions you will take right now and further into the process, please record your activity in the following boxes. Please extend the boxes as needed.

**Evidence used for assessment of the service change: activity record**

*How did you carry out further research into the nine Protected Characteristic groups and those who may be at risk of social exclusion, about their current needs and aspirations and about the likely impacts and barriers that they face in day to day living?*

*And what did it tell you?*

**Specific consultation and engagement with intended audiences and target groups for the service change: activity record**

*How did you carry out further specific consultation and engagement activity with the intended audiences and with other stakeholders who may be affected by the service change?*

*And what did it tell you?*

**Further and ongoing research and consultation with intended audiences and target groups for the service change: activity record**

*What further research, consultation and engagement activity do you think is required to help fill gaps in our understanding about the potential or known affect that this proposed service change may have on any of the ten groupings and on the intended audiences and target groups? This could be by your service area and/or at corporate and partnership level.*



## Full report assessment for each group

*Please rate the impact as you now perceive it, by inserting a tick. Please give brief comments for each group, to give context to your decision, including what barriers these groups or individuals may face.*

<b>Protected Characteristic groups and other groups in Shropshire</b>	<b>High negative impact</b>	<b>High positive impact</b>	<b>Medium positive or negative impact</b>	<b>Low positive or negative impact</b>
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg child for whom there are safeguarding concerns eg older person with disability)				
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)				
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring responsibility, potential for bullying and harassment)				
<b>Pregnancy &amp; Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)				
<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				
<b>Other: Social Inclusion</b> (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people for whom there are safeguarding concerns; people you consider to be vulnerable)				

## ESIIA Full Report decision, review and monitoring

### Summary of findings and analysis - ESIIA decision

*You should now be in a position to record your decision. Please highlight in bold the route that you have decided to take.*

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

*Please add any brief overall comments to explain your choice.*

*You will then need to create an action plan and attach it to this report, to set out what further activity is taking place or is programmed that will:*

- *mitigate negative impact or enhance positive impact of the service change,*  
AND
- *review and monitor the impact of the service change*

*Please try to ensure that:*

- *Your decision is based on the aims of the service change, the evidence collected, consultation and engagement results, relative merits of alternative approaches and compliance with legislation, and that records are kept;*
- *The action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.*

### Scrutiny at Part Two full report stage

People involved	Signatures	Date
<i>Lead officer</i>		
<i>Any internal support</i>		
<i>Any external support</i>		
<i>Head of service</i>		

### Sign off at Part Two full report stage

<b>Signature (Lead Officer)</b>	<b>Signature (Head of Service)</b>
Date:	Date:

## Appendix: ESIIA Part Two Full Report: Guidance Notes on Action Plan

Please base your action plan on the evidence you find to support your decisions, and the challenges and opportunities you have identified. It could include arrangements for:

- continuing engagement and involvement with intended audiences, target groups and stakeholders;
- monitoring and evaluating the service change for its impact on different groups throughout the process and as the service change is carried out;
- ensuring that any pilot projects are evaluated and take account of issues described in the assessment, and that they are assessed to make sure they are having intended impact;
- ensuring that relevant colleagues are made aware of the assessment;
- disseminating information about the assessment to all relevant stakeholders who will be implementing the service change;
- strengthening the evidence base on equalities.

Please also consider:

- resource implications for in-house and external delivery of the service;
- arrangements for ensuring that external providers of the service are monitored for compliance with the Council's commitments to equality, diversity and social inclusion, and legal requirements including duties under the Equality Act 2010.

And finally, please also ensure that the action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.

These are:

- Eliminating discrimination, harassment and victimisation
- Advancing equality of opportunity
- Fostering good relations

***Note for 2014 refresh of our corporate equality impact assessment approach: Shropshire Council has referred to good practice elsewhere in refreshing the EINA material and replacing it with this ESIIA material. The Council is grateful in particular to Leicestershire County Council, for graciously allowing use to be made of their Equality and Human Rights Impact Assessments (EHRIsAs) material and associated documentation.***

***For further information on the use of ESIIAs: please contact your head of service or contact Mrs Lois Dale, Rurality and Equalities Specialist and Council policy support on equality, via telephone 01743 255684, or email [lois.dale@shropshire.gov.uk](mailto:lois.dale@shropshire.gov.uk).***

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## Committee and Date

Cabinet

13<sup>th</sup> July 2016

## **Proposed Kinnerley Conservation Area**

**Responsible Officer** Ruth Hitchen

e-mail: [ruth.hitchen@shropshire.gov.uk](mailto:ruth.hitchen@shropshire.gov.uk) Tel: 01743254641

### **1. Summary**

This report advises Cabinet of the proposal to designate Kinnerley Conservation Area and seeks approval of this designation. The report outlines the consultation exercise and background information, as well as detailing the aspects of significance of Kinnerley meriting its designation. A map showing the proposed Conservation Area boundary can be found in Appendix 1, with a summary of consultation responses included as Appendix 2.

### **2. Recommendations**

Cabinet is asked to:

1. Approve the proposed Kinnerley Conservation Area in accordance with the area boundary identified in Appendix 1.

## **REPORT**

### **3. Risk Assessment and Opportunities Appraisal**

Designation of the Conservation Area would give additional planning protection from unsympathetic development which might otherwise spoil the area's special character, including the safeguarding of important trees and open spaces.

The formal public consultation period ran from 5<sup>th</sup> April to 26<sup>th</sup> April 2016. A summary of the comments received are attached as Appendix 2. Local consultation was also undertaken by the Parish Council in partnership with a qualified and experienced historic buildings consultant prior to this in 2015. This included a drop in event and questionnaire where 41 questionnaires were completed and these have been provided to the Council as part of the Parish Council's submission requesting consideration of the Conservation Area designation.

### **Human Rights Act Appraisal**

The recommendations contained within this report are compatible with the provisions of the Human Rights Act 1988.

### **4. Financial Implications**

The proposed Conservation Area has no financial implications as such, all additional work load produced as a result would be accommodated within current working practices and current budgets.

There will be a minimal fee for the cost of advertising the completion of the designation process in the local newspaper and the London Gazette as required by legislation.

## **5. Background**

### **Background on Conservation Areas**

1. The concept of conserving the character of entire areas was first introduced in the Civic Amenities Act of 1967. These provisions were consolidated into the 1971 Town and Country Planning Act, subsequently the Planning (Listed Buildings and Conservation Areas) Act 1990.
2. Conservation Area legislation emphasises the importance of the character of an area as a key consideration when decisions are made in respect of development proposals. A Conservation Area is defined as ‘an area of special architectural or historic interest, the character or appearance of which it is desirable to preserve or enhance’. Conservation is a more dynamic approach which allows change, but change that is managed so as to retain the character and appearance of a place. Upon designation the Historic Environment team will be a consultee on all applications within and adjacent to the Conservation Area to ensure this historic interest, character and quality of place is retained.
3. Other consequences of conservation area status of note:
  - In most circumstances outline planning applications are not acceptable. This is because it is not possible to “pay special attention” to the desirability of preserving or enhancing the character or appearance of the area without seeing the details of what is proposed.
  - Planning permission is required for demolition of buildings and structures over 115 cubic metres in size.
  - It is an offence to cut down, top, lop, uproot, wilfully damage or destroy a tree in a conservation area without having given 6 weeks’ notice to the Local Planning Authority. During this period, the LPA may consider whether to make a Tree Preservation Order.
  - Permitted Development rights are more limited than elsewhere.
  - Rights to display advertisements are more limited than elsewhere.
4. The Council has a duty to review from time to time areas of special historic or architectural interest for designation. At the present time there are 127 Conservation Areas designated within the County.

### **Background on Current Proposal**

5. The village of Kinnerley is located approximately 9km to the south east of Oswestry with the historic core of the settlement located to the centre of Kinnerley, around the village green. The village is surrounded by relatively flat undulating open countryside with the village of Knockin to the north west and Dovaston to the north east.
6. The prominent grade II\* listed St. Mary’s Church lies to the north east of the green, beyond which is largely agricultural land acting as a buffer between the historic core

of the village and the relatively modern housing development to the north. Other buildings surrounding the village green include the grade II listed Cross Keys to the north, Lilac House and former traditional agricultural buildings to the south west, Cleveland House (former Manor House) to the south east and the Post Office to the south (attached to the earlier farmhouse). These represent the most significant historic buildings within the village along with the Old Vicarage, Enfield House and Hazlecroft to the west, and Church House to the east.

7. The geology of the village centre is Chester Pebble Beds with nearby boulder clay, gravels and sandstone. This is reflected in the development of the village, specifically the use of sandstone, and the crucks and timber framing is thought to relate to the historic forest around Argoed (which means 'by a wood').
8. The village name has appeared in many forms, and was known as Chenardelei in the Domesday Survey of 1086. The name appeared as 'Kinnardinlle' in the 13<sup>th</sup> and 14<sup>th</sup> centuries which is understood to relate to fortification and raised ridges of land, in this case appearing to reference the elevated church site and possible earthworks to the north, south and south east. Kinnerley Church was the Mother Church of all the churches South of Oswestry, and there is documentary evidence of Kinnerley church as a Saxon Missionary Church from the 6<sup>th</sup> century.
9. Essentially, this area of Kinnerley represents an early medieval/Saxon settlement pattern with ecclesiastical origin on an elevated site, and its Saxon foundation is believed to be the catalyst for the village green layout (historically a large animal pound) surrounded by buildings now rebuilt numerous times over and tracks across the green which have now developed into roads. The Church and the Cross Keys appear to have been closely associated with the pre 1600 period with both constructed on earthworks which probably reflects the Mother Saxon Church needing to be seen as far as possible across the wider area.
10. A move away from this cluster can be seen in the development of yeoman houses in Vicarage Lane (Hazlecroft, Enfield House) dating to around the 16<sup>th</sup> or 17<sup>th</sup> Century. The 18<sup>th</sup> and 19<sup>th</sup> century saw the dominance of the simple late Georgian classical style and proportion which remains, stimulated by the agricultural wealth during the Napoleonic wars and achieved either through total rebuilding or with new brick skins as is the case with the Cross Keys where the embellishment took the form of a completely new building frontage. The Victorian and Edwardian eras saw the school, smithy and shop front addition to the earlier farmhouse constructed, with the Gothic school being located within the village green but now demolished. The shop front retains its overtly early 20<sup>th</sup> century facade of yellow/brown brick, polychromatic voussoir arches over the windows (blue and plain brick alternating), and its corner doorway with flat canopy and moulded surround.
11. As referenced above, an intriguing aspect of the archaeological form of the settlement relates to the raised earthwork on which the Church and Cross Keys sit, and which continues to the south. This raised land might have been utilised for the early defences of a fortified Saxon settlement though it is acknowledged that further investigation is required in this regard. The full Conservation Area Appraisal carried out by the Historic Environment specialist on behalf of the Parish Council is attached as Appendix 3.

## Public Consultation

14. The formal consultation took place over a period of 3 weeks between 5<sup>th</sup> and 26<sup>th</sup> of April 2016. The Consultation included the following:
  - Written letter notification of the proposed Conservation Area to all buildings affected.
  - The proposals were advertised via the Shropshire Council website.
  - Laminated posters were put up on the two notice boards in the village.
  - The Local Member and local groups were informed of the proposals by email.
  - Relevant Council departments were consulted including Trees, Planning Policy and Development Management.
  - Historic England were contacted and raised no objections to the designation
15. Responses from local residents on the draft proposals were sought, residents could respond by phone, email or letter.
16. Only three comments were received, which included a comment of no objection from Historic England. Of the two comments received from local residents, one was neutral and referred to vehicle traffic speeds and more designations for pedestrians/cyclists. One of the comments received raised concerns at the designation and whether this was necessary in order to protect the Cross Keys building. Issues were also raised regarding the impact on house prices, and a one sided local view of the designation. However, some of these issues were addressed via email correspondence from the Conservation Officer.
17. No comments requested changes to the proposed boundary though the objection received did refer to an apparent lack of rationale for inclusion and omission of specific buildings.
18. Prior to requesting that Shropshire Council consider designating the Conservation Area, Kinnerley Parish Council had undertaken relatively extensive consultation which involved a drop in event, and a questionnaire completed by 41 people. Letters and questionnaires were also sent out informing residents of the drop in event and offering further opportunity to comment. The feedback to the Parish Council was largely positive and whilst there were 4 who disagreed that a Conservation Area was needed, the vast majority were clearly in favour of the designation.

## 6. Conclusions

19. A number of factors give rise to the significance and special interest of Kinnerley, most notably its original and historically significant layout and pattern of development including village green; its ecclesiastical origins and prominence of the elevated church site; the later dominant Georgian architectural style which remains prevalent; and the archaeological potential/interest of the raised earthworks surrounding the church, Cross Keys and to the south west of the village green.
20. Kinnerley is a settlement of significant historic and architectural character, and archaeological interest, with its original character largely intact given the survival of the village green and surrounding buildings. The Conservation Area will seek to



retain and enhance the quality of the local environment overall and its local distinctiveness, permitting appropriate new development which takes account of the area's special character. It also provides for greater opportunity to engage with the local community in managing the historic environment that they value.

21. Should the Council recommend this endorsement a Notice of Designation would be drafted and advertised as statutorily required.

## 6. Additional Information

<b>List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)</b>
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See Appendices below.

<b>Cabinet Member (Portfolio Holder)</b>
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Councillor Malcolm Price

<b>Local Member</b>
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Councillor Arthur Walpole

<b>Appendices</b>
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Appendix 1 – Kinnerley Conservation Area proposed boundary map.

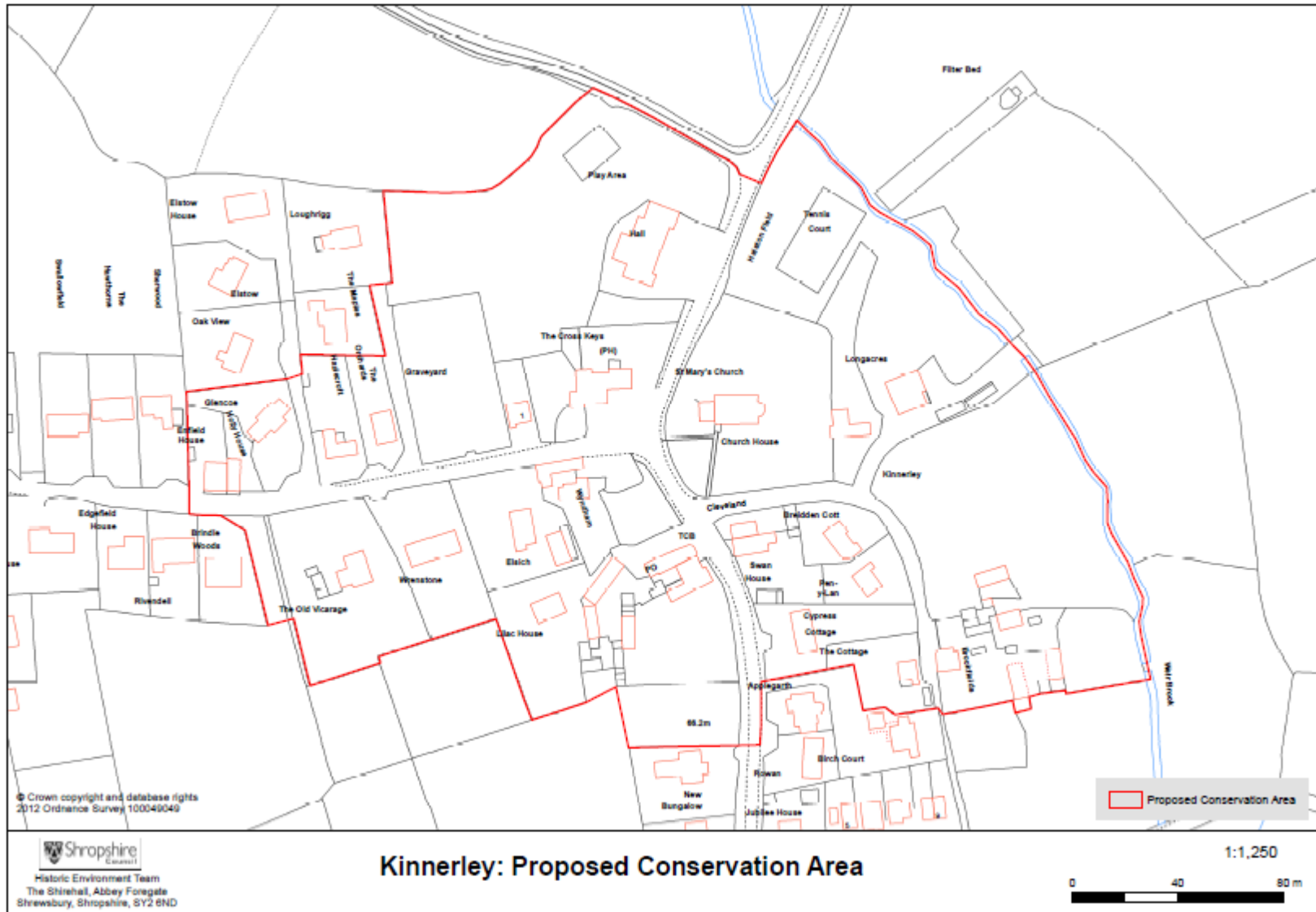
Appendix 2 – Public consultation letter, information sheet and responses

Appendix 3 – Full Conservation Area Appraisal submitted by Parish Council

Appendix 4 - Map of heritage assets supplied by Parish Council

# Appendix 1 – Kinnerley Conservation Area proposed boundary map

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## Appendix 2 - Public consultation letter, information sheet and responses

Dear Sir or Madam,

Town and Country Planning Act 1990

Planning (Listed Buildings and Conservation Areas) Act 1990

**RE: Proposed Kinnerley Conservation Area**

PLEASE NOTE THIS AFFECTS YOUR PROPERTY

A recent Consultation Event was undertaken by Kinnerley Parish Council relating to the proposed Kinnerley Conservation Area. The Historic Environment Team at Shropshire Council is now undertaking formal consultation for the designation of this Conservation Area and you have received this letter as your property falls within the area which is proposed to be designated.

Conservation Areas are designated to preserve and enhance the special architectural and historic interest of an area. More information on Conservation Areas and how it may affect your property can be found on the attached leaflet and on the Shropshire Council website (search Conservation Areas).

Please also find enclosed a map which identifies the area to be covered by the Conservation Area. This is a **draft** map and is open to suggestions. If you would like to comment on the proposals, please do so in writing and/or highlight on the attached map.

You can return your comments and/or the attached map via post or email to one of the addresses below.

The consultation period for the proposed designation will end on Tuesday 26<sup>th</sup> April.

If you would like further copies of the maps, or you know of other residents who are included in the proposed boundaries who have not received a copy of this letter, or have any further questions please contact us. My contact details are below. Alternative contacts in the Historic Environment Team are Berwyn Murray and Joe Crook at [historic.environment@shropshire.gov.uk](mailto:historic.environment@shropshire.gov.uk) or 01743 254608/01743 258725.

Yours Sincerely

Ruth Hitchen

Ruth Hitchen MA

Name: Ruth Hitchen

Position: Senior Conservation and Design Officer

Historic Environment Team  
Shropshire Council  
Shirehall  
Abbey Foregate  
Shropshire  
SY2 6ND

Direct Dial: 01743 254641 or 07990086352  
Email: [ruth.hitchen@shropshire.gov.uk](mailto:ruth.hitchen@shropshire.gov.uk)

## What is a Conservation Area?

Conservation areas are defined by section 69 of the Listed Buildings and Conservation Areas Act 1990 as:

*"...areas of special architectural or historic interest the character or appearance of which it is desirable to preserve or enhance."*

This is a strictly applied definition and should not be confused with areas of outstanding natural beauty or other designated areas.

Conservation Areas are designated by the council, usually after public consultation, although this is not a legal requirement.

## How are Conservation Areas chosen for designation?

Conservation areas vary, ranging from historic town centres to industrial and rural villages. They are designated usually because of their buildings, but they can also be designated because of their history, architecture, layout or private spaces, such as gardens, parks and greens, trees or street furniture. Conservation areas give broader protection than listing individual buildings, and all features within the area, listed or otherwise, are recognised as part of its character.

## What does it mean for your property?

The Council has extra controls over the following:

- works to trees
- Demolition
- New development
- Advertisement
- Shop fronts
- Street furniture, surfaces and signage

With designation or extension of a Conservation Area there are more opportunities for grants or enhancement schemes.

## Contact

Historic Environment Team

[historic.environment@shropshire.gov.uk](mailto:historic.environment@shropshire.gov.uk)

01743 258725

Shropshire Council

Shirehall, Abbey Foregate, Shrewsbury, SY2 6ND

Responses:

1. I regularly cycle through Kinnerley. To complement the Conservation Area can consideration be given to measures to reduce vehicle traffic speeds and make greater provision for cyclists and pedestrians?
2. I am directly affected by the proposal for a conservation area in Kinnerley. As I said in my original feedback to the very limited consultation exercise, I don't see that the case is proven. It seems to be a large bureaucratic sledgehammer to crack the Cross Keys nut. However I understand that the proposal is certain to go ahead so there's no real point in commenting further.
3. Of course some of the buildings, including mine, were not built in 1902, though I do understand that it's the area designation as opposed to buildings. It does seem strange that some buildings are included, whilst those adjacent are not, with no obvious rationale for that omission. May I ask:  
Would it be your view, as an expert on the subject, that property values within the conservation area would be affected either way, or whether property sale may be in any way problematic?

and

I'm not concerned about new development as I have no intention of doing any of that myself. However have there been any surveys done into how people feel about living in a conservation area?

I'm still struggling to weigh up the advantages v disadvantages of living in a conservation area, the information provided via the parish council was very one-sided and never sought a view as to whether residents felt that a conservation area was needed or not. Hence my thought around fait accompli prior to "consultation." That thought has been enhanced by local comment recently so I was not at all certain of the point of seeking further clarification.

*Customer directed to Historic England website links for some of the information requested, and clarified issue of consultation.*

4. Thank you for your email, the contents of which has been noted. I can confirm that we have no comments to make on this occasion. Please keep us informed on the designation.

Best wishes

Susan

Susan Smith  
Business Officer - West Midlands

## Appendix 3 – Full Conservation Area Appraisal submitted by Parish Council

### Conservation Area Appraisal for Kinnerley

#### Introduction and Background

**Designation** is necessary to sustain and enhance the quality of the built and natural environment in the core of Kinnerley and most pertinently to reinforce the archaeological potential of the area. English Heritage guidance specifically states ‘that archaeological remains, whether above ground structures, earthworks, or buried deposits, often contribute directly to a sense of place as well as representing a potential resource for research, interpretation and education. Mention in the management plan may be useful both as information for developers and for their conservation and protection. A medieval road pattern, former defensive features, watercourses, and the relationship of buildings to open spaces (so relevant around the green in Kinnerley) are historic elements which will determine the form of the conservation area today’.

**Historic Characterization** of the area has been done in response to a development threat and in conjunction with the local community who have identified areas ‘with previously misunderstood historic associations.’

It is believed that the proposal satisfies Paragraph 127 of the National Planning Policy Framework (NPPF) i.e. the area has sufficient special architectural or historic interest’ and has the following significance .

- 1) An original and historically significant layout visible in the modern street pattern with a village green (large animal pound in origin), houses grouped around it and tracks across the green which have become later roads.
- 2) Early medieval/Saxon settlement pattern with an ecclesiastical origin on an elevated site, the origin of which is under further research.
- 3) The fossilised village green, in origin a large animal pound, with possible origins in the early medieval period, with potential for enhancement and extension.
- 4) A particular style of architecture predominates, viz. late Georgian and is reflected in the upgrading of The Cross Keys, Cleveland House and Enfield House, and reflects period of prosperity and increased food production in conjunction with the Napoleonic Wars.
- 5) Victorian endeavour with encroachment onto the village green of a school and smithy and village shop (late Victorian/early 1900s), all showing a clear progression in village life after what may have been a period of shrinkage due to the Black Death.
- 6) An agricultural landscape based on the village green/animal pound, back lane, yeoman house development along Vicarage Lane, and surrounding fields with traces of ridge and furrow.

- 7) An open area based on the village green with clear historical associations and an important spatial element.
- 8) Historic development plots with archaeological potential.

### **Community Involvement**

The community are invited to be proactively involved in identifying and agreeing to the general area that merits conservation area status. Members of the community have been involved in undertaking the initial survey work and compiling survey data. It is planned to publish the appraisal together with the results of the feedback form and in due course this may appear on the Local Authority website, in order to show how this consultation procedure has influenced the definition of special interest. If the Local Authority decides to designate the area they will publicise this by a notice placed in the London Gazette and in a local paper.

### **The Purpose of the Appraisal**

This is designed to

- 1) Demonstrate the area's special interest by identifying important elements
- 2) Show what the community values, and identify beneficial change.
- 3) Define the character which it is essential to protect (plus neutral elements).
- 4) Inform the scale, form and content of new development

### **Location, Geology, Place name, and Context – The Origin and Development of Settlement.**

**Kinnerley** is located to the SW of Oswestry and also of its nearest village, Knockin. The hamlets of Dovaston and Knockin Heath are situated to the north.

**The Geology** – is boulder clay and gravels, with some sandstone. All of this is reflected in the development of the village with crucks and timber framing reflecting the nearby forest around Argoed, sandstone walls and Hazlecroft which is largely sandstone, and good agriculture on the clay and gravel subsoil.

#### **The Place Name**

The name has appeared in many forms

Domesday Survey 1086- Chenardelei

1253- Kinardinlhe

1291- Kynardynllef

1292- Kynardlegh

1300s- Kinnardinlle.

Din-lle means the place of the fort or citadel which has always been reputed to have referred to Bellan Bank but as the latter is unlikely to have existed at the time of the Domesday survey 1086 the fortification may refer to the earthwork banks recently identified, e.g that running parallel to Back Lane, south of the Church and possibly also east of the Church.

Kin-ar or Chen-ar represents cefn or slightly raised ridge of land (ar means on or adjoining) and this appears to be a clear reference to the linear earthworks set out in the significance listed above.



The forest of Argoed (The District on the forest) adjoined Kinnerley and in Domesday Kinnerley is noted as encompassing half a league of wood.

### **The Church and its Context**

Kinnerley is recorded as the district between the Welsh and the Saxons whose conversion began in the 6<sup>th</sup> century to judge from the prominent position occupied by St Ffraid (Brigid) in the annual festival commemorating the connection of Knockin daughter Church with the Mother Church of Kinnerley. This is the primary evidence for a Saxon Missionary Church at Kinnerley. The Knockin Church became independent in 1182-95. There is some possibility that the mother Church was originally founded by Celtic missionaries and that a preaching cross existed in or near Cross Field, and who in turn were supplanted by Saxon ecclesiastics. (basic data from the Shropshire Parish Registers)

In or around 1248 the living of the Church and the rectory itself was given to the Knights Hospitallers of the Order of St John of Jerusalem (head quarters at Halston). The order was dissolved and the tithes purchased by numerous people in other counties by 1710 (which suggests that the manor house had ceased to function by this date).

The old Church is recorded as having two aisles and with their respective chancels and the present tower. The base of the old font has pre-Norman decoration reinforcing the presence of a Saxon Church.

### **Historic Location and Setting. The Effect of Setting on the Area.**

The location may well be the result of the presence of the former forested area of Argoed. This would have proved attractive to incoming Saxons whose buildings and artefacts were made of wood. They may have travelled by river alighting at the nearest river crossing (now at the Royal Hill PH) on the nearby River Vyrnwy. A river crossing existed here in recent times and may also have existed in earlier times. The substantial linear earthwork, if a natural feature (only archaeological investigation will clarify) and if already existing, would have proved attractive to Saxon settlers who were known to favour siting a settlement in the vicinity of such features, as they considered them to denote a place of special or magical meaning. Settlement would have involved considerable clearance of trees to create the open fields of ridge and furrow to the north west which continued in use in the Middle Ages and beyond until enclosure by agreement took place, probably from the 17<sup>th</sup> century onwards. Common land for communal grazing was cleared to the north and was colonized by a squatter which suffered clearance in yet more enclosure by 1840. This universal problem at this period would have caused great hardship, as it did all over England, as residents dependent on grazing their one cow, sheep and pig were forced into poverty.

By the 19<sup>th</sup> century when the village became an administrative focus for the surrounding farmland and farms, the setting had transformed into the enclosed fields we see today. This continuum of farming use was only interrupted by the necessity to build an extensive wartime munitions supply depot to the W which is majestic in its extent and form, consisting of brick buildings camouflaged with turf roofs. It is the

building of this area that may have resulted in the over-large road junction which obliterated a great deal of the village green.

### **Communications and Past Land Use**

The road connections with Knockin, Knockin Heath and Dovaston to the north and with Argoed, Edgerley and Pentre to the west and south probably started as tracks across the 'green', that for Argoed being in a rectangular format and leading back into the village (now opposite the school). The surrounding settlements show a similar formation with roads surrounding a roughly rectangular formation. This may be all part of the early settlement pattern.

The 'green' is a former animal pound of some considerable size bounded by the Church to the north east, The Cross Keys to the north, Lilac House and the Vicarage (the garden of the latter encroaching onto the green?) to the south west and west respectively, and the Manor House and shop/farm to the south. It was a fundamental basis of farming life for early settlers whose stock would have been under constant threat from the Welsh and other neighbouring settlements. Cattle and sheep were currency, and 'cattle-rustling' was rife. Other encroachments onto the 'green' included the frontage range of the Cross Keys, the now demolished Victorian School, the smithy and the village shop, the last being the latest in the early 1900s.

The roads which now cross the 'green' started life as tracks across the forest, that to the north is shown as a cattle outgang on an early map and their purpose was to funnel stock into the surrounding fields, particularly the common land to the north, for grazing. These trackways continue across the landscape as winding tracks with steep bends, reflecting the line of the Saxon plough. The road to Kinnerley and Dovaston are particularly noticeable in this respect. The rectangular road system around Argoed may reflect a large clearing in the forest.

The development along Vicarage Lane, aside from the building of the Vicarage in the mid-late 18<sup>th</sup> century and which may have an earlier core reflects the consolidation by 16<sup>th</sup>/17<sup>th</sup> century yeoman farmers post the Black Death. The settlement in general shows some shrinkage and this is often attributed to the loss of a substantial population in the Black Death peaks of 1349 and 1361. Hazlecroft reflects a possible stone encapsulation of a 16<sup>th</sup> or 17<sup>th</sup> century farm house, and Enfield House may well have an earlier core or has been totally rebuilt from an earlier farmhouse in the early 19<sup>th</sup> century.

## **The Origin and Development of the Settlement- Economic and Social History**

The village is a microcosm of village life in England from its earliest inception. The early settlers, believed to be Saxon, were avid farmers and initiated the field patterns we see today as can be read from their boundaries which are in a 'reversed S' shape. The 'green' is another manifestation of these early settlers who were highly desirous of protecting their valuable cattle.

The field patterns show a clear distinction between the former open fields of ridge and furrow to the north west (the bundling of these strips can be discerned in the field pattern) and the area of open heath or common to the north, in the vicinity of Heathwaen Lane (the name means meadow on the heath). The lane became the focus for a squatter settlement which in turn suffered destruction following parliamentary enclosure. Such squatters were a normal part of village life, grazing their single cow, sheep and pig and hens on the common. Parliamentary enclosure in the early-mid 19<sup>th</sup> century brought this land into the ownership of wealthy farmers and its occupants descended into poverty and hardship, wandering from village to village in an attempt to find labouring jobs.

Despite the best efforts of the enclosure commissioners at re-enclosing strips previously done by private agreement and straightening out roads they never succeeded in eliminating the early medieval road system and landscape. The bends and twists in the roads are testament to this.

No record exists of the shrinkage and desertion which must have accompanied the Black Death and diminished the number of medieval houses which may have existed clustered around the village green. This catastrophic era in the late 14<sup>th</sup> century and constant diminution of population meant that fewer houses survived to be rebuilt in later periods. These include the Manor House, the farmhouse behind the shop, Lilac House, and the Cross Keys around the Green and possibly Hazlecroft and Enfield House along a track leading from the 'green'.

If the Cross Keys PH was the former Church Ales House, built shortly after the recovery from the Black Death, its function may have been superseded by another building now called Church House by the 17<sup>th</sup> century and in all events its function, which was to raise funds by 'merry functions' may well have been frowned upon by the Puritans. Restoration of the monarchy could have heralded a revival in its fortunes as the village inn, and in the early 19<sup>th</sup> century this was further enhanced by the building of a classically designed frontage wing and large stable for traveller's horses. Like many such establishments it also ran a working farm which may have supplied food for the table at the Inn.

The Manor House descended the social scale to become yet another village inn, The Swan, possibly at the same time as the Cross Keys adopted the same function.

Whether it had ceased to be a manor house by the early 1700 when the demesne tithes were owned by a gentleman in Gloucestershire or even earlier it is difficult to trace. Like the Cross Keys PH it was re-fashioned in the early 1800s in the style of a gentry residence and has continued in this vein to the present day.

In the late 18<sup>th</sup> and early 19<sup>th</sup> century agricultural wealth stimulated by both the necessity to grow more food during the Napoleonic wars which cut off trade routes, and by considerable improvements in agricultural methods, resulted not only in the

new grand facades of the premier buildings (e.g. Cross Keys, Swan Inn, Enfield House) in the village but in the creation of farmyards of single function buildings (stables, cowhouses etc.) These existed at the Cross Keys and the Manor House, but only that accompanying the shop exists in any complete form same wealth stimulated the rebuilding of the Vicarage whether on a new site at this period or rebuilding on the same site (check maps).

The Victorians no longer operated the village green as an animal compound and saw it more as the centre of administration for the village and surrounding hinterland. The creation of a large village school in a Gothick style which considerably diminished the green may not have been a popular choice at the time and one wonders why another site was not found nearby, as the activities of for example Maypole dancing and general use of the green for socialising may well still have been popular. Its subsequent demolition has resulted in some re-instatement of the 'green'. The encroachment by the village blacksmith in a location near the village inns was probably deliberate to maximise passing trade.

Smithies were frequently placed on village greens, and were a key player in the village economy.

In the early 1900s the farm encroached onto the green with the building of a village shop. The grand 18<sup>th</sup> century house (and possibly earlier) house behind remains, as does the accompanying farmyard, which is a rare survival. The stimulus for the shop may have been selling milk initially, from the farm. The house occupies an enclosure in the plan of the settlement which approximates in shape to that for the Manor House.

Two World Wars have been a gone and presided over a stable village core which now operates in much the same way as it started nearly one and half millennia ago with an emphasis on trade rather than farming. New development of 20<sup>th</sup> century date has occurred in Vicarage Lane to the rear of the road through on the N side and to some extent on the S side, starting with a Modern Movement house and continuing throughout the late 20<sup>th</sup> century but none has interrupted the basic pattern of this part of the village. Other development has occurred in Back Lane on what must have been the Manorial enclosure or demesne farm, but the outline of this is still visible. Further development has occurred outside the village confines at Dovaston and Knockin Heath.

## **Impact of the Area's Historic Development on its Planform, Character and Architectural Style.**

The Saxon foundation of the settlement is believed to be the catalyst for the 'green' village, i.e. buildings grouped around a village green. Although rebuilt many times over since their inception the grouping of the buildings reflect this planform for the village. Individual building groups reflect the position of their very much earlier predecessors facing into the village green. (e.g The Manor House, later Swan Inn, the shop and its farmyard, Lilac House, the Vicarage and the Cross Keys PH). The Church and the Cross Keys appear to have been closely associated in the period before 1600 as is shown on the map of the period, if the gothic hinge decoration on the latter is an indication of ecclesiastical use, and this is reinforced by the survival of the Cross Keys as a cruck framed open hall. More pertinently they appear to have been constructed on top of an earthwork. This may be a reflection of the initial preaching cross and then the Mother Saxon Church being needed to be seen across a wide landscape. A further manifestation of this earthwork runs parallel with Back Lane. The position of Back lane may reflect its presence and is a typical feature of post Norman conquest development.

The development of yeoman houses in Vicarage Lane which may be at least 16<sup>th</sup> or 17<sup>th</sup> century in origin (or earlier) i.e. Hazlecroft and Enfield House reflects a move away from farmhouses clustered around the 'green'.

In the early 1800s there is a clear desire for architectural embellishment to reflect a classical idiom and the most important buildings in the settlement vie with each other to display this classical revival style. (Cross Keys, Swan Inn, the former Manor House, and Enfield House). Whether this took the form of total rebuilding or new brick skins, without further investigation of individual buildings it is impossible to say except in the case of the Cross Keys where the embellishment took the form of a completely new frontage building.

In the Victorian and Edwardian period the school, smithy and shop frontage to the earlier farmhouse, were of their period and herald the 20<sup>th</sup> century development of the village with the construction of an early 20<sup>th</sup> C modern movement house.

## **Architectural Quality/Built Form/Archaeological Remains**

The importance of the area is more archaeological than architectural with the exception of the most notable buildings such as the Church, Cross Keys PH, Cleveland House (former Manor House), farmhouse behind the shop, Lilac House and Enfield House, plus Hazlecroft. The early 19<sup>th</sup> century classical design which repeats throughout the village is a manifestation of agricultural wealth in conjunction with the Napoleonic wars and a general increase in agricultural wealth following what is known as the Agrarian Revolution.

The Vicarage with its mid-late 18<sup>th</sup> century Palladian window shows an even earlier Georgian improvement as befits the status of its rector who was regarded as a gentleman. Hazlecroft is also mid-late 18<sup>th</sup> century externally although this improvement may mask an earlier building, this being true of all pre-Victorian buildings.

The impressive Victorian school with its Gothick connotations is no longer present and the Smithy is of a simpler format. The shop is overtly early 1900s with its yellow/brown stock bricks, polychrome voussiour arches over the windows, (blue bricks alternating with plain bricks) and its corner doorway with flat canopy set within a moulded surround similar to that around the shop front. Amazingly and thankfully this has changed little for the whole of the 20<sup>th</sup> century.

The archaeological form of the settlement is considerably significant. The Church and the Cross Keys may well be sitting on was a continuous raised earthwork which continued to the south where it has remained unmolested by anything other than agriculture. The earthwork may have initiated the inception of the settlement by having a magical quality or it may be two sides of a defence. Of the two options the former may be more plausible as the location of the known earthwork is on the wrong side of the settlement to defend against a Welsh incursion unless further banks existed forming a Saxon Burgh and which were removed during the Norman conquest. Certainly the settlement was held by two Saxon thegns at the time of the Domesday survey in 1086 named Dunning and Algar and this may have included the mill recorded as standing where Victorian Brookfield Farm is now although it is not mentioned. Mills generally are on the site of their Saxon predecessors. The survey records the replacement of the Saxon thegns by a tenant of the Norman Earl Roger called Ernucion. (Eyton – Antiquities of Shropshire). Directly owned by Henry 11 in his reign commencing 1154 Kinnerley became the object of Welsh aggression by the Welsh Prince Llewellyn when it was regarded as being as important as Whittington Castle. Kinnerley was finally captured by Llewellyn in 1223. Reference is constantly made to Kinnerley castle and this has always been assumed to be Belan Bank but in reality this is some distance from the village and there is no proof that this could not have been a fortified Kinnerley village, its very name meaning citadel or fort. Were there more high banks at Kinnerley which were removed by the Normans or later royals to reduce the defensive quality of the settlement which may have been attractive to the Welsh? The two raised islands of land on the south side of the village running behind the former Manor house on the east side and the shop/farm on the west side and the formation of back lane have all the hallmarks of Norman or later village planning and may not be associated with the inception of the village green.

## **Open Spaces, Green areas and Gardens**

The green is obviously the most significant open space but it needs enhancement and possible further reclamation if the relationship of this important public space is to dominate over private space.

The major earthwork to the east of Back Lane is an important landscape feature which every effort must be made to preserve. This area needs management i.e. mowing and generally to be brought into the general sphere of village use instead of being shut away in a backwater.

The road winding down to Dovaston is an important visual public space opening out into the green and bounded by sandstone walls which reinforce the importance of its entry onto the village green, possibly cutting through an earthwork bank.

Vicarage Lane is a more intimate public space and narrows at its west end to the width of what was present for the early trackway and is discernible on early maps. This lends it a special significance and this needs reinforcing. It has been somewhat artificially widened at its east end.

The entrance onto the green from the School and Argoed from the south is of the same narrow format and is bounded on both sides by two of the most important buildings in the village, the farmhouse associated with the shop to the west and the former Manor House to the east. They make a dramatic entrance to this side of the village.

The garden of the Old Vicarage makes a contribution to the green setting as do the hedges down Vicarage Lane, and the new cemetery.

The plantation of young trees to the north, bordering the recreation ground and Heathwaen Lane is an important backdrop to the village core.

## **Designated and Non-designated Heritage Assets**

Whilst the Church and the Cross Keys PH are now Grade 11 listed there is a distinct paucity of any other statutory protection in the area. This is somewhat surprising given the quality of Cleveland House (former Manor House and then Swan Inn), The Old Vicarage and Enfield House to name but a few of the key buildings, which clearly demonstrate clearly their 18<sup>th</sup> and early 19<sup>th</sup> century architectural credentials. In fact all the key historic buildings that are not Victorian encroachments have similar credentials, some of which is hidden behind high hedges or only visible in a private yard and many like the Cross Keys PH will have an early core. Hazlecroft is overtly late 18<sup>th</sup> century on the outside with its sandstone frontage with keystone lintels is probably a good example of this. Even plain buildings such as the smithy range have an important contribution to make to the historic form of the village and are thus important for this reason. All need to be part of a conservation area.

The earthworks need considerable further investigation as some appear to have lost definition due to the building of the Parish Hall, in particular have no protection and yet they could be the very basis for the Citadel or Fort that gives the village its name. They are also important undesignated heritage assets, hence the need for recognition and incorporation into a conservation area.

Both undesignated and designated buildings and the undesignated earthworks make a major contribution to the village townscape.

### **Local Distinctiveness and Sense of Place.**

Kinnerley could almost be described as the village that time forgot. It has the following amazing attributes but their physical manifestations have latterly been poorly understood.

- A key fortified Saxon settlement either by natural or man-made earthworks.
- A missionary Church responsible for the conversion to Christianity of surrounding settlements e.g. Knockin
- A key strategic border outpost equivalent to Whittington Castle fought over by Welsh Princes and the King of England.
- A stud farm for the rearing and care of warhorses for the Marcher Lords (Anglo-Normans) and which must thus have been capable of considerable protection.

The survival of the village green and the village grouped around it is remarkable but this aspect needs reinforcement.

The earthworks are testimony to the events set out above but have been forgotten or are not generally seen by those passing through and their presence, although so clearly contributing to the sense of place, needs reinforcing.

The Victorian encroachments encouraged the delineation of private space with hedges, fences and boundaries that interrupt the open aspect of the village green. A major feature is the Cross Keys PH and if its surrounds become part of the green once again much would be achieved in reinforcing the presence of public open space. This building together with the Church, the Shop and Cleveland House are the major players in reinforcing local distinctiveness by delineating the village green. The PH in particular is so clearly The Inn on the Green.

The road system, originating in tracks crossing the village green now dominates the green because of the excess of tarmac and this is a situation which deserves further thought and potential management.

### **The Planning Policy Context**

#### **The National and Local Policy Framework**

- Local Authorities have the power to designate Conservation Areas under Section 69 of the Town and Country Planning (Listed Buildings and Conservation Areas) Act 1990, as an area of Special Architectural or Historic Interest – the character of which it is desirable to preserve or enhance.

Special character is not just made up of buildings but of other features which contribute to particular views and the familiar and cherished scene. Viz.

- Layout of the village



- Roads, paths and boundaries
- Characteristic buildings and their uses
- Archaeological features
- Public and private spaces- gardens and village greens.
- Trees and open spaces

After designation permission is required:-

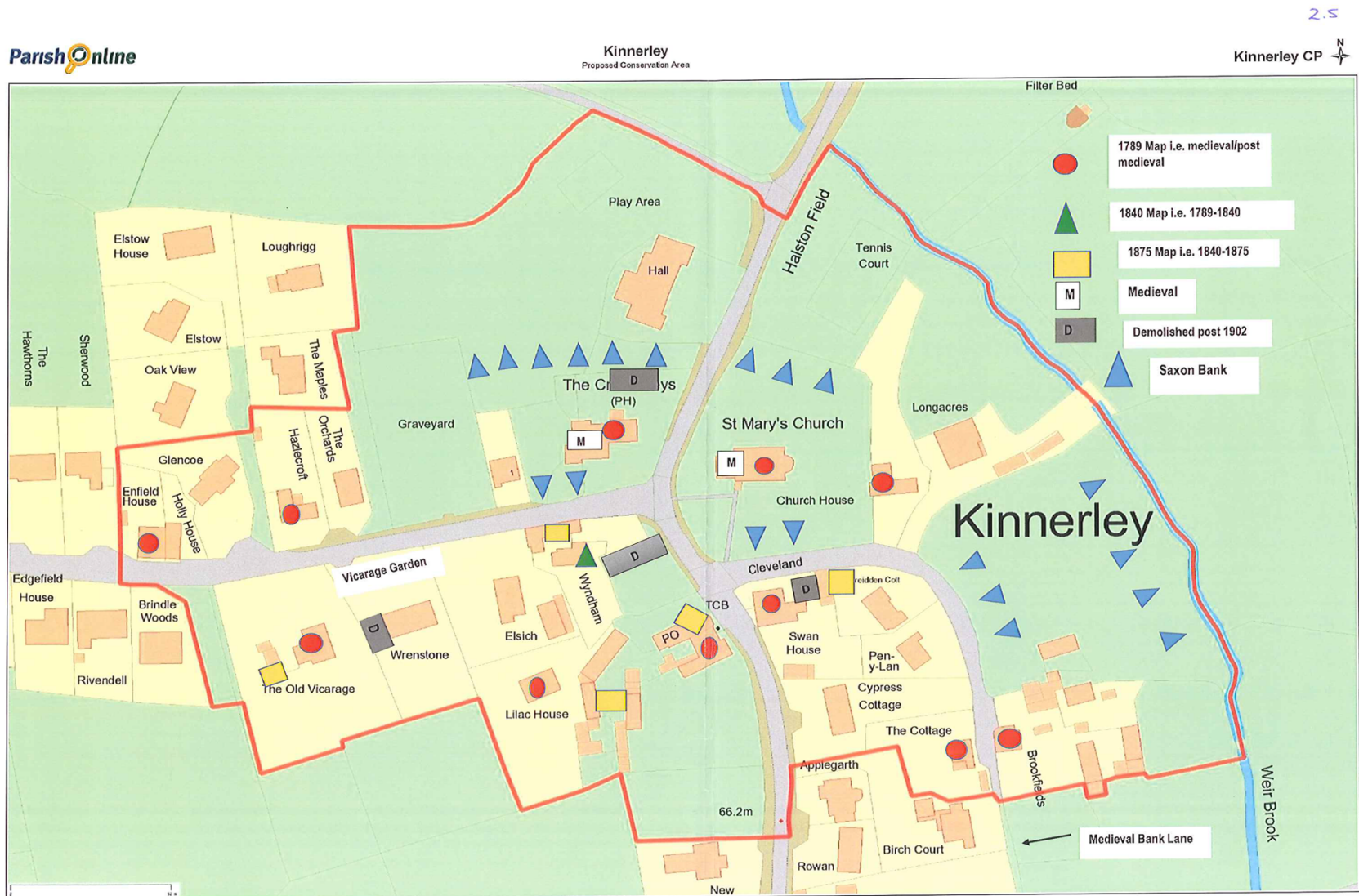
- To demolish a building with a volume of more than 115 cubic metres
- To demolish gates, fences, walls or railings of more than 1m high next to a highway/public footpath/bridleway or public open space.
- To demolish a gate, fence, wall or railings more than 2 metres high elsewhere.

With the objective of protecting trees that make a significant contribution to the Conservation Area, six weeks notification is required to the Local Planning Authority for removal of trees

- For trees having a trunk diameter of more than 75mm when measured 1.5m above ground level.
- A trunk diameter of 100mm if reducing trees in a plantation to benefit growth of other trees.

# Appendix 4 - Map of heritage assets supplied by Parish Council

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Date Created: 7-5-2015 | Map Centre (Easting/Northing): 333800 / 320937 | Scale: 1:1100 | © Crown copyright and database right. All rights reserved (100050871) 2015

Indicative Future Programme of Use  
Main Pool 8 lane X 25m; 2.5m per lane

DAY		6.00am	6.30am	7.00am	7.30 am	8.00am	8.30 am	9.00am	9.30 am	10.00am	10.30 am	11.00am	11.30 am	12.00noon	12.3	1.00pm	1.30 pm	2.00pm	2.30pm	3.00pm	3.30 pm	4.00pm	4.30pm	5.00pm	5.30pm	6.00pm	6.30pm	7.00pm	7.30pm	8.00pm	8.30pm	9.00pm	9.30pm	10.00pm				
MON	1					121 lessons		Leisure Swimming						Healthy living 50+	Leisure swimming			Leisure Swimming						Fitness lanes														
	2	swim club							Leisure Swimming							Leisure swimming			Leisure Swimming						Fitness lanes													
	3	Fitness swimming lanes							Schools						Lunchtime fitness lanes	Schools			learn to swim						swim club													
	4	Leisure Swimming							Leisure Swimming							Leisure swimming			Leisure Swimming						Fitness lanes													
	5	Leisure Swimming							Schools						Deep water widths	Schools			Learn to swim						swim club													
	6	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
	7	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
	8	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
TUES	1					121 lessons		Leisure Swimming						Aqua Fit	Leisure swimming			Learn to swim						Fitness lanes														
	2	swim club							Leisure Swimming							Leisure swimming			Learn to swim						Fitness lanes													
	3	Fitness swimming lanes							Schools						Deep water widths	Schools			Learn to swim						swim club													
	4	Leisure Swimming							Leisure Swimming							Leisure swimming			Leisure Swimming						Fitness lanes													
	5	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
	6	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
	7	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
	8	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
WEDS	1					121 lessons	This Girl Can ladies only swim	Leisure Swimming						Healthy living 50+	Leisure swimming			Leisure Swimming																				
	2	swim club							Leisure Swimming							Leisure swimming			Leisure Swimming																			
	3	Fitness swimming lanes							Schools						Lunchtime fitness lanes	Schools			learn to swim						swim club													
	4	Leisure Swimming							Leisure Swimming							Leisure swimming			Leisure Swimming						Fitness lanes													
	5	Leisure Swimming							Schools						Deep water widths	Schools			Learn to swim						swim club													
	6	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
	7	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
	8	Leisure Swimming							Schools							Schools			Learn to swim						swim club													
THURS	1					121 lessons		Leisure Swimming						Aqua circuits	Leisure swimming			Learn to swim						Adult only lanes			ladies only This girl can											
	2	swim club							Leisure Swimming							Leisure swimming			Learn to swim						Adult only lanes			ladies only This girl can										
	3	Fitness swimming lanes							Schools						Deep water widths	Schools			Learn to swim						Adult only lanes			ladies only This girl can										
	4	Leisure Swimming							Leisure Swimming							Leisure swimming			Learn to swim						Adult only lanes			ladies only This girl can										
	5	Leisure Swimming							Schools							Schools			Learn to swim						Adult only lanes			ladies only This girl can										
	6	Leisure Swimming							Schools							Schools			Learn to swim						Adult only lanes			ladies only This girl can										
	7	Leisure Swimming							Schools							Schools			Learn to swim						Adult only lanes			ladies only This girl can										
	8	Leisure Swimming							Schools							Schools			Learn to swim						Adult only lanes			ladies only This girl can										
FRI	1					121 lessons		Leisure Swimming						Healthy living 50+	Leisure swimming			Learn to swim						Leisure swimming			Swim club											
	2	swim club							Leisure Swimming							Leisure swimming			Learn to swim						Leisure swimming			Swim club										
	3	Fitness swimming lanes							Schools						Lunchtime fitness lanes	Schools			Learn to swim						Junior Masters			Swim club										
	4	Leisure Swimming							Leisure Swimming							Leisure swimming			Learn to swim						Junior Masters			Swim club										
	5	Leisure Swimming							Schools							Schools			Learn to swim						Junior Masters			Swim club										
	6	Leisure Swimming							Schools							Schools			Learn to swim						Junior Masters			Swim club										
	7	Leisure Swimming							Schools							Schools			Learn to swim						Junior Masters			Swim club										
	8	Leisure Swimming							Schools							Schools			Learn to swim						Junior Masters			Swim club										
SAT	1	Fitness swimming			Swimming lessons				wibbit session				wibbit session				wibbit session				Party		Party		Galas or private hire													
	2	Leisure Swimming			swimming lessons				wibbit session				wibbit session				wibbit session				Party		Party		Galas or private hire													
	3	Leisure Swimming			swimming lessons				wibbit session				wibbit session				wibbit session				Party		Party		Galas or private hire													
	4	Leisure Swimming			swimming lessons				wibbit session				wibbit session				wibbit session				Party		Party		Galas or private hire													
	5	Leisure Swimming			swimming lessons				wibbit session				wibbit session				wibbit session				Party		Party		Galas or private hire													
	6	Leisure Swimming			swimming lessons				wibbit session				wibbit session				wibbit session				Party		Party		Galas or private hire													
	7	Leisure Swimming			swimming lessons				wibbit session				wibbit session				wibbit session				Party		Party		Galas or private hire													
	8	Leisure Swimming			swimming lessons				wibbit session				wibbit session				wibbit session				Party		Party		Galas or private hire													
SUN	1	swimming club			Leisure Swimming				leisure Swimming				wibbit session				wibbit session				wibbit session				Party		Party		closed or private hire									
	2	swimming club			Leisure Swimming				leisure Swimming				wibbit session				wibbit session				wibbit session				Party		Party		closed or private hire									
	3	swimming club			Leisure Swimming				leisure Swimming				wibbit session				wibbit session				wibbit session				Party		Party		closed or private hire									
	4	swimming club			Leisure Swimming				leisure Swimming				wibbit session				wibbit session				wibbit session				Party		Party		closed or private hire									
	5	swimming club			Leisure Swimming				leisure Swimming				wibbit session				wibbit session				wibbit session				Party		Party		closed or private hire									
	6	swimming club			Leisure Swimming				leisure Swimming				wibbit session				wibbit session				wibbit session				Party		Party		closed or private hire									
	7	swimming club			Leisure Swimming				leisure Swimming				wibbit session				wibbit session				wibbit session				Party		Party		closed or private hire									
	8	swimming club			Leisure Swimming				leisure Swimming				wibbit session				wibbit session				wibbit session				Party		Party		closed or private hire									

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LANE/FITNESS SWIMMING
  CASUAL SWIMMING
  SWIMMING CLUBS/SQUADS
  MEMBERSHIP
  ADULTS ONLY
  WOMEN ONLY/ AQUAEROBICS/AQUA FIT
  CLOSED

LEARNER POOL 20m x 10m, with moveable floor

DAY		6.00am	6.30am	7.00am	7.30 am	8.00am	8.30 am	9.00am	9.30 am	10.00am	10.30 am	11.00am	11.30 am	12.00noon	12.3	1.00pm	1.30 pm	2.00pm	2.30pm	3.00pm	3.30 pm	4.00pm	4.30pm	5.00pm	5.30pm	6.00pm	6.30pm	7.00pm	7.30pm	8.00pm	8.30pm	9.00pm	9.30pm
MON	1	Fitness swimming			Adult lanes		Schools							Adult & Child	Aqua fit	Schools					learn to swim / academy				Aqua zumba	Leisure Swimming							
	2	Leisure Swimming																															
	3																																
	4																																
	5																																
TUES	1	Fitness swimming			Adult lanes		Schools								Healthy living 50+	Schools					learn to swim / academy				Ladies only	Deep water swim							
	2	Leisure Swimming																															
	3																																
	4																																
	5																																
WEDS	1	Fitness swimming			Adult lanes		Learn to swim Pre school		Schools			Adult & Child		Adult & Child	Adult & Child	Ladies lessons	Schools					learn to swim / academy		Fun session		Adult lessons & Gp referra		Deep water swim					
	2	Leisure Swimming																															
	3																																
	4																																
	5																																
THURS	1	Fitness swimming			Adult lanes		schools							Adult & Child	Aqua fit	Schools					learn to swim / academy				Aqua fit	sub Aqua							
	2	Leisure swimming																															
	3																																
	4																																
	5																																
FRI	1	Fitness swimming			Adult lanes		schools							Healthy living 50+	Schools					learn to swim / academy				Fun session									
	2	Leisure Swimming																															
	3																																
	4																																
	5																																
SAT	1				Adult and Child		Learn to swim					Leisure Swimming		Leisure Swimming		Fun session inflatable		Fun session inflatable		party x 2		party x 2		Gala or Private hire									
	2																																
	3																																
	4																																
	5																																
SUN	1				Adults only		Adult and Child		Learn to swim					Leisure Swimming		Leisure Swimming		Fun session inflatable		Fun session inflatable		party x 2		party x 2									
	2																																
	3																																
	4																																
	5																																

- LANE/FITNESS SWIMMING
- STAFF TRAINING/MAINTENANCE
- WOMEN ONLY/ AQUAEROBICS/AQUA FIT
- CLOSED

COMPARISON BETWEEN EXISTING AND INDICATIVE PROGRAMME

Activity	Lane Hrs Old	Lane Hrs New	Lane Hrs Difference	Comment
LANE/FITNESS SWIMMING	108.5	40	0	Wider lanes more capacity, so more people can be
CASUAL SWIMMING	366.5	103.5	-61.6	Wider lanes more capacity, so more people can be accommodated in the space, despite the apparent 'loss' of hours. Also important to note that there is
SWIMMING CLUBS/SQUADS	92	123.5	30.5	Accommodates existing programme and the hours currently used at
MEMBERSHIP	30	30	0	Current programme accommod
ADULTS ONLY	47	21	0	Wider lanes more capacity
FUN SESSION	87.5	48.5	0.5	Loss of flume, but potential to
PARTIES/PR	64	76	12	Increased capacity for
PLATE				
IN TO SWIM & SWIM	89	97	8	Increased hours to facilitate growth in
SCHOOLS	261.5	90	-60	Although an apparent decrease in hours, the larger pools allow for more schools swimming at the same time, so there is no
JUNIOR MASTERS	1	5	4	Increased hours to facilitate
50 +	8	7.5	-0.5	Current programme
WOMEN ONLY/AQUA	8	11	3	Increased hours to facilitate

ACTUAL HOURS THAT N.B MP = MAIN POOL; TP = TEACHING POOL

	MP lanes	Hours	main pool hours x per lanes	TP lanes	Hours	teaching pool hours x per lanes	total lanes	total hours	total pool hours x per lane
Fitness swimming	86	46.5	139	10	10	20	96	56.5	159
Casual swimming	96	91	219	90	23.5	97.5	186	114.5	316.5
Schools	80	30	240	50	27	135	130	57	375
Swim clubs	53	25	82				53	25	82
Partys			8			6	0	0	14
Fun sessions			7			6	0	0	13
Aqua classes		2			4		0	6	0
Learn to swim	classes MP	Classes TP							
	79	104							

this needs to be looked at

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Committee and Date

Cabinet

13<sup>th</sup> July 2016

## CONNECTING SHROPSHIRE – BROADBAND STRATEGY

**Responsible Officer** George Candler, Director of Commissioning

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Tel: 01743 255003

### 1. Summary

The report sets out Council's updated strategy for broadband, known as the Local Broadband Plan, and sets out the approach for improving broadband speeds across the Shropshire Council area till 2020.

### 2. Recommendations

It is recommended that Cabinet:

- 2.1 Adopt the revised Local Broadband Plan Shropshire for 2016-2020.
- 2.2 Agree that the Local Broadband Plan is hosted on the Connecting Shropshire website as a public document at the earliest opportunity.

## REPORT

### 3. Background

- 3.1 Broadband is no longer seen as a luxury, but an essential component in modern day living. Whilst significant improvements in superfast broadband<sup>1</sup> provision have been made in many rural parts of Shropshire, further work will be required to provide ubiquitous access to all our communities.
- 3.2 By the end of the current contracted phases of delivery (Phases 1 and 2), in winter 2017, we estimate that over 55k premises will have been upgraded to superfast broadband, with an additional 10,500 premises having access to faster broadband speeds. All premises now have the ability to order a basic level of broadband (of 2 megabits per second), a commitment that was originally made by the Council in 2012.

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<sup>1</sup> Defined as 24 megabits per second

- 3.3 The Local Broadband Plan sets out the Council's aspiration to provide all premises with superfast broadband by 2020.
- 3.4 Connecting Shropshire is currently in the preliminary stages of preparing its next procurement (Phase 2b). The first step is an Open Market Review (OMR), which is carried out in consultation with the supplier market to understand their current commercial plans to build broadband networks in Shropshire up to 2020.
- 3.5 Connecting Shropshire will provide an update on the outcome of the OMR to Cabinet later in July. The report will also include a recommended approach to the Phase 2b procurement process.

#### **4 Risk and Opportunities**

- 4.1 It is currently estimated that at the end of Phase 2 (by winter 2017), between 12k and 20k premises will not have access to superfast broadband as a result of either commercial build or from the Connecting Shropshire contracts with British Telecommunications PLC. The OMR process will help to identify the actual commercial gap, which may be larger or smaller than estimated.
- 4.2 The aspiration to provide access to superfast broadband to all premises will be challenging given the costs of delivering broadband technology into the remotest parts of the Shropshire Council area.
- 4.3 Phase 2b will include an Open Procurement exercise which will potentially attract a more favorable supplier contribution than Phase 2.
- 4.4 Owing to the Council's current financial projections, no additional funding from capital has been assigned to support broadband infrastructure above the previously approved allocation of £8.2 million.
- 4.5 The Authority will continue to look to central government and the Local Enterprise Partnership for additional capital funding to support its broadband aspirations.

#### **5 Financial Implications**

- 5.1 The Council has £11.7m of public funding for Phase 2b comprising £6.68m from Broadband Delivery UK and £5.02m from the Marches LEP Local Growth Fund.
- 5.2 Undertaking a further phase of contract delivery beyond Phase 2 will incur additional revenue expenditure. A report will be prepared for Cabinet at the end of the Phase 2b procurement (estimated as winter 2016) to outline the revenue implications.

#### **6 Conclusion**



6.1 Connecting Shropshire has defined a strategy that sets out the local aspirations for ubiquitous broadband access and meets the Government’s current broadband commitments.

<p><b>List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)</b>          24-09-2014 Financial Strategy 2015/16 – 2017/18 Interim Report          10-12-2014 Cabinet– Connecting Shropshire Phase 2 LEP Strategic Economic Plan          2012 Shropshire Business Board Economic Growth Strategy          Marches Our Strategy For Growth 2013 -2022</p>	
<p><b>Cabinet Member (Portfolio Holder)</b>          Councillor Steve Charmley – Deputy Leader and Portfolio Holder for Business and Economy</p>	
<p><b>Local Member</b>          All members</p>	
<p><b>Appendices</b>  <b>Appendix 1 - Local Broadband Plan Shropshire 2016-2020</b></p>	
<p><b><u>Glossary</u></b></p>	
<b>BDUK</b>	Broadband Delivery UK
<b>LEP</b>	Local Enterprise Partnership
<b>OMR</b>	Open Market Review
<b>SFBB</b>	Superfast Broadband (24Mbps)
<b>USO</b>	Universal Service Obligation

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**Document Purpose:** Defines the Local Broadband Strategy for the Connecting Shropshire Broadband Delivery Programme. The content is only current at the time of issue.

**Version History**

Version	Issue Date	Brief Summary of Change	Author
1	July 2013	Issued	C. Taylor
2	November 2013	Amendment	C. Taylor
3	August 2014	Amended to reflect Phase 2 procurement	C. Taylor
4	September 2014	Signed off Portfolio Holder and CS Programme Executive (SC/AE)	C. Taylor
5	June 2015	Amendment Post Phase 2 Procurement	C. Taylor
6	May 2016	Amended to reflect Pre Phase 2b Procurement	C. Taylor
7	June 2016	Final comments shared with BDUK	C. Taylor
8	June 2016	FINAL	C. Taylor



## Connecting Shropshire Broadband Delivery Programme Shropshire Local Broadband Plan

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### Introduction

To support our communities' aspirations for ubiquitous digital connectivity, broadband needs to be reliable, available and fast. All communities and businesses now expect fast, open access networks that provide competition and choice, at an affordable price, with capacity to grow and improve.

There is an essential economic and social need to provide Superfast<sup>1</sup> Broadband (SFBB) to all premises in the Shropshire Council area to avoid a digital imbalance both locally, and nationally.

Providing SFBB to all premises in the Shropshire Council area remains challenging, especially in a financial climate that threatens the ongoing sustainability of key public services.

Shropshire Council recognizes the opportunities for digital communities and remains committed to pursuing its broadband aspiration of providing all premises with access to SFBB by 2020.

Shropshire Council's broadband aspirations are not influenced by the Government's recent USO (Universal Service Obligation) announcement as part of the 2016 Digital Economy Bill. The Government has committed to introduce a USO by 2020. This will give every household in the UK the legal right to request a fast internet connection. OFCOM are currently undertaking a public consultation on the USO which concludes on 23<sup>rd</sup> June, 2016. Shropshire Council sees the USO as complimentary to the aims of this strategy but not a substitute for it.

Improving infrastructure to provide 'Next Generation Access' (NGA<sup>2</sup>) broadband is a key strategic and priority programme for Shropshire Council. It remains a key enabler of service transformation, supports our local and LEP (Local Enterprise Partnership) business economy, and is no longer deemed a luxury, but a necessity that all our communities expect to have access to:

- *'We will design the infrastructure for the future needs of Shropshire Council and other commissioners looking to work in radically different ways.'*

<sup>1</sup>Superfast - defined as download speeds of 24 Megabits per second or above.

<sup>2</sup>NGA - capable of delivering 30 Megabits per second.

*This will enable swift take up of the best systems and most efficient and well-designed business processes’ - extract Shropshire Business Plan and Financial Strategy 2014 - 2017.*

- *‘Digital connectivity is critical to our businesses and communities. Whilst the most urban parts of the Marches are well served by broadband provision, poor connectivity remains a key barrier to investment in some of the rural areas of the Marches where many SME’s operate’ - extract Marches LEP Strategic Economic Plan.*
- *‘Given our rurality, the latest technological changes are extremely important to how we will communicate and trade both at home and abroad in the future, so we need to ensure that mobile phone and broadband provision across Shropshire supports our aspirations for growth and the way we choose to live and work’ - extract Shropshire Economic Growth Strategy.*
- *‘Poor quality broadband infrastructure especially in more sparsely populated rural areas. We need fast efficient broadband services across the whole of the Marches, enabling 100%of our businesses to operate and communicate within a competitive, international market place’ - extract Marches LEP Our Strategy for Growth 2013-2022.*

### What have we done so far?

It is acknowledged that the market, under normal conditions, would not deliver SFBB broadband to 100% of Shropshire premises because it is commercially unattractive for service providers to invest (insufficient long term revenues to justify capital investment). Public investment was therefore deemed necessary to address the market imbalance that exists.

In 2012, the Government committed central funding to provide SFBB to the commercially unattractive gap areas nationally. The key objective was to provide 90% of all UK premises with access to SFBB by 2015. Local Authorities were subsequently asked to match fund available grants to secure capital investment. Shropshire Council, under the brand of ‘Connecting Shropshire’ (CS), invested £8.2m capital towards this delivery commitment. This was defined nationally as **Phase 1**. Following a procurement process a contract with BT Plc was subsequently awarded to deliver NGA to 61,780 premises (with 51,792 projected to have access to SFBB) by the end of winter 2016. As part of **Phase 1** all premises in the Connecting Shropshire area were assured access to a Universal Service Commitment (USC) of 2 Megabits per second (known as basic broadband).

When **Phase 1** is combined with the commercial market projections, 93% of premises in the Shropshire Council area are projected to have access to NGA by the end of winter 2016, with 87% having access to SFBB.

In 2014, Shropshire Council was allocated £11.38m to deliver to the Government’s revised SFBB target of 95% of UK premises nationally, and 90% locally by 2017. This was defined nationally as **Phase 2**.

Shropshire Council launched a second procurement in December 2014. Following evaluation a contract was awarded to BT Plc. **Phase 2** is projected to connect an additional 4,254 premises to NGA with 3,735 premises getting access to SFBB.

When added to the commercial market projections we have as part of the pre-procurement process we believe of 92% premises will have access to SFBB by the end of **Phase 2** in winter 2017.

**In summary** Shropshire Council has secured and committed the following funding towards improving broadband infrastructure in the Shropshire Council area since 2012:

**Summary of Phases and Capital Expenditure**

Phase	Start	End	NGA	SFBB	Contract Value	Public Funding
<b>Phase 1</b>	Spring 2013	Winter 2016	61,780	51,792	£26.0m	£16.0m
<b>Phase 2</b>	Summer 2016	Winter 2017	4,254	3,735	£5.6m	£4.7m
<b>Phase 2b</b>	TBC	TBC	TBC	TBC	TBC	£11.7m

By the end of Phase 2, 66,034 premises are expected to have been reengineered with 55,527 getting access to SFBB. All premises will be able to access speeds above the USC of 2Mbps.

Please see the projected deployment map to the end of Phase 2. This map is adjusted periodically and is intended to provide an illustration of delivery. The map is not intended to be accurate down to a premises level.

**What broadband gaps will exist at the end of our current contracts?**

Beyond the end of our contract **Phase 2** delivery, which is projected to deliver superfast broadband to 92% of Shropshire premises, our objective is to give 100% of Shropshire’s premises access to NGA broadband with as many having access to SFBB by 2020.

We estimate that between **12k and 20k** premises will not have access to NGA by the end of **Phase 2**.

## Connecting Shropshire Programme objectives to the end of 2020

### We aim to:

- Deliver NGA broadband to all premises in the Shropshire Council area, with as many as possible having access to SFBB;
- Prioritise future NGA delivery in areas with the slowest download speeds, where it is economically viable;
- Continue to look for central government funding sources to support our overall ambitions to provide all premises in Shropshire with SFBB;
- Support Shropshire businesses and residents in embracing and optimising the use of broadband as part of everyday life;
- Attract additional commercial and competitive NGA infrastructure investment area, which does not require public subsidy, into the Shropshire Council;
- Facilitate stakeholder groups that want to explore community schemes for NGA infrastructure in unserved areas;
- Deliver a structured marketing programme for **Phase 1, 2 and 2b areas**, which will increase take-up of NGA;
- Work with the Mobile Network Provider market to encourage wider exploitation of 4G and 5G data coverage throughout Shropshire to compliment broadband infrastructure..

### How are we going deliver these aims?

#### Phase 2b

- Following the conclusion of **Phase 2** a balance of £6.68m (£11.38m BUDK grant minus £4.70m used in Phase 2) remained unallocated.
- In addition, the Marches Local Enterprise Partnership's Local Growth Fund allocated Shropshire Council £5.02m towards improving broadband infrastructure.
- In total £11.7m will be used to undertake a fresh competitive procurement to seek one or more partners to deliver NGA to the remaining premises that are currently not projected to get a NGA from either existing commercial commitments in the next 3 years nor form part of our delivery in Phase 1 or 2 (12k to 20k premises). This procurement is referred to as **Phase 2b**.

### How will we undertake the procurement of **Phase 2b**?

As part of the **Phase 2b** procurement process, we will undertake an Open Market Review (OMR) to establish existing and planned commercial coverage of broadband services across the Shropshire Council area by all existing, and any prospective, NGA broadband infrastructure providers.

The results of the OMR will assist us with understanding the NGA broadband infrastructure already in place and where there are plans for investment in such infrastructure in the coming three years. We will support all credible commercial deployment plans that avoid the need for further public subsidy.

Once we have analysed the results of the OMR and de-scoped commercially viable areas, we will consult with the market on the potential procurement area. Then we will conduct a minimum one month State Aid public consultation on the proposed Intervention Area and procurement approach. We propose to launch our Invitation To Tender (ITT) during autumn 2016.

Our procurement objectives for the Shropshire Council area are to:

- Connect as many of the premises without access to at least 15 megabits per second with access to NGA;
- Seek NGA solutions that meet all State Aid principles as directed by the UK Government for as many premises as possible;
- Ensure the procured solutions provide value for money
- Appoint one or more partner suppliers that provide the best economic return in the most expedient timescale;
- Share information openly to set expectations for the projected **Phase 2b** broadband coverage.

### **What else are we doing beyond Phase 2b?**

#### ***ERDF Marches Business Grant Scheme***

Together with our Marches Local Enterprise Partnership (LEP) partners (Herefordshire Council and Telford & Wrekin Council), a bid has been submitted for a European Regional Development Fund (ERDF) funded project. The objective of the intended project is to target grant funding at individual SME beneficiaries where a return on investment can be measured in terms of economic benefit to the Marches.

The project will aim to support SME's across the Marches to access bespoke high-grade broadband services in areas that are not projected to benefit from any of our phased contracts or procurements.

We anticipate that DCLG (Department for Communities and Local Government) will update us on whether this project will be funded later in the summer 2016.

#### ***EAFRD***

As part of the Marches LEP, European Agricultural Fund for Rural Development (EAFRD, funding opportunities are available for rural areas to receive targeted broadband investment. We intend to work with our partners in Herefordshire Council and Telford & Wrekin Council, and the Department for Environment, Food



and Rural Affairs (Defra) to explore any opportunities within the developing scheme to address potential SFBB gaps.

Any project would be based on a demand registration exercise that would rank any remaining localities in order of the latent economic potential which could be released through the provision of NGA broadband.

### What else does Shropshire Council do to address broadband gaps?

- Hold infrastructure suppliers to account in meeting their obligations as defined in their Open Market Review responses (i.e. their commercial plans). Whilst we have no regulatory or contractual control in making suppliers deliver their own commercial plans we do regularly meet with them to ensure they are planning to deliver to those areas they have committed to upgrade;
- Hold Mobile Network Operators to account to meet their OFCOM licencing obligations in the Shropshire Council area. We work with OFCOM and meet with the providers periodically to ensure that they are working towards addressing their licence obligations;
- Encourage infrastructure suppliers to make commercial investments in Shropshire;
- Demonstrate to infrastructure suppliers, wholesalers, retail and Internet Service Providers that Shropshire has market demand for NGA services;
- Work with key stakeholders to lobby accountable bodies to improve legislation and guidance that will bring about faster deployment of NGA technologies and wider competition;
- Encouraging broadband service ‘take-up’ which will generate revenue income from existing **Phase 1** and **Phase 2** contract incentives.
- Look towards alternative funding, such as European Structural and Investment Fund (ESIF) to support infrastructure build in gap areas.
- Support community aspirations to self/part-finance additional NGA coverage where there are currently no plans for new networks as part of commercial or public intervention;

### How will Shropshire Council seek to optimise its investment in broadband?

- Work with all stakeholders groups to promote and optimise the use of broadband:
  - Maximise the efficiencies that the public service can make through the use of broadband infrastructure – ‘digital by default’
    - Self-service;
    - E-Health;
    - Education;
    - Remote/Agile working;
  - Demonstrate to businesses the economic benefits that can be exploited:

- Global/New markets;
- Efficiencies through adopting new technologies;
- Local Economic Benefits;
  - Business Growth;
  - Encourage Tourism (365 connectivity);
  - Digital Start Ups;
- Social Inclusion benefits:
  - Developed ICT skills
  - Access to support
  - Access to education

### Timetable

- Phase 1 Completion – winter 2016
- Phase 2 Commence – summer 2016
- Phase 2 Complete – winter 2017
- ERDF Marches Business Grant Scheme Launch – autumn 2016
- Phase 2b:
  - Open Market Review – summer 2016
  - Market engagement – summer 2016
  - Procurement – autumn 2016
  - Contact – winter 2016 to spring 2017
  - Deployment – summer 2017
- EAFRD Submit Marches project – winter 2016

### Contact details

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### KEY

LEP – Local Enterprise Partnership (The Marches)  
NGA – Next Generation Access  
OMR – Open Market Review  
SFBB – Superfast Broadband  
USC – Universal Service Commitment  
USO – Universal Service Obligation



## Committee and Date

Cabinet

13 July 2016

12.30

### **DAY SERVICES FOR ADULTS WITH LEARNING DISABILITIES – AWARD OF CONTRACT FOR INNAGE LANE, OAK FARM AND THE MERES INCLUDING ELLESMERE LIBRARY AND CUSTOMER SERVICES REPROVISION**

**Responsible Officer -** Ruth Houghton – Head of Social Care, Efficiency and Improvement

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**The identity of the successful bidder will be given at the Cabinet meeting by the Portfolio Holder Councillor Lee Chapman, Portfolio Holder for Adults**

#### **1. Summary**

This report summarises the outcome of the procurement process undertaken and the bid received in response to the opportunity to manage and develop the Council's day opportunity service for adults with learning disabilities at three locations consisting of Innage Lane and Oak Farm which are day services in the Bridgnorth area and a third service in Ellesmere at The Meres which will include the re-provision of the library and Customer Service Point in that area.

In all three locations the contract award will include the requirement to develop and grow the provision into sustainable services which will provide employment and volunteering opportunities for vulnerable adults and the local community in addition to providing care and support for adults with learning disabilities, older people and other vulnerable groups.

Following a thorough procurement process which included the opportunity for site visits and initial soft market testing in 2015 followed by a procurement exercise in 2016 involving an initial pre-qualification stage and a Competitive Dialogue process one Preferred Bidder has emerged for the services at Oak Farm and Innage Lane and it is intended to conduct final negotiations with that Bidder to achieve a final offer that is acceptable to The Council. With regard to The Meres at Ellesmere no expressions of interest were received during the formal procurement process. However following the end of that process two potential providers came forward and one has entered into dialogue with Council and expressed a firm interest in providing the service. The same bidder has come forward for all three services under two different contract awards

Innage Lane in Bridgnorth currently offers a day service for 20 adults with a learning disability over a 5 day period supported by 7 staff. The service has a strong emphasis on producing high quality craft products and supporting people with daily living skills. The site and service are currently owned and managed by Shropshire Council and has been in operation since 2001.

Oak Farm at Ditton Priors is a day service which focuses on agricultural rural skills and animal husbandry. It provides a service to 42 adults with learning disabilities who are supported by 12 staff.

The Oak Farm site is now in the ownership of the Ditton Priors Community Land Trust following a Community Asset Transfer from the Council in 2015. The Council have leased back the Oak Farm site for the provision of the service and the terms of the lease enables the appointment of an alternative care provider.

For Oak Farm and Innage Lane it is proposed to award a contract for an initial period of 7 years from 1st October August 2016 with the option to extend for a further 3 year period up to 30<sup>th</sup> September 2026.

The Meres in Ellesmere operates from the ground floor of the Ellesmere Community Nursing Home and has been established there since 1992. It is a mixed service provision for 24 older people and 10 adults with a learning disability supported by 10 staff.

The current library building which also houses the town's customer Service Point is situated approximately 150 metres away on the opposite side of the road to the day centre and the contract award would see these services relocated to The Meres centre thus releasing the current library premise for a capital receipt.

For The Meres The Council is planning to provide a contract, with the new provider that aligns with the existing lease it holds, for a period of 5 years initially with the option to extend in 2 yearly extensions up to 9 years.

For each of the services proposed for transfer there are a number of benefits:

### **Innage Lane and Oak Farm**

The benefits of this transfer and further development of the service are:

- The proposed model promotes independence, employment and citizenship for vulnerable adults.
- The model further promotes the integration of vulnerable people into their local community and ensures the continuity of the valued local neighbourhood support to the service.
- Provides the opportunity to obtain vocational qualifications and paid employment by the service users
- The preferred bidder as a not for profit organisation would be able to bid for additional investment from grant making organisations to develop both the sites and service.

- It enables individuals to live in their own homes or with their families and as a part of local communities with meaningful day time activities.
- Transfer of the property maintenance and repairs liabilities from the Council to the Preferred Bidder.
- The Council will cease to be the provider of this service.

There is also the opportunity for the provider to deliver a more cost effective transport provision.

As part of the transformation of adult services and the move to the Council not being the main provider of services these services have been grouped and subject to one competitive procurement process to transfer these two day services to a new provider under one contract award.

### **The Meres Day Centre and Library Service**

The benefits of this transfer and further development of the service are:

- The proposed model promotes independence, employment and citizenship for vulnerable adults which will include volunteering opportunities within the library and further development of the small service user run coffee shop on site to serve a wider customer base
- The model further promotes the integration of vulnerable people into their local community and ensures the continuity of the valued local neighbourhood support to both the day service and the library.
- Maintains both the library service and a Customer Service Point provision in Ellesmere at a site close to the current library
- Will deliver the current library building as a potential capital receipt for the Council
- By transferring the library service to a not for profit organisation the council is able to utilise capital grant funding for the refurbishment of the centre and library
- Provides the opportunity to obtain vocational qualifications and paid employment by the service users
- The preferred bidder as a not for profit organisation would be able to bid for additional investment from grant making organisations to develop both the sites and service.
- It enables individuals to live in their own homes or with their families and as part of local communities with meaningful day time activities.
- Transfer of the property maintenance and repairs liabilities from the Council to the Preferred Bidder.
- The Council will cease to be the provider of this service.

## **2. Recommendations**

**Cabinet are requested to approve, subject to the satisfactory conclusion of final negotiations:**

1. The award of the management of services at Innage Lane and Oak Farm contract from the beginning of October 2016, or such other date

as may be required to conclude all contractual issues, for an initial period of up to 7 years to the Preferred Bidder.

2. The award of the management of services at the Meres in Ellesmere to include the library and Customer Services contract from the beginning of October 2016, or such other date as may be required to conclude all contractual issues, for an initial period of up to 5 years to the Preferred Bidder.
3. To delegate authority to the Head of Social Care: Improvement and Efficiency in consultation with the Local Commissioning Manager, to conclude final contractual negotiations with the Preferred Bidder and if these negotiations achieve an acceptable final position to award the two contracts and complete all necessary formalities following consultation with the Portfolio Holder for Adult Services, the Portfolio Holder for Leisure and Culture and the Portfolio Holder for Resources and Support.

## **REPORT**

### **3. Risk Assessment and Opportunities Appraisal**

#### **Staff and Service User Consultation**

Whilst the transfer of services has been managed seamlessly in previous service transfers it is always critically important that we establish excellent and on-going communication with all users of the service and their families as well as with staff to ensure they are kept fully informed and involved in the process of transfer.

#### **Innage Lane and Oak Farm**

A series of consultation events were held during the summer of 2015 with the service users, families and carers in Bridgnorth which following a request made by service users included a session with them alone supported by the advocacy organisation Taking Part.

These were not always positive as they included a proposal to relocate the service from Innage Lane to an alternative shared site.

However there were minimal comments regarding the appointment of a new care provider, with those that were received, being concerned regarding continuity of staffing and support. Families were reassured that staffing support would remain the same as all staff employed by the council would transfer to the new care provider.

The concerns regarding a potential transfer to an alternative shared site were considered further at a portfolio holder decision making session in November

2015 where it was agreed that a further options appraisal would be undertaken on the best use of the alternative site and shared with families when completed. This options appraisal is still being undertaken and once completed any relocation linked to a wider development may need further Cabinet approval.

Throughout this whole process to date advocacy organisations have supported the individuals who attend both Innage Lane and Oak Farm. Access to independent advocacy will continue to be available through to the point of transfer in October 2016 and beyond if necessary. The advocacy organisations have supported the service users to record their views and these are attached at appendix A.

Ditton Priors Community Land Trust as site owners and landlord have also been consulted and are supportive of our process to seek an alternative care provider

### **The Meres and Ellesmere Library**

A series of consultation events were held during the summer of 2015 with the service users, families and carers in Ellesmere. This also include relatives of the older people who attend the day service there.

Overall the views were positive and the volunteering opportunities that would be available through relocating the library to the site were considered very positive. There were some concerns regarding the loss of space and the rooms currently used, however the potential to use a small amount of the DCLG Transformation Challenge Award grant and a small amount of the adult social care capital allocation means that the space can be reconfigured to meet the needs of all users.

The trustees of the nursing home who are also the landlord have been consulted and are supportive of the proposed changes

A series of meetings took place with the Friends of Ellesmere Library during the summer/autumn 2015 and a library open day was held on 25<sup>th</sup> August 2015 to provide the opportunity for library users, local residents, community enterprises and other organisation to discuss the development of new approaches to its management. Concern was raised about the possible relocation of the library and the reduction in floor space. Keeping the library at Fullwood House and renting out the upstairs rooms to provide revenue was also raised. This option was explored but found not to be financially viable.

A formal consultation ran for 6 weeks from 2<sup>nd</sup> October to 16<sup>th</sup> November October 2015, and was available online via Shropshire Council's website. Paper copies of the consultation document were made available locally and a second open day took place on 13<sup>th</sup> October 2015 to discuss the options available.

The preferred option was proposal 1 with 40.13% of respondents supporting the existing library and Customer Service Point provision relocating to the

Meres Day Centre, Trimpley Road, Ellesmere. The day to day running of the services, alongside the management of existing day services for older people and people with learning difficulties, transferring to a new community focussed organisation

A Portfolio holder decision was taken on 17<sup>th</sup> December 2015 to the transfer of the management of Ellesmere library service and Customer Service Point from Shropshire Council to a social enterprise type organisation that will support and nurture a variety of community development opportunities in the town and surrounding area.

### **Equality & Social Inclusion Impact Assessment**

#### **Innage lane and oak farm**

An Equality & Social Inclusion Impact Assessment (ESIIA) has also been completed and updated throughout the project, this is attached at Appendix B. Please read this Assessment before reaching your final decision but in summary, the overall outcome of the Equality and Social Inclusion Impact Assessment is that the impact of transferring the management of Innage lane and Oak Farm to the preferred bidder would be low as:

- Overall continuity of care would remain for existing users with the same key worker staff.
- The preferred bidder will bring additional expertise to develop the services further ,
- The support to the service and users from the local community and neighbourhood would remain.
- Care will continue to be provided by the same familiar staff due to the TUPE transfer to the new provider.
- The existing workforce will have terms and conditions of employment protected through a transfer to the preferred bidder under TUPE regulations.
- The development of the service could see an extension of the service offer to other vulnerable groups e.g. NEETS.

#### **Meres Day Service and Library**

An Equality & Social Inclusion Impact Assessment (ESIIA) has also been completed and updated throughout the project, this is attached at Appendix C. Please read this Assessment before reaching your final decision but in summary, the overall outcome of the Equality and Social Inclusion Impact Assessment is that the impact of transferring the management of the meres day service and Ellesmere library to the preferred bidder would be low as:

- Overall continuity of care would remain for existing users with the same key worker staff.
- The preferred bidder will bring additional expertise to develop the services further ,



- The support to the service and users from the local community and neighbourhood would remain.
- Care will continue to be provided by the same familiar staff due to the TUPE transfer to the new provider.
- The existing workforce will have terms and conditions of employment protected through a transfer to the preferred bidder under TUPE regulations.
- The development of the service could see an extension of the service offer to other vulnerable groups e.g. NEETS.

## **Library**

An Equality & Social Inclusion Impact Assessment (ESIIA) has also been completed and updated throughout the project, this is attached at Appendix D. Please read this Assessment before reaching your final decision but in summary, the overall outcome of the Equality and Social Inclusion Impact Assessment is that the impact of transferring the management of Ellesmere library to the preferred bidder would be low as:

- Continuity of service would continue with the transfer of experienced staff
- The preferred bidder has ideas for expanding and developing the service
- Back office support and guidance will be provided by the Library Service ensuring existing standards of practice are met through the development of a service level agreement
- The existing workforce will have terms and conditions of employment protected through a transfer to the preferred bidder under TUPE regulations.
- The Friends Group will continue to work closely with staff to provide enhancements and support to the existing service
- A strong core of Library volunteers will continue to hold events and provide IT training to service users
- There is potential to increase volunteering opportunities to the wider community and to people with learning difficulties and older adults.

## **Customer Service Point**

The Equality and Social Inclusion Impact in respect of Customer Services is also attached to this report at Appendix E. The impact of transferring the management of the Customer Service Point, along the model adopted successfully elsewhere across Shropshire, would be low positive for the following reasons:

- A local service would be maintained for the people of Ellesmere and the surrounding area.
- Support and advice from experienced Customer Services staff will be continue to be available and we would continue to work with the successful bidder to further develop the service
- The preferred bidder has clearly expressed an understanding of the need to empower customers with the skills to access services and to

make independent decisions balanced with the need to provide appropriate assistance to those unable to independently access services.

- The new delivery model gives access to wider Shropshire Council services which include the First Point of Contact service for Adult Social Care and the support partnerships put in place around welfare reforms.
- Local support will remain within the community via which customers who might otherwise be digitally excluded can access online council services.

#### Contract Negotiation

Finally there may be other matters that have financial impacts on the ultimate contract price, both negative and positive, that emerge during the detailed contract negotiations following confirmation of the Preferred Bidder. The nominated officers will negotiate and confirm with the Portfolio Holders for any areas that may require their approval.

#### **4. Financial Implications**

The 2016/17 controllable annual budget for the management and operation of the services is as follows:

Innage Lane and Oak Farm £ 324,900

The Meres Day Services £273,938

Ellesmere library £21,240

Customer Services £4000

The current costings provided by the tender submission relating to Innage Lane and Oak Farm are currently slightly higher (approx. £10k) than the available budget however the bidders have expressed a desire to work with the Council to provide a more competitive bid and it is anticipated that a cost neutral position can be achieved through working with the preferred bidder on improving efficiency in the transport arrangements and operating on an “open book “transparency accounting basis”. The preferred bidder has also committed to returning any underspends achieved through improved efficiency and savings back to the council on an annual basis. Shropshire Council have other contractual arrangements with the preferred bidder and previous experience of underspends being returned by them.

Additionally the preferred bidder has demonstrated previous experience in their ability to apply for and secure external grant funding. It is anticipated that this will also be the case for these services.

In terms of future library costs, Shropshire Council’s Financial Strategy 2016-2019 requires that the cost to Shropshire Council of the sixteen smaller branch libraries reduces to nil in order to balance the council’s budget in the

medium-term. Therefore it is fundamental that savings are achieved from the transfer of Ellesmere Library. Transfer should provide transition towards nil cost to Shropshire Council in the future.

In relation to the library transfer the preferred bidder has been unable to submit a firm price because of the unknowns such as the current and anticipated future premises costs, especially the impact of the library moving into the building. However the bidder has confirmed that they would welcome and be willing to have detailed discussions with the council's finance team to address any concerns.

They have also confirmed that they would be willing and happy to share on an open book basis their own costs and projections.

The preferred bidder has further confirmed the following:

- They will ensure the cost of running the services is within the amount that the council is spending on directly running the services
- In calculating a budget with the council they will put in place a mechanism which returns to the council the savings from any staff turnover.
- They will fill all new vacancies as they occur and any vacancies at point of transfer on the preferred bidder pay scales and terms and conditions of employment
- The pay rates and charges for central services, management and surplus will be comparable with those in the tender for Oak Farm and Innage Lane
- They will work with the council on the most cost effective way of delivering transport for service users to and from The Meres
- They will estimate the expected income from promoting paid for uses of the centre and agree to a risk-sharing agreement which delivers savings which will be re-invested in improvements to provision and/or a reduced price as agreed with the Council.

The provider has also commented that they believe their track record of previously returning savings to the council and the council's conduct in funding unplanned and unexpected additional costs from changes in assessed service user needs is evidence of good faith on both parts and a safe basis for openly and honestly agreeing the best value price before contracts are signed and that they are prepared to progress these proposals "at risk".

In order to support the library transfer there will be an opportunity to utilise part of the DCLG Transformation Challenge Award grant to fund reconfiguration of the new library location within the Meres Day Centre.

Shropshire Council have been awarded Transformation Challenge Award Funding from Central Government to transfer management of Libraries to new organisations. This Funding can be used to pay towards the capital costs of relocating the library on the understanding that revenue savings can be made over the coming years.

## 5. Outcome of the bid evaluation

Under the Procurement Process we ultimately received one outline solution bid from the Preferred Bidder for Innage Lane and Oak Farm

The bid received achieved good quality scores against the following criteria:

- Management of handover process – for both staff and service users
- Management of transition to a service which will in the future offer more learning opportunities and training for service users
- Quality of service including the use of Q checkers (adults with learning disabilities) who are employed to monitor the quality of services provided by the preferred bidder.
- Enabling service users to gain accredited awards/qualifications
- Social Value – Supporting employment and work opportunities
- Social Value – Development of a rural sustainable Business with benefits to local economy
- Involvement and engagement with Local Community

The final evaluation scores out of 10 and justification for each of the above criteria for the outline solution bid received are included below:

<b>Preferred Bidder</b>		
Question Marks	Weighted Marks	Justifications
8	24	Good response that details experience of supporting people with learning disabilities into employment, and work closely with the Community Land Trust and Shropshire Council. Also details scope to develop further in regard to the farm shop and tea room although lacking in detail regarding farm products and diversification.

8	24	Response details that primarily people's needs come first along with person centred principles. Response also details wider partnership working under this contract, making links with other services where people with multiple and profound disabilities have been supported to have greater engagement.
7	21	Strong response detailing working closely with the current manager at Oak Farm to review and develop the current community links and community engagement but lacks depth of detail in regard to Innage Lane.
8	24	Good response that states links with employers for work placements and volunteering opportunities along with developing links with colleges for potential courses.
7	21	Response details CQC standards will be applied to the management of the services along with the Q Team Checkers who offer additional dimensions to monitoring quality. Response does not include detail of independent advocacy or surveying all users.
9	9	Comprehensive response detailing stake holder engagement such as consultation events and a steering group who will be closely involved at all stages of the transfer.
9	9	Comprehensive response details ensuring staff and service users are unaffected by the transition and feel safe and secure. Details risk sharing agreement with the council. Inclusion of a realistic implementation plan.

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170

1

We did not receive any bids through the procurement process for The Meres and the Ellesmere library service. However following discussion we received separate interest from the preferred bidder who submitted a completed tender

submission which enabled evaluation and marking against each of the criteria as if in a competitive process.

The bid received achieved good quality scores against the following criteria:

- Developing volunteering and supported employment opportunities for people with learning disabilities and also the wider public.
- Developing and maintaining strong community links and relationships including with local schools, local employers, the wider community and the care home which operates from the first floor of the premises.
- Further developing the existing relationship with friends of the library.
- Management of transition to co-located services which will make effective use of public buildings and which will in the future offer more learning opportunities and training and opportunities to improve literacy and employability skills.
- Development of the facilities on site to serve the local community including the commercial catering kitchen, the tea room/coffee shop on site and enhancing the external terrace area all of which will also provide enhanced services for library users.
- Enabling service users to gain accredited awards/qualifications
- Social Value – Supporting employment and work opportunities.
- Social Value – Development of a micro enterprises with benefits to the local economy.
- Involvement and engagement with the Local Community.

The final evaluation scores out of 10 and justification for each of the above criteria for the outline solution bid received are included below:

<b>Preferred Bidder</b>		
<b>Question Marks</b>	<b>Weighted Marks</b>	<b>Justifications</b>
8	80	Good response. Includes consultation with local stakeholders with aims to diversify activities, seeking alternative funding, recruiting volunteers from diverse backgrounds.
7	70	Positive response. Includes outcomes education and literacy, community interdependence - skilling staff and volunteers to offer advice or skill people to be independent.

8	56	Good response. Includes identifying existing links with employers and education facilities, using opportunities of co-location to provide people with a range of employability skills, using volunteers.						
6	30	Satisfactory response covering some commercial opportunities. The stated aim to operate for as many hours as possible, including weekends and evenings is particularly important to Library customers.						
9	90	Good response covers raising awareness of abuse, policy, and quality assurance, use of building, training and values.						
7	49	Overall positive response covering robust and comprehensive quality assurance, but could have been more detailed on meeting a wider range of needs.						
7	49	Satisfactory response acknowledging lack of experience but willingness to work with a range of stakeholders and with monitoring processes in place. Some ideas for expanding and developing the service						
8	40	Good response with comprehensive plan.						
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## 6. Key benefits of the bid

- Selection of a preferred bidder who has a proven track record in supporting adults with learning disabilities to achieve their full potential through volunteering and employment based opportunities
- A strong commitment by the preferred bidder to investing further in Shropshire and also in staff, volunteer and service user training and development.
- A strong commitment by the preferred bidder to maintain and further develop the library provision in Ellesmere.

- As a consequence of the above, confidence that we have a bidder with demonstrable commercial acumen and commitment developing the services as a community resource.
- A range of opportunities offered by the Preferred Bidder that will support adults with learning disabilities and other vulnerable adults to gain vocational qualifications and meaningful employment (paid or voluntary).

## **7. Social Value**

The Local Authority is obliged to consider the social, economic and/or environmental benefits which can be derived as a result of a procurement exercise.

The preferred bidder has a strong history and previous experience of providing opportunities for the people they support to work towards employment they have demonstrated how they will bring their previous experience of employability to bear on these contracts through supporting people at Oak Farm, Innage Lane and The Meres to work towards employment in line with their aspirations, skills, abilities, circumstances and age. This will also include the development of micro enterprises as appropriate.

They have demonstrated that through links with local colleges they will develop a list of potential courses, to include a range of relevant subjects, such as agriculture, horticulture, art, IT, or business-related.

The preferred bidder has also demonstrated how they will work with local employers and the wider community to develop supported employment opportunities and work based placements as part of accredited courses.

A bank of volunteers will be established to mentor/buddy with learners, and support with the delivery of training, both on and off-site. They will also help with the development of personal learning portfolios to record individual progress towards learning outcomes. Volunteering opportunities at the library will also be enhanced for all members of the local community.

## **8. Premises**

There are 4 premises related to this matter should the decision be made to award the contracts as recommended.

1. Innage Lane is a day service provision which operates from a large two storey house in Bridgnorth. At the point of transfer the service will continue to be delivered at this premise.

During the term of the contract there is the potential for the delivery of this service to be relocated to an alternative shared premise and for the existing day service property to be redeveloped into supported living accommodation in the future. The options appraisal on the possible use of an alternative site



is still being undertaken and any decisions regarding relocation of the service linked to a wider development may need further Cabinet approval.

The provider will be granted a lease for the use of the premise.

2. Oak farm is operated from a site in Ditton priors which was previously in council ownership and which is now owned by Ditton Priors Community Land Trust. The appointed Provider will continue to operate from this location and will be granted a sublease.
3. The Meres Day Centre and library will operate from the premises currently occupied by the day centre namely the ground floor of the Community Nursing Home. The current lease allows provision for the inclusion of the library
4. The current Ellesmere Library premise at Fulwood House will be available for disposal to generate a capital receipt.

## **9. Staff Transfer and Pensions**

The current Shropshire Council employees at Innage Lane, Oak Farm, The Meres and Ellesmere library will be subject to the Transfer of Undertakings for the protection of Employment (TUPE) regulations and will transfer on existing Council terms and conditions to the preferred bidder.

Should approval be obtained to award the contract a formal period of staff consultation in accordance with Shropshire Council policy will be undertaken.

The transfer of staff will also require the offer of a comparable pension scheme or admittance of the Preferred Bidder into the Shropshire Council pension scheme subject to the necessary approvals.

It had been normal practice for new contractors entering the Pension Scheme to be treated separately from the Council, for the majority of staff transfers for outsourced contracts, however over the last year this has caused some issues with companies/charities not wishing to bid for services within the adult social care area as transferring LGPS Pension risk is not at all attractive to them.

The preferred bidder for the service contract to run Oak Farm and Innage Grange and the services in Ellesmere have indicated that, as a not for profit charitable organisation, they would require the Council to retain the Pension Liabilities.

For these two service contracts the relevant permissions will be sought to offer the preferred bidder a Grouped approach which would be attractive to them.

This would mean that the new employer, in relation to pension liabilities, would be grouped with Shropshire Council and they would pay the same consolidated contribution rate as the Council, reviewed from time to time at

the actuarial valuations. Their pension liabilities and assets would stay on the Council books and not transfer.

Should this be agreed it is proposed that the contractor is responsible to cover any additional Pension costs for any early retirements they agree with staff going forward. The pension scheme would also be a closed scheme with any new employees recruited by the preferred bidder being admitted into the providers own scheme.

The final pension agreements and arrangements will be concluded through the contractual negotiations and the appropriate approvals under the financial regulations will be sought.

## **10. Conclusions**

The award of the two contracts to the Preferred Bidder will deliver a viable and sustainable offer for the services which will be advantageous to the Council and importantly provide the users of the services with opportunities for greater community integration, vocational qualifications and employment opportunities.

The inclusion of Ellesmere library in one of the contracts ensures the continuity of library provision in the area through co-location in shared premises thus releasing a council asset for disposal and generation of a capital receipt.

**List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)**

**Portfolio Holder Decisions**

**03-11-15**

**17-12-15**

**Cabinet Member (Portfolio Holder)**

Councillor Lee Chapman

Councillor Stuart West

Councillor Michael Wood

**Local Members**

Councillor John Hurst-Knight

Councillor Christian Lea

Councillor William Parr

Councillor Les Winwood

Councillor Ann Hartley

Councillor Robert Tindall

**Appendices**

Appendix A – Examples of Service User views.

Appendix B - Equality & Social Inclusion Impact Assessment – Oak Farm

Appendix C – Equality & Social Inclusion Impact Assessment – The Meres

Appendix D – Equality & Social Inclusion Impact Assessment – Ellesmere Library

Appendix E – Equality & Social Inclusion Impact assessment – Ellesmere Customer Service Point

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# INNAGE LANE - OUR FUTURE

18<sup>th</sup> January 2016



- Diana from Taking Part came to see us.
- Last year we had some meetings to talk about moving to the Youth Building.
- Shropshire Council has said they want to find another company to run our day service as they are not going to do it any more.

2015



# Who was at our meeting



- Michael, Sue F., Jayne, Karen, Susy, Patrick, Haley, Nick, Stuart, Steph, Jimmy, Michelle were all at the meeting.
- We have had people from other care organisations come to visit us. One of the organisations did not talk to us.



# What we want know



Changing Times; Changing Lives



- Will we still be able to talk to Taking Part and OSCA ?
- It is right that we should have our voices listened to.

# Things to think about

# STAFF



- Will we keep our staff?
- Are we still going to the Youth Building – if so – when?
- Will we still do our fund raising events?
- Will we still have our Comforts Fund?



# Things to think about



- We used to be involved with community activities – we would like to do this again.

# Things to think about



- Would we be able to go out on trips?
- Can we go swimming?
- Visit to animals like Acton Scott farm and Hoo Farm

# Things to think about



- Someone coming in to exercises with us.
- We would like to do more walking.
- Can we do photography.
- We really like cooking.
- We like doing our gardening.

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## Shropshire Equality and Social Inclusion Impact Assessment (ESIIA)

### Contextual Notes 2014

#### ***The What and the Why:***

The Equality and Social Inclusion Impact Assessment (ESIIA) tool replaces the Equality Impact Needs Assessment (EINA) tool previously in use by Shropshire Council. It is a tool to help us to identify whether or not any new or significant changes to services, including policies, procedures, functions or projects, may have an adverse impact on a particular group of people, and whether the human rights of individuals may be affected.

What we are now doing is broadening out such assessments to consider social inclusion. This is so that we are thinking as carefully and completely as possible about all groups and communities in Shropshire, including people in rural areas and people we may describe as vulnerable, as well as people in what are described as the nine 'protected characteristics' of groups of people in our population, eg Age, eg Gender Reassignment. We demonstrate equal treatment to people who are in these groups and to people who are not, through having what is termed 'due regard' to their needs and views when developing and implementing policy and strategy and when commissioning, procuring, arranging or delivering services.

It is a legal requirement for local authorities to assess the equality and human rights impact of changes proposed or made to services, such as through a new policy or a change in procedure. Carrying out ESIIAs helps us as a public authority to ensure that, as far as possible, we are taking actions to meet the general equality duty placed on us by the Equality Act 2010 to have what is called *due regard* to the three equality aims in our decision making processes. These are: eliminating discrimination, harassment and victimisation; advancing equality of opportunity; and fostering good relations.

#### ***The How:***

The assessment comprises two parts: a screening part, and a full report part.

**Screening (Part One)** enables energies to be focussed on the service changes for which there are potentially important equalities and human rights implications. If screening indicates that the impact is likely to be positive overall, or is likely to have a medium or low negative or positive impact on certain groups of people, a full report is not required. Energies should instead focus on review and monitoring and ongoing evidence collection, enabling incremental improvements and adjustments that will lead to overall positive impacts for all groups in Shropshire.

A **full report (Part Two)** needs to be carried out where screening indicates that there are considered to be or likely to be significant negative impacts for certain groups of people, and/or where there are human rights implications. If you are not sure, a full report is recommended, as it enables more evidence to be collected that will help you to reach an informed opinion.

## Shropshire Council Part 1 ESIIA: initial screening and assessment

*Please note: prompt questions and guidance within boxes are in italics. You are welcome to type over them when completing this form. Please extend the boxes if you need more space for your commentary.*

### **Name of service change**

Innage Lane Day Services and Oak Farm Day Services

### **Aims of the service change and description**

Proposal to close the current day service at Innage Lane and relocate into the existing Youth Service building.

Redevelopment of the current day service building to provide supporting living accommodation

To find an organisation to run and develop the services at Innage Lane and Oak Farm in line with the Council's wish to no longer be a provider of services

Particularly in relation to Oak Farm:

To attract investment and grants into the service which the Council is not in the best position to access.

To assist the service to become more self sustaining, to ensure the trading account is in surplus and to develop products and markets.

To widen target service user group, offer vocational qualifications and training and enable people to move to more open employment or training.

Innage Lane is a day service for 20 adults with a learning disability and Oak Farm is day services for 42 adults with learning disabilities.

### **Intended audiences and target groups for the service change**

Day service users,  
Innage Lane staff  
Oak Farm staff  
Advocacy organisations  
Families of Service Users  
Carers of Service Users

### **Evidence used for screening of the service change**

Appendix 1 has details of correspondence, emails, telephone calls and easy read documents pertaining to this consultation

Consultation which has included meetings, email correspondence, letters, telephone calls and easy read documents which are attached at Appendix 1.

Group advocacy meetings for ALD clients facilitated by Taking Part.

Shropshire Council estates have carried out a survey of the Youth centre building and identified work which would need carrying out to improve access, i.e. enlargement of entrance lobby and automatic doors.

Those features of Innage Lane building which service users feel are important and necessary to provide the service they require, i.e. sensory/quiet room and fully accessible care room and an accessible garden area have been surveyed and costed out to be replicated at The youth centre.

Taking Part (Advocacy organisation) have held regular meetings at Innage Lane and Oak Farm and kept people informed of how changes in the Council and in adult social care may affect them including the recommissioning of services.

Accessible documents produced by Taking Part, reflecting the views and wishes of the service users attending the two services and showing the things that were most important to them.

Overall continuity of care would remain for existing users with the same staff group and key working staff as the staff team would transfer to a new provider.

The existing workforce will have terms and conditions of employment protected through a transfer to the preferred bidder under TUPE regulations.

The support to the service and users from the local community and neighbourhood would remain as the Youth Centre buildings is approximately 500 metres from the Innage Lane Day Centre and may be enhanced through new developments

The development of the services could see an extension of the service offer to other vulnerable groups e.g. mental health clients, NEETS

The preferred bidder will bring additional expertise, diversity and choice to the care sector in Shropshire.

### **Specific consultation and engagement with intended audiences and target groups for the service change**

Gavin Bayliss, Day service manager informed staff at Innage Lane of the proposals Wednesday 20 May 2015.

Consultation Meeting for service users, parents/carers and advocacy groups held at Youth Centre on Thursday 4 June 2015. The meeting was attended by 41 people, minutes for the meeting were sent out on 15 June 2015. The letter included a date for a further consultation meeting which was due to be held on Thursday 6 August from 10.00 – 12.00.

Regular Carers Forum held on 1<sup>st</sup> July 2015 at St James Church Hall, Bridgnorth was also used by carers to comment on the proposal.

Consultation Meeting held at Youth Centre Thursday 13 August 10.30 – 12.00 attended by 23 service users, parent carers and staff from Innage Lane and Oak Farm Day Service, 3 members Bridgnorth Town Council, 2 representatives from OSCA/Taking Part Advocacy Groups. This was a rearrange meeting from the 6<sup>th</sup> August in relation to parent comments that the 6<sup>th</sup> August clashed with an important local event (Burwarton Show) attended by many service users and their families.

Consultation meeting held with the service users at Bridgnorth Town Hall on Monday 28 September

Open public meeting prior to Portfolio Holders decision meeting at Shirehall, Shrewsbury on 3<sup>rd</sup> November.

Regular carers forum held 22<sup>nd</sup> April 2016 in Bridgnorth was used by carers to ask questions on progress.

## **Potential impact on Protected Characteristic groups and on social inclusion**

### **Guidance notes on how to carry out the initial assessment**

Using the results of evidence gathering and specific consultation and engagement, please consider how the service change as proposed may affect people within the nine Protected Characteristic groups and people at risk of social exclusion.

1. Have the intended audiences and target groups been consulted about:
  - their current needs and aspirations and what is important to them;
  - the potential impact of this service change on them, whether positive or negative, intended or unintended;
  - the potential barriers they may face.
2. If the intended audience and target groups have not been consulted directly, have representatives been consulted, or people with specialist knowledge, or research explored?
3. Have other stakeholder groups and secondary groups, for example carers of service users, been explored in terms of potential unintended impacts?
4. Are there systems set up to:
  - monitor the impact, positive or negative, intended or intended, for all the different groups;
  - enable open feedback and suggestions from a variety of audiences through a variety of methods.



5. Are there any Human Rights implications? For example, is there a breach of one or more of the human rights of an individual or group?
6. Will the service change as proposed have a positive or negative impact on fostering good relations?
7. Will the service change as proposed have a positive or negative impact on social inclusion?

**Guidance on what a negative impact might look like**

<b>High Negative</b>	Significant potential impact, risk of exposure, history of complaints, no mitigating measures in place or no evidence available: urgent need for consultation with customers, general public, workforce
<b>Medium Negative</b>	Some potential impact, some mitigating measures in place but no evidence available how effective they are: would be beneficial to consult with customers, general public, workforce
<b>Low Negative</b>	Almost bordering on non-relevance to the ESIIA process (heavily legislation led, very little discretion can be exercised, limited public facing aspect, national policy affecting degree of local impact possible)

**Initial assessment for each group**

*Please rate the impact that you perceive the service change is likely to have on a group, through inserting a tick in the relevant column.*

<b>Protected Characteristic groups and other groups in Shropshire</b>	<b>High negative impact Part Two ESIIA required</b>	<b>High positive impact Part One ESIIA required</b>	<b>Medium positive or negative impact Part One ESIIA required</b>	<b>Low positive or negative impact Part One ESIIA required</b>
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg young person with disability)				These services are for people of all ages including young people in transition if appropriate.
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)			The services are primarily for adults with learning disabilities. Currently 42 adults attend Oak Farm and 20 adults attend Innage Lane. There is the opportunity in the future for other groups of people to attend, e.g. NEETS and people with mental health needs	
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				These services are available to all users.
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring)				These services are available to all users.

responsibility, potential for bullying and harassment)				
<b>Pregnancy and Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				These services are available to all users subject to the appropriate risk assessment.
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)				These services are available to all users regardless of race.
<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				These services are available to all users regardless of religion and belief.
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)			There are currently 17 females and 25 male users at Oak Farm and 10 females and 10 male users at Innage Lane	These services are available to all users regardless of sex.
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				These services are available to all users regardless of sexual orientation.
<b>Other: Social Inclusion</b> (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people you consider to be vulnerable)			This service provides a support service in a rural community. It provides employment opportunities for staff and service users. The service provides support to families and carers as daytime respite.  Oak Farm provides employment for 5 male and 7 female staff, Innage Lane provides employment for 2 male and 5 female staff. some of whom work part-time. Staff will be	

			protected by a TUPE transfer.	

## Decision, review and monitoring

Decision	Yes	No
Part One ESIIA Only?	Yes	
Proceed to Part Two Full Report?		No

***If Part One, please now use the boxes below and sign off at the foot of the page. If Part Two, please move on to the full report stage.***

<b>Actions to mitigate negative impact or enhance positive impact of the service change</b>
<p>The Youth centre building would be adapted, improved and added to, to ensure that facilities for providing the service are as good or better than those at Innage Lane.</p> <p>Measures would be put in place to ensure that the car park area at the youth building is not used by parents dropping of at adjacent school.</p> <p>Procurement process to focus on obtaining a provider that has an excellent track record and experience of developing employment and task focussed services and also experience with vulnerable people; and in particular a learning disability client group.</p> <p>Overall continuity of care would remain for existing users with the same staff groups and key working staff as the staff teams would transfer to a new provider.</p> <p>The provision of supported living at Innage Lane would enable people with a learning disability, many who live with older carers to become tenants of quality accommodation in the local area.</p> <p>The existing workforce will have terms and conditions of employment protected through a transfer to the preferred bidder under TUPE regulations.</p> <p>The services will continue to contribute to the local rural economy.</p> <p>The service will continue to provide daytime respite for carers and families.</p>

<b>Actions to review and monitor the impact of the service change</b>
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Quarterly Learning disability Service user forums and quarterly learning disability carers/family forums are held which will provide continued opportunity for feedback on social care services.

Following any change in provider for Innage lane and Oak farm, Taking Part, a local advocacy organisation, will continue to talk to the service users on a regular basis and provide feedback to the Council on the quality of the service.

DRAFT

## Activity at Part One screening stage

<b>Names</b> (list those involved in carrying out assessment)	<b>Job titles</b>	<b>Contact details</b>
Gavin Bayliss	Day service Manager	
Date commenced	4 June 2015	
Date updated	13 August 2015	
Date transferred to ESIIA	30 September 2015	
Internal Scrutiny by	Ruth Houghton	

## Scrutiny at Part One screening stage

<b>People involved</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer carrying out the screening</i>	Ruth Houghton	4 June 2015
<i>Any internal support</i>		
<i>Any external support</i>	Advocacy organisation Taking Part OSCA	
<i>Head of service</i>	Ruth Houghton	

## Sign off at Part One screening stage

<b>Name</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer's name</i>	Ruth Houghton	
<i>Head of service's name</i>	Ruth Houghton	

## Appendix 1

Telephone call by Ruth Houghton to JE, informing him of proposals Wednesday 20 May 2015

Letter outlining the proposals and inviting people to attend a consultation meeting sent to service users and parents/ carers Wednesday 20 May.

Telephone call by Ruth Houghton to JE to explain Shropshire Council cannot share everyone's contact details with JE but offered to share his contact information with everyone.

Email received from GK 26 May 2015, who is unable to attend the meeting, her concerns are security, parking, suitability of layout and the building requires refurbishing.

Response by Ruth Houghton to GK to email 26 May 2015 confirming points raised will be included within the meeting.

Telephone call from MC on 1 June, she is unable to attend the meeting on 4 June.

Confirmation of planned attendance of consultation meeting received from - MW, CR, ML, DE and GH.

Apologies not able to attend the consultation meeting received from PR.

Easy read document produced by Taking Part - Innage Lane consultation – Our Future, June 2015

Letter dated 22 June from JE enclosing a letter he had left at Innage for people to sign. Issues raised in the letter were the previous unsuccessful supported living, the suitability of the Youth Building and smooth running of the current building, the letter was signed by 18 people

There were 2 comments attached to the list of signatures on JE letter, one from GK raising concerns regarding locking away items when the building is used by the youth service in the evening. The other comment was anonymous it raised concerns about the suitability of the building, traffic noise and the amount of money required to make the building suitable.

Letter dated 14 July 2015 from Ruth Houghton in response to JE letter of 22 June, confirming no decision has been made, the consultation will last for approximately 3 months and answering the issues raised in his letter. The letter also suggested that both JE and Ruth's response could be made available at the meeting on 6<sup>th</sup> August.

Letter postponing 6 August meeting and informing everyone of new date sent 27 July 2015

Email postponing 6 August meeting and information everyone of new date sent 31 July 2015

Minutes for the consultation meeting held on 13 August were sent out on 3 September 2015

Letter dated 10 September from AH, regarding the unsuitability of the youth building, and the information gathered by Taking Part. He suggested that houses are built behind the youth building, demolition of the youth building, construction of a new multi-use centre and conversion of existing day centre into respite or supported living.

Email received from AH 14 September, requested all names of attendees are included in the minutes of 13 August.

Names added to minutes and distributed 18 September

Telephone call from Mrs L (parent/carer) on 23 September 2015 to Gavin Bayliss informing him of her concerns regarding road safety outside youth centre.

Letter to AH from Ruth Houghton dated 28 September responding to points raised by AH and confirming his letter has been shared with Shropshire Councillors from the Bridgnorth area.

Email received from AH received 1 October 2015 enquiring why the service users were having a meeting without the presence of parents/carers and why the meeting was not held at the Youth Centre.

Email response from Ruth Houghton to AH sent 1 October 2015

Letter from Ruth Houghton dated 2 October sent to all parent/carers/service users enclosing a copy of AH letter dated 10 September and Ruth response dated 28 September.

Easy Read document produced by Taking Part – Innage lane minutes 6<sup>th</sup> October. A record of Taking Part's meeting with service users following service user consultation meeting 28<sup>th</sup> September.

Notes taken at open public meeting prior to portfolio holder decision maker meeting at Shirehall, Shrewsbury 3<sup>rd</sup> November 2015. Representations made by AH.

Main points:

Need for a '30 year' long term plan for provision.

Felt that service users were 'led' in what they expressed to Taking part on 6/10/15

Concern about Youth buildings fitness for purpose.

Supportive of change and confidence in Councillor Chapman's decision.

TUPE experience with Midland Heart was 'brilliant'

Letter dated 19<sup>th</sup> November advising of portfolio holder decision in relation to commissioning a new provider and the undertaking of an options appraisal to determine the opportunities for the youth centre site.

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## Shropshire Equality and Social Inclusion Impact Assessment (ESIIA)

### Contextual Notes 2014

#### ***The What and the Why:***

The Equality and Social Inclusion Impact Assessment (ESIIA) tool replaces the Equality Impact Needs Assessment (EINA) tool previously in use by Shropshire Council. It is a tool to help us to identify whether or not any new or significant changes to services, including policies, procedures, functions or projects, may have an adverse impact on a particular group of people, and whether the human rights of individuals may be affected.

What we are now doing is broadening out such assessments to consider social inclusion. This is so that we are thinking as carefully and completely as possible about all groups and communities in Shropshire, including people in rural areas and people we may describe as vulnerable, as well as people in what are described as the nine 'protected characteristics' of groups of people in our population, eg Age, eg Gender Reassignment. We demonstrate equal treatment to people who are in these groups and to people who are not, through having what is termed 'due regard' to their needs and views when developing and implementing policy and strategy and when commissioning, procuring, arranging or delivering services.

It is a legal requirement for local authorities to assess the equality and human rights impact of changes proposed or made to services, such as through a new policy or a change in procedure. Carrying out ESIIAs helps us as a public authority to ensure that, as far as possible, we are taking actions to meet the general equality duty placed on us by the Equality Act 2010 to have what is called *due regard* to the three equality aims in our decision making processes. These are: eliminating discrimination, harassment and victimisation; advancing equality of opportunity; and fostering good relations.

#### ***The How:***

The assessment comprises two parts: a screening part, and a full report part.

**Screening (Part One)** enables energies to be focussed on the service changes for which there are potentially important equalities and human rights implications. If screening indicates that the impact is likely to be positive overall, or is likely to have a medium or low negative or positive impact on certain groups of people, a full report is not required. Energies should instead focus on review and monitoring and ongoing evidence collection, enabling incremental improvements and adjustments that will lead to overall positive impacts for all groups in Shropshire.

A **full report (Part Two)** needs to be carried out where screening indicates that there are considered to be or likely to be significant negative impacts for certain groups of people, and/or where there are human rights implications. If you are not sure, a full report is recommended, as it enables more evidence to be collected that will help you to reach an informed opinion.

## Shropshire Council Part 1 ESIIA: initial screening and assessment

*Please note: prompt questions and guidance within boxes are in italics. You are welcome to type over them when completing this form. Please extend the boxes if you need more space for your commentary.*

### **Name of service change**

The Meres day centre

### **Aims of the service change and description**

- 1) To develop the Meres as a community hub to include library services and customer service point in addition to continuing to provide a day service for older people and those with learning disabilities and offering rooms that can be hired by the local organisations and the community.
- 2) To find an organisation to run the services at The Meres day centre in line with the Council's wish to no longer be a provider of services.

A total of 34 adults currently access The Meres, 24 are Older People 10 are male and 14 female and there 10 are adults with learning disabilities 5 are male and 4 are female.

### **Intended audiences and target groups for the service change**

Day centre users with a learning disability  
Day centre users – older people  
Meres day service staff  
Families of Service Users  
Carers of Service Users  
Local Library users  
Local customer service point users  
Any local people or groups who may use the Meres building

### **Evidence used for screening of the service change**

*Library services to conduct separate screening and consultation of library users.*

Appendix 1 has details of correspondence, emails, telephone calls and easy read documents pertaining to this consultation

Consultation meetings – see below

Group advocacy meetings for ALD clients facilitated by Taking Part (Advocacy organisation)  
Taking Part have kept people informed of how changes in the Council and in adult social care

may affect them including the recommissioning of services.

Accessible documents produced by Taking Part, reflecting the views and wishes of the service users attending the two services and showing the things that were most important to them.

Shropshire Council estates department have produced an estimated proposal of building work and changes to the layout of the Meres to enable best use of the building by all groups concerned.

The support to the service and users from the local community and neighbourhood would be enhanced as there would be greater opportunity for interaction due to library users using the building.

The development of the services could see an extension of the service offer to other vulnerable groups e.g. mental health clients, NEETS

Overall continuity of care would remain for existing users with the same staff group and key working staff as the staff team would transfer to a new provider.

The existing workforce will have terms and conditions of employment protected through a transfer to the preferred bidder under TUPE regulations.

The preferred bidder will bring additional expertise, diversity and choice to the care sector in Shropshire.

### **Specific consultation and engagement with intended audiences and target groups for the service change**

*Library services are conducting their own separate consultation and engagement.*

Appendix 1 has details of correspondence, emails, telephone calls and easy read documents pertaining to this consultation

Consultation held at the Meres day centre on Tuesday 3 June 2015 10.30 – 12.30, attended by 9 service users, 4 Parent/carers, staff from Meres day centre and 1 representative from Taking Part advocacy group.

Comment book placed at The Meres 6 June 2015

Group advocacy meetings for ALD clients facilitated by Taking Part held in June 2015.

Regular Carers Forum held on 1 July 2015 at Council Chambers, Castle View, Oswestry attended by 3 carers.

Consultation meeting held on Monday 27 July 2015 1.30 – 3.00 attended by 1 Service user and 5 Parent/carers and a representative from Taking Part

Draft layout plan displayed at The Meres 12 October 2015.

Monday 26 October 2015 final consultation held at The Meres on Monday 26 October from 11.00 -12.30, this meeting was attended by 3 parents/carers, 1 service user and representative from Taking Part.

## **Potential impact on Protected Characteristic groups and on social inclusion**

### **Guidance notes on how to carry out the initial assessment**

Using the results of evidence gathering and specific consultation and engagement, please consider how the service change as proposed may affect people within the nine Protected Characteristic groups and people at risk of social exclusion.

1. Have the intended audiences and target groups been consulted about:
  - their current needs and aspirations and what is important to them;
  - the potential impact of this service change on them, whether positive or negative, intended or unintended;
  - the potential barriers they may face.
2. If the intended audience and target groups have not been consulted directly, have representatives been consulted, or people with specialist knowledge, or research explored?
3. Have other stakeholder groups and secondary groups, for example carers of service users, been explored in terms of potential unintended impacts?
4. Are there systems set up to:
  - monitor the impact, positive or negative, intended or unintended, for all the different groups;
  - enable open feedback and suggestions from a variety of audiences through a variety of methods.
5. Are there any Human Rights implications? For example, is there a breach of one or more of the human rights of an individual or group?
6. Will the service change as proposed have a positive or negative impact on fostering good relations?
7. Will the service change as proposed have a positive or negative impact on social inclusion?

### **Guidance on what a negative impact might look like**

<b>High</b>	Significant potential impact, risk of exposure, history of complaints, no mitigating
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<b>Negative</b>	measures in place or no evidence available: urgent need for consultation with customers, general public, workforce
<b>Medium Negative</b>	Some potential impact, some mitigating measures in place but no evidence available how effective they are: would be beneficial to consult with customers, general public, workforce
<b>Low Negative</b>	Almost bordering on non-relevance to the ESIIA process (heavily legislation led, very little discretion can be exercised, limited public facing aspect, national policy affecting degree of local impact possible)

## Initial assessment for each group

*Please rate the impact that you perceive the service change is likely to have on a group, through inserting a tick in the relevant column.*

<b>Protected Characteristic groups and other groups in Shropshire</b>	<b>High negative impact</b> <i>Part Two ESIIA required</i>	<b>High positive impact</b> <i>Part One ESIIA required</i>	<b>Medium positive or negative impact</b> <i>Part One ESIIA required</i>	<b>Low positive or negative impact</b> <i>Part One ESIIA required</i>
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg young person with disability)				These services will meet the needs of people of all ages
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)			The day services are for people with learning disabilities and older people.	
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				The day service is available to all users
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring responsibility, potential for bullying and harassment)				The day service is available to all users
<b>Pregnancy and Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				The day service is available to all users subject to the appropriate risk assessment
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)				The day service is open to all users regardless of race
<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				The day service is open to all users regardless of religion or belief
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)			There are currently 19 female service users and 15 male users at	The day service is open to all users regardless of sex

			The Meres.	
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				The day service is open to all users regardless of sexual orientation
<b>Other: Social Inclusion</b> (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people you consider to be vulnerable)			The Meres provides employment for 1 male and 11 female staff, some of whom work part time. Staff would be protected by TUPE transfer.	

## Decision, review and monitoring

Decision	Yes	No
Part One ESIIA Only?	Yes	
Proceed to Part Two Full Report?		No

***If Part One, please now use the boxes below and sign off at the foot of the page. If Part Two, please move on to the full report stage.***

<b>Actions to mitigate negative impact or enhance positive impact of the service change</b>
<p>Building work would be undertaken at the Meres to ensure that all areas of the building are accessible, light and appropriate to be used by vulnerable people.</p> <p>Improvements to some rooms would allow space dedicated to activities which could be enjoyed by day service users and local people.</p> <p>Pedestrian access would be improved in order that people and cars were separated more effectively.</p> <p>Overall continuity of care would remain for existing users with the same staff groups and key working staff as the staff teams would transfer to a new provider.</p> <p>Social inclusion will improve due to library users sharing building with older people and those with a learning disability. Opportunity for day centre users to assist in running of library and for public of Ellesmere to become involved in activities at the Meres.</p> <p>The volunteering opportunities which the café offers would be greatly enhanced by an increase in customers due to the library moving into the building.</p>

Dedicated areas within building for different activities and client groups will allow space for people who don't wish to interact outside of their peers group.

The existing workforce will have terms and conditions of employment protected through a transfer to the preferred bidder under TUPE regulations.

The services will continue to contribute to the local rural economy.

The service will continue to provide daytime respite for carers and families.

**Actions to review and monitor the impact of the service change**

Quarterly Learning disability Service user forums and quarterly learning disability carers/family forums are held which will provide continued opportunity for feedback on social care services.

Following any change in provider for The Meres, Taking Part, a local advocacy organisation, will continue to talk to the service users on a regular basis and provide feedback to the Council on the quality of the service.

## Activity at Part One screening stage

<b>Names</b> (list those involved in carrying out assessment)	<b>Job titles</b>	<b>Contact details</b>
Gavin Bayliss	Day service manager	
Date commenced	03/06/2015	
Date updated		
Date transferred to ESIIA	10/11/2015	
Internal Scrutiny by	Ruth Houghton	

## Scrutiny at Part One screening stage

<b>People involved</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer carrying out the screening</i>	Ruth Houghton	
<i>Any internal support</i>		
<i>Any external support</i>		
<i>Head of Service</i>	Ruth Houghton	

## Sign off at Part One screening stage

<b>Name</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer's name</i>	Ruth Houghton	
<i>Head of service's name</i>	Ruth Houghton	



## Appendix 1

22 May 2015 telephone conversation between a parent of a service user who accesses the ALD service and the manager of The Meres. Will the carers be the same, will meals still be provided and will the transport continue?

If there was new carers would they be able to deal with epilepsy and administer midazolam. Would her daughter be safe with members of the public coming in and out?

Comment book contained statements from 3 people dated 10 June 2015, requesting a date when the plans would be available

Letters responding to the 3 comments sent by RH on 19 June 2015 apologising that the proposed draft plans for the building were not available to view...

In June 2015 representatives from Taking Part met with the ALD service users and produced a feedback document and an 'easy read' document titled 'The Meres Part of Ellesmeres Community' also produced by Taking Part in June 2015.

Letter dated 11 June enclosing minutes of meeting and invitation to a further meeting on 27 July.

Points raised at the Carers forum -

The plans are not yet available. It is difficult to comment without seeing the plans

The room at the back of the building is dark and uninviting.

The Meres provide respite for family/carers

Letter dated 8 October informing everyone the plans are available for viewing from 12 October onwards and invitation to the final consultation meeting.

Minutes of consultation meeting held on 26<sup>th</sup> October 2015.

Letter dated 21<sup>st</sup> January confirming portfolio holders decision and plan to transfer library and go out to tender to seek a new provider.

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## Appendix 4

### Shropshire Equality and Social Inclusion Impact Assessment (ESIIA)

#### Name of service change

Redesign of Ellesmere Library, Fullwood House, Victoria Street, Ellesmere, SY12 0AA  
20 October 2015, updated 2 December 2015

#### Aims of the service change and description

Shropshire Council is transforming and redesigning the way that it works and the services it commissions and delivers. As part of this approach the council is seeking local solutions to budgetary challenges that will result in sustainable if altered library services that continue to meet our statutory duties.

Shropshire Council aims to deliver library services in partnership with communities so that they can be individually tailored to support the needs of people in their communities and can help ensure that those with specific needs can access services appropriately.

Specifically the council wants to work with local communities to explore different local management arrangements across Shropshire for our libraries. We recognise that there will be other people and organisations who are as well, or better, placed to deliver these services on our behalf and to help ensure that these important face to face services remain within communities. We also recognise that other organisations are sometimes better placed than the council to attract external funding and to deliver inward investment.

The creation and development of libraries and customer service provision within community hubs will support the provision of advice, information and signposting to local residents at an early and preventative stage; this will support the health and well-being of both individuals and communities. Co-locating services, activities and the people who deliver these will foster greater local community activity and brings residents, the local business community and smaller organisations together with the shared aim of improving the quality of life in their areas.

The redesigned library service will result in a range of different delivery approaches including face to face provision, digital and virtual provision, events and activities and an outreach programme targeted at specific groups.

In Ellesmere the council's preferred option is to relocate the Library to the Meres Day Centre and to transfer the day to day management of these services to a new management organisation, for example a social enterprise with charitable intentions, with on-going professional support provided by Shropshire Libraries. Within the proposals the opening hours for the Library will remain unchanged with the potential for some increase in opening hours in the future.

#### Intended audiences and target groups for the service change

The proposal will have an impact on all people who want to use Ellesmere Library:

- All residents of Ellesmere and the surrounding area – specifically all registered members of the library and specifically all 998 active members (who have borrowed a book in the last twelve months)
- Older people and young people
- Volunteers who support the work of the library, providing IT support sessions, local History support, running reading groups and delivering the Home Library Service in and around

Ellesmere

- Members who use the IT facilities
- Members who attend activities, e.g. reading groups, and Rhyme Times

Recent trends for Ellesmere library use are shown below:

Visits	Visits	Active borrowers	Loans	Computer use / hours
2010/11	25,272	1109	37,857	1,900
2011/12	24,211	1037	34,644	1,819
2012/13	24,613	989	30,687	1,920
2013/14	24,236	958	29,477	1,876
2014/15	23,853	998	28,169	1,596

The overall decline in key measures reflects national trends. Online developments mean it has now become easier to access a range of library services remotely, such as renewing and requesting items, e-magazines and e-books, and a wide selection of online reference resources.

The number of total loans will also have been affected by the wider availability of discounted paperbacks in supermarkets and from online retailers.

The drop in computer time used is a reflection of the increase in ownership of internet devices, particularly smartphones and tablets. However, provision of library internet access now becomes even more crucial for those who do not have access at home, particularly given the rise of 'digital by default' services.

Recent trends for the Ellesmere Customer Service Point are shown below:

Latest service trends suggest that Bus Pass, Blue Badge, Parking and Waste are the main enquiries and that numbers have dropped to approximately 12 per week.

### **Evidence used for screening of the service change**

#### Analysis of data on the location of library users in relation to the current library location and the proposed location to the Meres Day Centre

In Ellesmere the catchment area for library users is mainly from within the town, with 603 active users (with a valid postcode) of 952 users living within a 2 mile radius of the library. Beyond this 894 users live within 7 miles.

The Meres Day Centre is about 300 metres from the existing library, marginally further from the town centre.

#### Analysis of the responses to the Meres Day Centre "soft market testing open day" on the 9<sup>th</sup> June

A number of organisations attended the soft market testing open day. The response was positive with three organisations requesting a meeting to discuss how the Meres Day Centre could become a Community Hub accommodating the library and other services.

#### Analysis of the responses to the library "open day" on the 25 August

Over 150 people attended. Comments included:

Keep the library staying at Fullwood House, and rent out the upstairs rooms to provide revenue.

Concern was raised that the range of books, services provided and floor space would be reduced within any possible move to an alternative location.

Concerns about day care centre location alongside day service users and car parking.

It was suggested that Council Tax be raised to ensure that local services are not reduced.

No groups came forward to explore the option of taking over the running of the library within Fullwood House, although there was a suggestion that local businesses and organisation come together to form a community management organisation.

#### Analysis of responses to the Ellesmere Local Joint Committee meeting on the 22<sup>nd</sup> September

Following a presentation on Library redesign concern was raised that Shropshire Council should have done more to proactively exploring all the options for the management of the library and Fullwood House.

Concern was also raised that the Town Council have not been involved in formal discussions regarding the library.

#### Analysis of the targeted consultation undertaken by Adult Social Care with existing users of the Meres Day Centre

Three consultation meetings have been held with the service users, parents, relatives and carers of the Meres day centre.

In general the users, particularly those with learning disabilities welcomed the prospect of the library becoming part of the building with some reservations.

They saw increased opportunities to volunteer in the library and in the Meres café, which could see an increase in customers, as a positive.

The learning disabled users did have concerns about using different rooms within the building than they do now.

Carers were concerned about security and vulnerability of users if more people were coming in and out of the building.

Concern regarding pedestrian access to the site through the driveway shared with the doctor's surgery.

#### Consideration of responses from the Ellesmere Community Care Centre Trust

The Trustees are supportive of the vision for the Meres Day Centre becoming a community hub, and welcome the possibility of the library moving to the Centre. They are happy for minor alterations to be made to the internal space of the building to accommodate the library.

#### Consideration of responses from Ellesmere Town Council

Has considered the option of managing the library and Fullwood House in partnership with Ellesmere College. However, does not consider this to be feasible and is supportive of the Council's preferred approach.

#### Consideration of responses from Ellesmere College

Has explored the option of working in partnership with the Town Council or any other potential managing organisation to run the Library in Fullwood House. However, no alternative management option has been identified.

#### Consideration of responses from Housing Associations

The Wrekin Housing Association and Shropshire Housing Group have viewed the first and second floors of Fullwood House but did not identify a need for bedsit accommodation or view the project to retain the library in its existing location supported by rental from the flats to be financial viable.

#### Consideration of responses from Stakeholder workshop with Locality, 12 November

A workshop with Locality resulted in interested parties discussing how the library could be sustained in its current location or within the Meres Day Centre (no alternative location was identified). Ellesmere Town Council and Ellesmere College explored the option of working together to run the library in Fullwood House using income from the flats upstairs, both parties subsequently agreed that this was not a feasible option.

#### Consideration of discussions with the Ellesmere Library volunteers / Friends of Ellesmere Library

A Friends of Ellesmere Library Group has been formed. The Friends are not in a position to lead any takeover of the library in Ellesmere, but wish to work closely with any other interested organisation to support the library wherever it is based.

#### Formal consultation on the future of the Library service in Ellesmere from 2 October to 16 November 2015

A formal consultation was available online via Shropshire Council's website. Paper copies of the consultation document were made available in the library, local newsagents, post office and Town Hall and press releases were issued to promote the survey. Details of the consultation were also emailed to registered users of Ellesmere library and shared with members of the Friends group.

A second library open day took place on October 13<sup>th</sup>; indicative plans of a proposed layout for the library within the Meres Day Centre were available. Approximately 30 people attended to look at plans, discuss options and complete the consultation questionnaire.

A total of 309 people responded to the consultation, although not all answered all the questions.

**Proposal 1** – Moving the library and Customer Service Point to the Meres Day Centre was supported by 124 people (40.13%).

**Proposal 2** – Shropshire Council continuing to run the library with reduced staffing hours was supported by 75 people (24.27%).

**Alternative proposals** – 103 people (35.60%) provided alternative proposals

A considerable number of comments were made in the consultation. Those that are relevant directly to equality considerations are included below:

<b>Comments</b>	<b>Response</b>
Parking and access	A new dedicated pedestrian access will be created to the Meres Day Centre. There will be two clearly marked disabled car park spaces at the Meres dedicated to library users. Negotiations are taking place with the Comrades Club to provide allocated spaces in their car park, immediately opposite the Meres Day Centre. The management of traffic and access will be reviewed with the different parties and in the context of the further development of this ESIIA.
Needs of different users Impact on existing day centre users including elderly residents and children Impact on nursing home residents Day Centre users at risk	There are strong potential synergies between different services and the colocation of the library provides an opportunity for day centre users to volunteer and for the spaces to develop into a multi-faceted vibrant and relevant community facility. However it is recognised that the co-location of the library with day centre users could also raise some concerns and that a clear shared approach to the development of spaces and their management will be required. The requirements of different users will be considered in the context of the further development of this ESIIA. Independent of this ESIIA Day services have prepared an ESIIA specific to the equality implications of proposed users to Adults with Learning Difficulties and Older People.
Unsuitability of space for library activities Need space for children activities	A plan for the Meres Day Centre will be developed with the different users that best accommodates different needs within a limited budget. A detailed shelving plan will be developed alongside this.
There is little synergy between different users	The Council believes that the opposite applies and that there is a real opportunity to create synergies between different service users that potentially add value to the facility in the context of its development as a key community asset for Ellesmere. However, the Council

	also recognises that there are matters that need considering within the context of the development of a building and management plan.
Future population increase	It is recognised that the population of Ellesmere will grow and that future library provision needs to both reflect this and the changing way that people use libraries.

Ellesmere Urban Ward demographics (2011) (Source – Shropshire Council, Facts and Figures, Local Area Profiles)

There were 1706 households in Ellesmere Urban ward in 2011. The ward had 3835 usual residents and covers an area of 493.8 hectares

**Population Age Structure**

- Early years: 5.8% (222 children) of the population were aged 0 to 4 years in March 2011. This compares with 5.1% at County level, 6.3% regionally and 6.3% nationally.
- School age: 14.4% (553 children) of the population were aged 5 to 17 years in March 2011. This compares with 14.9% at County level, 15.8% regionally and 15.1% nationally.
- Working age: 57.4% (2202 people) of the population were aged 18 to 64 years in March 2011. This compares with 59.3% at County level, 61.0% regionally and 62.3% nationally.
- Retirement age: 22.4% (858 people) of the population were aged 65 and over in March 2011. This compares with 20.7% at County level, 16.9% regionally and 16.3% nationally.
- Over 85 year olds: 3.0% (114) of the population were aged 85 and over in March 2011. This compares with 2.7% at County level, 2.2% regionally and 2.2% nationally.

**Diversity**

- The 2011 Census showed Ellesmere Urban Parish had a black and minority ethnic group population of 61 (1.59%). The largest broad ethnic groups are ‘Asian and mixed’ (within these groups the largest group is Chinese).
- When asked about their religion 26.1% (1000 people) identified themselves as having no religion or did not state it on the form. The majority of people (73.1%) identified themselves as Christian and 0.8% (30 people) identified themselves as having an alternative religion.

**Car Ownership**

- The 2011 Census showed that 300 households (17.6%) did not own a car and subsequently are reliant on other forms of transport such as public services. In total 2130 cars are owned by households resident in the ward

**Unemployment**

- At the time of the census, there were 115 Ellesmere Urban residents who were unemployed but available for work. This is 4.2% of the 16-74 year old population, compared to 3.3% for Shropshire
- 32 young people (aged 16-24) were unemployed, plus a further 18 who were 50 to 74
- Long term unemployment is also an issue – 44.3% of all unemployed were classed as long-term unemployed in 2011. This is the equivalent of 51 people

**Long term illness or disability**

- The Census asked “Are your day-to-day activities limited a lot due to a health problem or disability which has lasted, or is expected to last, at least 12 months?”
- 9% said that their day-to-day activities limited a lot due to a health problem or disability. This is

- slightly higher than the figure of 8% for Shropshire as a whole.
- The percentage who reported their day-to-day activities were limited a little was 11%. This is slightly higher than the figure of 10% for Shropshire as a whole.

**Specific consultation and engagement with intended audiences and target groups for the service change**

The outcomes of consultations already held are described above. Specific stakeholder engagement and consultation is summarised below:

- Open day held on 9 June 2015 at the Meres Day Centre for library users, Day Centre users and any organisations interested in taking on the day to day management of the Centre
- Regular meetings with Ellesmere Community Care Centre Trust, the Friends of Ellesmere Library and the local member for Ellesmere
- Drop in event held at Ellesmere Library 25 August 2015
- Presentation at the Ellesmere Area LJC on 22 September 2015
- Consultation with Meres Day Centre users
- 6 week public consultation 2<sup>nd</sup> October - 16<sup>th</sup> November 2015; drop in event on 13<sup>th</sup> October; workshop with Locality on 12<sup>th</sup> November
- Stakeholder engagement, for example Ellesmere Town Council, Ellesmere College, Ellesmere Primary School, Housing Associations, Etc.

**Potential impact on Protected Characteristic groups and on social inclusion**

<b>High Negative</b>	Significant potential impact, risk of exposure, history of complaints, no mitigating measures in place or no evidence available: urgent need for consultation with customers, general public, workforce
<b>Medium Negative</b>	Some potential impact, some mitigating measures in place but no evidence available how effective they are: would be beneficial to consult with customers, general public, workforce
<b>Low Negative</b>	Almost bordering on non-relevance to the ESIIA process (heavily legislation led, very little discretion can be exercised, limited public facing aspect, national policy affecting degree of local impact possible)

**Initial assessment for each group**

*Please rate the impact that you perceive the service change is likely to have on a group, through inserting a tick in the relevant column.*

<b>Protected Characteristic groups and other groups in Shropshire</b>	<b>High negative impact Part Two ESIIA required</b>	<b>High positive impact Part One ESIIA required</b>	<b>Medium positive or negative impact Part One ESIIA required</b>	<b>Low positive or negative impact Part One ESIIA required</b>
Age (please include children, young people, people of working age, older people. Some people may belong to more than one group eg young person with disability)				Positive impact on working people and families if opening hours are extended; will need to carefully consider the design of new library spaces so that they can best



				accommodate the needs of different users, particularly children.
Disability (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)				Potential positive impact on people with disabilities resulting from synergies between existing library and day centre services. Access considerations including parking will be considered within the development of detailed building layout plans, but no negative impacts are anticipated
Gender re-assignment (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
Marriage and Civil Partnership (please include associated aspects: caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
Pregnancy & Maternity (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
Race (please include: ethnicity, nationality, culture, language, gypsy, traveller)				No evidence to suggest either positive or negative impact
Religion and belief (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				No evidence to suggest either positive or negative impact
Sex (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
Sexual Orientation (please include associated aspects: safety; caring responsibility; potential for bullying and				No evidence to suggest either positive or negative impact

harassment)				
Other: Social Inclusion (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people you consider to be vulnerable)			Positive potential impact for current users of the Day Centre – older people and those with learning difficulties - to access Library services and develop volunteering opportunities helping them to integrate more fully into the community	

### Decision, review and monitoring

Decision	Yes	No
Part One ESIIA Only?	√	
Proceed to Part Two Full Report?		√

***If Part One, please now use the boxes below and sign off at the foot of the page. If Part Two, please move on to the full report stage.***

### **Actions to mitigate negative impact or enhance positive impact of the service change**

We think the particular groups most likely to be affected by the proposed approach for library provision are:

Older people with mobility problems, people with physical difficulties and to some degree those with learning disabilities and mental health related issues. These factors become particularly significant when accessibility factors are considered. There is unlikely to be dedicated public parking immediately available at the Day Centre although public parking is available at a carpark across the road from the centre. However, up to disabled parking places will be made available at the day centre to library users. Further detailed design work will be carried out to attempt to mitigate any potential negative impact.

People living in isolated rural areas or those without access to a car or unable to travel easily on public transport may also be impacted. It is important that library series are retained centrally in the town because developing services locally that residents would otherwise have to travel to enables local people to access more comfortably and easily without incurring travel costs. The surrounding rural area are also supported by the mobile library service which visits smaller rural communities on a fortnightly basis and provides access to all Shropshire Libraries services.

Services have been developed to ensure inclusion and access to library services for those who may in some way may find access difficult. They are intended to help people participate fully and to assist in the provision of equality of opportunity.

For people with visual impairment: We subscribe to R.N.I.B services to provide audio books to people with a visual impairment. Large print books and audio books are also available in our libraries. Access software also make it easier for people with visual impairments to use our computers. Concessionary membership for people with disabilities means that they don't pay to request books or borrow DVDs or

audio books.

For people with mental health related issues: In partnership with the health service we provide 'Books on Prescription', which are self-help and awareness books prescribed by GPs for people with mental health related issues.

For people with mobility disabilities who prefer to stay at home but still want library books we have a pool of volunteers to take books to them as part of our housebound library service. We also hold Time to Listen storytelling sessions where people can relax and listen to poetry and stories read out loud by staff. Meeting others in an informal setting helps reduce isolation for some. Care homes can also borrow items for their residents.

For BME communities and people speaking other languages we provide books, in languages other than English as well as European languages.

For the LGBT community, the Library stock policy ensures that books reflecting the experiences of the LGBT community are available.

For young children and families: We provide rhyme time sessions, story times and facilitate the delivery of the national Bookstart programme locally. We work with family learning tutors to provide Quick Read books for individuals and groups. The Library helps to support children's school work, whether this is for internet access or advice about information sources. The Summer Reading Challenge, for 4 -11 year olds, helps to sustain children's reading habits throughout the summer holidays

For parents and carers, the library offers books and internet access to enable them to find help and advice, apply for jobs, housing and school places. We provide books on parenting and health, some of which are selected in partnership with the local NHS and works closely to tailor family support for lone parents and others.

Staff undertake training around disability awareness.

For those who are digitally excluded, the library will continue to offer free access to computers. In addition, volunteers hold 1:1 IT sessions supporting people to access the internet for example to support job applications and search for information

The development of digital library services such as E Books, E Magazines and E Audio may make it easier for some people to use library services or extend access to some people who may not otherwise use library services, for example carers and disabled people. National research also shows that men are more likely to use library services when they are 'digital' even if they never visit a library so this may advance equality of opportunity.

The library service will also act as a 'front door' or portal to put people in connection with other public services and information and this may have a positive effect on people who share protected characteristics providing another avenue of access to information or other services.

In this respect support will be provided over extended opening hours for Customer Services (compared to the existing restricted Customer Service Point opening hours) for local residents to access Shropshire Council services via a freephone facility or to do their business on-line via dedicated public computer. Library staff will be on hand to for anyone who needs help.

By offering active community volunteering opportunities people will be helped to participate in public life.

As well as having a potential impact on existing library and customer services point users there is a potential impact to be considered on existing users of the Meres Day Centre, particularly adults with

learning difficulties and older people. Access to library services will be a key element in the considerations in shaping the detailed library business plan.

In developing its proposals the council has had regard to the public sector equality duty and in confirming final proposals will consider local need, library and customer service point usage data and the outcomes of existing consultation and feedback from service users

The creation and development of community hubs and the provision of advice, information and signposting at an early and preventative stage supports the health and well-being of both individuals and communities. The creation of a Community Hub will underpin the changing way in which services will be delivered in the future. Co-locating services, activities and the people who deliver these fosters greater local community activity and brings residents, the local business community and smaller organisations together with the aim of improving the quality of life in their areas.

#### **Actions to review and monitor the impact of the service change**

A contract with any new provider will be regularly monitored to ensure that they fulfil their obligations in the running of the library service.

Users of the library and day centre users will be involved in the design and delivery of any changed service and also play an important critical friend role in the ongoing delivery.

Any new provider will ensure that data is collected to feed into the Library Service and Customer Services performance measures; for example number of visits to the library, book loans, active borrowers, attendance at events and computer use.

The Library will continue to take part in any customer surveys undertaken by the Library and Customer Service Point Service.

Customers will continue to be encouraged to make comments and give feedback about the service through the provider's and Shropshire Council's Comments and Complaints system.

#### **Scrutiny at Part One screening stage**

<b>People involved</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer carrying out the screening</i>		
<i>Any internal support</i>		
<i>Any external support</i>		
<i>Head of service</i>		

#### **Sign off at Part One screening stage**

<b>Name</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer's name</i>		
<i>Head of service's name</i>		

## Shropshire Council Part 2 ESIIA: full report

### Guidance notes on how to carry out the full report

The decision that you are seeking to make, as a result of carrying out this full report, will take one of four routes:

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

The Part Two Full Report therefore starts with a forensic scrutiny of the evidence and consultation results considered during Part One Screening, and identification of gaps in data for people in any of the nine Protected Characteristic groups and people who may be at risk of social exclusion, eg rural communities. There may also be gaps identified to you independently of this process, from sources including the intended audiences and target groups themselves.

The forensic scrutiny stage enables you to assess:

- **Which gaps need to be filled right now, to help you to make a decision about the likely impact of the proposed service change?**

This could involve methods such as: one off service area focus groups; use of customer records; examination of data held elsewhere in the organisation, such as corporate customer complaints; and reference to data held by similar authorities or at national level from which reliable comparisons might be drawn, including via the Rural Services Network. Quantitative evidence could include data from NHS Foundation Trusts, community and voluntary sector bodies, and partnerships including the Local Enterprise Partnership and the Health and Well Being Board. Qualitative evidence could include commentary from stakeholders.

- **Which gaps could be filled within a timeframe that will enable you to monitor potential barriers and any positive or negative impacts on groups and individuals further along into the process?**

This could potentially be as part of wider corporate and partnership efforts to strengthen the evidence base on equalities. Examples would be: joint information sharing protocols about victims of hate crime incidents; the collection of data that will fill gaps across a number of service areas, eg needs of young people with learning disabilities as they progress through into independent living; and publicity awareness campaigns that encourage open feedback and suggestions from a variety of audiences. Once you have identified your evidence gaps, and decided on the actions you will take right now and further into the process, please record your activity in the following boxes. Please extend the boxes as needed.

<b>Evidence used for assessment of the service change: activity record</b>
--

*How did you carry out further research into the nine Protected Characteristic groups and those who may be at risk of social exclusion, about their current needs and aspirations and about the likely impacts and barriers that they face in day to day living?*

*And what did it tell you?*

**Specific consultation and engagement with intended audiences and target groups for the service change: activity record**

*How did you carry out further specific consultation and engagement activity with the intended audiences and with other stakeholders who may be affected by the service change?*

*And what did it tell you?*

**Further and ongoing research and consultation with intended audiences and target groups for the service change: activity record**

*What further research, consultation and engagement activity do you think is required to help fill gaps in our understanding about the potential or known affect that this proposed service change may have on any of the ten groupings and on the intended audiences and target groups? This could be by your service area and/or at corporate and partnership level.*

**Full report assessment for each group**

***Please rate the impact as you now perceive it, by inserting a tick. Please give brief comments for each group, to give context to your decision, including what barriers these groups or individual may face.***

<b>Protected Characteristic groups and other groups in Shropshire</b>	<b>High negative impact</b>	<b>High positive impact</b>	<b>Medium positive or negative impact</b>	<b>Low positive or negative impact</b>
Age (please include children, young people, people of working age, older people. Some people may belong to more than one group eg young person with disability)				
Disability (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)				

Gender re-assignment (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
Marriage and Civil Partnership (please include associated aspects: caring responsibility, potential for bullying and harassment)				
Pregnancy & Maternity (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
Race (please include: ethnicity, nationality, culture, language, gypsy, traveller)				
Religion and belief (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				
Sex (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
Sexual Orientation (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				
Other: Social Inclusion (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people you consider to be vulnerable)				

## Summary of findings and analysis - ESIIA decision

*You should now be in a position to record your decision. Please highlight in bold the route that you have decided to take.*

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

*Please add any brief overall comments to explain your choice.*

*You will then need to create an action plan and attach it to this report, to set out what further activity is taking place or is programmed that will:*

- *mitigate negative impact or enhance positive impact of the service change,*
- AND**
- *review and monitor the impact of the service change*

*Please try to ensure that:*

- *Your decision is based on the aims of the service change, the evidence collected, consultation and engagement results, relative merits of alternative approaches and compliance with legislation, and that records are kept;*
- *The action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.*

## Scrutiny at Part Two full report stage

<b>People involved</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer</i>		
<i>Any internal support</i>		
<i>Any external support</i>		
<i>Head of service</i>		

## Sign off at Part Two full report stage

<b>Signature (Lead Officer)</b>	<b>Signature (Head of Service)</b>
Date:	Date:

## Appendix: ESIIA Part Two Full Report: Guidance Notes on Action Plan

Please base your action plan on the evidence you find to support your decisions, and the challenges and opportunities you have identified. It could include arrangements for:



- continuing engagement and involvement with intended audiences, target groups and stakeholders;
- monitoring and evaluating the service change for its impact on different groups throughout the process and as the service change is carried out;
- ensuring that any pilot projects are evaluated and take account of issues described in the assessment, and that they are assessed to make sure they are having intended impact;
- ensuring that relevant colleagues are made aware of the assessment;
- disseminating information about the assessment to all relevant stakeholders who will be implementing the service change;
- strengthening the evidence base on equalities.

Please also consider:

- resource implications for in-house and external delivery of the service;
- arrangements for ensuring that external providers of the service are monitored for compliance with the Council's commitments to equality, diversity and social inclusion, and legal requirements including duties under the Equality Act 2010.

And finally, please also ensure that the action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.

These are:

- Eliminating discrimination, harassment and victimisation
- Advancing equality of opportunity
- Fostering good relations

***Note for 2014 refresh of our corporate equality impact assessment approach: Shropshire Council has referred to good practice elsewhere in refreshing the EINA material and replacing it with this ESIIA material. The Council is grateful in particular to Leicestershire County Council, for graciously allowing use to be made of their Equality and Human Rights Impact Assessments (EHRIAs) material and associated documentation.***

***For further information on the use of ESIIAs: please contact your head of service or contact Mrs Lois Dale, Principal Rural Policy Officer and internal policy support on equality, via telephone 01743 255667, or email [lois.dale@shropshire.gov.uk](mailto:lois.dale@shropshire.gov.uk).***

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## Shropshire Equality and Social Inclusion Impact Assessment (ESIIA)

### Customer Service Points

#### Shropshire Council Part 1 ESIIA: initial screening and assessment

*Please note: prompt questions and guidance within boxes are in italics. You are welcome to type over them when completing this form. Please extend the boxes if you need more space for your commentary.*

##### Name of service change

Customer Services Face to Face provision through Community Hubs– Ellesmere Customer Service Point

##### Aims of the service change and description

The redesign of our Customer Service Points seeks to concentrate our provision in community hubs located in Shrewsbury, Oswestry, Market Drayton, Whitchurch, Ludlow and Bridgnorth where there is a mixture of population density and customer need and where our customer numbers are highest. These 6 offices chosen for our main hubs contain wards most at risk of being affected by forthcoming changes to the provision of welfare benefits which will affect working and non-working alike. These changes are likely to place demand upon the service.

The Hub concept is about making our support, telephone and online services more accessible to customers. It is about encouraging those who can to self-serve a range of Council Services; provide assisted self-service for customers who need support and provide a face to face service for those customers who are genuinely unable to manage the use of self-service facilities. Our intention is that our face to face customer provision should continue in our market towns so that people can access services locally

This redesign is taking place against a background of spending reductions and efficiency savings meaning that we would be required to deliver services across widespread sites in Shropshire with a much smaller workforce. In order to help us achieve this, we are working increasingly with partner organisations who are recognised and trusted in the local community and who are keen to help us deliver our service.

The intention across the 9 remaining customer service points at Albrighton, Broseley, Bishop's Castle, Church Stretton, Craven Arms, Cleobury Mortimer, **Ellesmere**, Shifnal and Wem is to find partners with whom we can work in order to keep these local services and to work from community venues that are easily and equally accessible to all. In these sites we will place an increasing emphasis on the use of free to use telephones linked to our Customer Service Centre and online access through free to use public computers but help will still be on hand for those customers that need it.

The Society of Information Technology Management (SOCITM) quote the estimated average costs for delivering face to face services as £8.62 per transaction. This compares to £2.83 by telephone and £0.17 by online transaction, Customer Services will strive to introduce more flexible, customer convenient and cost effective methods of doing business with the Council in

support of cost reduction and value for money whilst maintaining services in our rural communities.

Information on the use of digital services and the potential for exclusion in an increasingly digital by default world is reproduced below. Working with an appropriate community provider that understands and balances the need to empower people with the capability to access services independently whilst providing the essential support required by some customers, will help to positively overcome the barriers that may otherwise exist.

Part of our redesign will be to continue to co-locate with the town library in a community central point and to improve the channels through which people can do business with us by installing a customer Freephone linked to the Customer Service Centre through which most business can be successfully conducted and through installing a public computer through which delivery partners can help our customers to do business with us.

This should not only bring about help for those who need it to access our services but also align any new service delivery to the times of the library opening which gives an improvement over our current provision.

#### Intended audiences and target groups for the service change

- local citizens
- community groups
- local member

#### Evidence used for screening of the service change

Consider quantitative and qualitative data. Customer equality monitoring data, consultation process, research data. Log details in Evidence part of form (page 4)

Customer transactions are recorded accurately via the Darwin Customer Relationship Management System, via this we are able to show how many customers call at particular sites and for what reason.

Statistical data from the latest quarter ended June 2015 indicates that on average, 4 customers a week use Ellesmere Customer Service Point for the reasons shown below. The alternative provision for each is also shown.

Reason for call	Average number per month	Alternative provision available
<b>Blue Badge</b>	1	Online application available (national scheme) postal forms available, verification can be posted, payment can be taken over phone.
<b>Bus pass</b>	19	Renewal for older customers is soon to become automated meaning a visit to a face to face service will be unnecessary. There is an online application available (national scheme) and full service for those who cannot self-serve is also available at Oswestry Hub
<b>Waste enquiries</b>	2	Full telephony service available, online application service and

The number of customer transactions has declined over a 5 year period as customers continue to find alternative ways of conducting business with Shropshire Council as shown in the table below.

Year	Annually	Weekly
2011/12	2927	59
2012/13	1713	34
2013/14	1424	28
2014/15	962	19
2015/16	202	4

The Meres Day Centre is about 300 metres from the existing library, marginally further from the town centre.

#### Analysis of the responses to the Meres Day Centre “soft market testing open day” on the 9<sup>th</sup> June

A number of organisations attended the soft market testing open day. The response was positive with three organisations requesting a meeting to discuss how the Meres Day Centre could become a Community Hub accommodating the library and other services.

#### Analysis of the responses to the library “open day” on the 25 August

Over 150 people attended. The majority of comments were made in response to questions concerning library use however when asked directly over the relocation of the customer service point all those asked thought the proposed location would be an advantage.

### **Ellesmere Urban Ward demographics (2011) (Source - Shropshire Council, Facts and figures, Local Area Profiles)**

There were 1706 households in Ellesmere Urban Ward in 2011, the ward had 3835 usual residents and covers an area of 493.8 hectares.

#### **Population Age Structure**

- Early years: 5.8% (222) of the population were aged 0 to 4 years in March 2011. This compares with 5.1% at County level, 6.3% regionally and 6.3% nationally.
- School age: 14.4% (553) of the population were aged 5 to 17 years in March 2011. This compares with 14.9% at County level, 15.8% regionally and 15.1% nationally.
- Working age: 57.4% (2202) of the population were aged 18 to 64 years in March 2011. This compares with 59.3% at County level, 61.0% regionally and 62.3% nationally.
- Retirement age: 22.4% (858) of the population were aged 65 and over in March 2011. This compares with 20.7% at County level, 16.9% regionally and 16.3% nationally.
- Over 85 year olds: 3.0% (114) of the population were aged 85 and over in March 2011. This compares with 2.7% at County level, 2.2% regionally and 2.2% nationally.

#### **Diversity**

- The 2011 Census showed Ellesmere Urban ward had a black and minority ethnic group population of 61 (1.59%). The largest broad ethnic group is ‘Asian and mixed’ (within this the largest group is ‘Chinese’).
- When asked about their religion 26.1% (1000 people) identified themselves as having no religion or did not state it on the form. The majority of people (73.1%) identified themselves as Christian and 0.8% (30 people) identified themselves as having an alternative religion.

**Car Ownership**

• The 2011 Census showed that 300 households (17.6%) did not own a car and subsequently are reliant on other forms of transport such as public services. In total 2130 cars are owned by households resident in the ward.

**Unemployment**

• At the time of the Census, there were 115 Ellesmere Urban residents who were unemployed but available for work. This is 4.2% of the 16-74 year old population, compared to 3.3% for Shropshire.  
 • 32 young people (aged 16-24) were unemployed, plus a further 18 who were 50 to 74.  
 • Long term unemployment is also an issue – 44.3% of all unemployed people were classed as long-term unemployed in 2011. This is the equivalent of 51 people.

**Long Term Illness or Disability**

The Census asked “Are your day-to-day activities limited because of a health problem or disability which has lasted, or is expected to last, at least 12 months?”

• 9% said that their day-to-day activities were limited a lot due to a health problem or disability. This is slightly higher than the figure of 8% for Shropshire as a whole.  
 • The percentage who reported their day-to-day activities were limited a little was 11%. This is slightly higher than the figure of 10% for Shropshire as a whole.

**Use of digital services**

Digital inclusion isn't having physical access to the internet, but also having the necessary skills, confidence and capabilities to use the internet (effective access).

There are a number of factors that make it more likely that someone will be digitally excluded:

- Being over the age of 55 (69% of the off-line population)
- Living in a rural area (64% of the off-line population)
- Earning a low income or unemployed (44% of the off-line population)
- Living in social housing (37% of the off-line population)
- Having a registered disability (33% of the off-line population)

Those who are digitally excluded match socially excluded groups, and include:

- people without basic literacy skills
- individuals and families on low incomes
- people who are unemployed
- social housing and private rented tenants
- people who are homeless
- those with disabilities
- those over the age of 50

Research suggests that in Shropshire:

- 9.2% of the population have never used the internet (approximately 22% of the population)
- 13,111 people aged 16-64 are never likely to use the internet
- 12,908 people with basic literacy skills may have internet use but be unlikely to be able to use it effectively
- Those on low earnings are more at risk of digital exclusion.

**Specific consultation and engagement with intended audiences and target groups for the service change**

Local consultation exercise carried out via the existing customer service point and the library with staff actively engaging with customers over this to encourage participation.

## Potential impact on Protected Characteristic groups and on social inclusion

<b>High Negative</b>	Significant potential impact, risk of exposure, history of complaints, no mitigating measures in place or no evidence available: urgent need for consultation with customers, general public, workforce
<b>Medium Negative</b>	Some potential impact, some mitigating measures in place but no evidence available how effective they are: would be beneficial to consult with customers, general public, workforce
<b>Low Negative</b>	Almost bordering on non-relevance to the ESIIA process (heavily legislation led, very little discretion can be exercised, limited public facing aspect, national policy affecting degree of local impact possible)

### Initial assessment for each group

Please rate the impact that you perceive the service change is likely to have on a group, through inserting a tick in the relevant column.

Protected Characteristic groups and other groups in Shropshire	High negative impact <i>Part Two ESIIA required</i>	High positive impact <i>Part One ESIIA required</i>	Medium positive or negative impact <i>Part One ESIIA required</i>	Low positive or negative impact <i>Part One ESIIA required</i>
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg young person with disability)				✓
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)				✓
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
<b>Pregnancy &amp; Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)				No evidence to suggest either positive or negative impact

<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				No evidence to suggest either positive or negative impact
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				No evidence to suggest either positive or negative impact
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				No evidence to suggest either positive or negative impact
<b>Other: Social Inclusion</b> (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people you consider to be vulnerable)				✓

**Decision, review and monitoring**

<b>Decision</b>	<b>Yes</b>	<b>No</b>
Part One ESIIA Only?	✓	
Proceed to Part Two Full Report?		✓

***If Part One, please now use the boxes below and sign off at the foot of the page. If Part Two, please move on to the full report stage.***

<b>Actions to mitigate negative impact or enhance positive impact of the service change</b>
Ongoing support will be provided for new service and public invited to comment

<b>Actions to review and monitor the impact of the service change</b>
Comments, compliments and complaints process will be monitored, regular service reviews scheduled

**Scrutiny at Part One screening stage**

<b>People involved</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer carrying out the screening</i>	Chris Westwood	



<i>Any internal support</i>	Mrs Lois Dale, Principal Rural Policy Officer; ext 5684	
<i>Any external support</i>		
<i>Head of service</i>		

**Sign off at Part One screening stage**

<b>Name</b>	<b>Signatures</b>	<b>Date</b>
<i>Lead officer's name</i>	Chris Westwood	
<i>Head of service's name</i>		

## Shropshire Council Part 2 ESIIA: full report

### Guidance notes on how to carry out the full report

The decision that you are seeking to make, as a result of carrying out this full report, will take one of four routes:

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

The Part Two Full Report therefore starts with a forensic scrutiny of the evidence and consultation results considered during Part One Screening, and identification of gaps in data for people in any of the nine Protected Characteristic groups and people who may be at risk of social exclusion, eg rural communities. There may also be gaps identified to you independently of this process, from sources including the intended audiences and target groups themselves.

The forensic scrutiny stage enables you to assess:

- **Which gaps need to be filled right now, to help you to make a decision about the likely impact of the proposed service change?**

This could involve methods such as: one off service area focus groups; use of customer records; examination of data held elsewhere in the organisation, such as corporate customer complaints; and reference to data held by similar authorities or at national level from which reliable comparisons might be drawn, including via the Rural Services Network. Quantitative evidence could include data from NHS Foundation Trusts, community and voluntary sector bodies, and partnerships including the Local Enterprise Partnership and the Health and Well Being Board. Qualitative evidence could include commentary from stakeholders.

- **Which gaps could be filled within a timeframe that will enable you to monitor potential barriers and any positive or negative impacts on groups and individuals further along into the process?**

This could potentially be as part of wider corporate and partnership efforts to strengthen the evidence base on equalities. Examples would be: joint information sharing protocols about victims of hate crime incidents; the collection of data that will fill gaps across a number of service areas, eg needs of young people with learning disabilities as they progress through into independent living; and publicity awareness campaigns that encourage open feedback and suggestions from a variety of audiences.

Once you have identified your evidence gaps, and decided on the actions you will take right now and further into the process, please record your activity in the following boxes. Please extend the boxes as needed.

**Evidence used for assessment of the service change: activity record**

*How did you carry out further research into the nine Protected Characteristic groups and those who may be at risk of social exclusion, about their current needs and aspirations and about the likely impacts and barriers that they face in day to day living?*

*And what did it tell you?*

**Specific consultation and engagement with intended audiences and target groups for the service change: activity record**

*How did you carry out further specific consultation and engagement activity with the intended audiences and with other stakeholders who may be affected by the service change?*

*And what did it tell you?*

**Further and ongoing research and consultation with intended audiences and target groups for the service change: activity record**

*What further research, consultation and engagement activity do you think is required to help fill gaps in our understanding about the potential or known affect that this proposed service change may have on any of the ten groupings and on the intended audiences and target groups? This could be by your service area and/or at corporate and partnership level.*

## Full report assessment for each group

*Please rate the impact as you now perceive it, by inserting a tick. Please give brief comments for each group, to give context to your decision, including what barriers these groups or individual may face.*

<b>Protected Characteristic groups and other groups in Shropshire</b>	<b>High negative impact</b>	<b>High positive impact</b>	<b>Medium positive or negative impact</b>	<b>Low positive or negative impact</b>
<b>Age</b> (please include children, young people, people of working age, older people. Some people may belong to more than one group eg young person with disability)				
<b>Disability</b> (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)				
<b>Gender re-assignment</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Marriage and Civil Partnership</b> (please include associated aspects: caring responsibility, potential for bullying and harassment)				
<b>Pregnancy &amp; Maternity</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Race</b> (please include: ethnicity, nationality, culture, language, gypsy, traveller)				
<b>Religion and belief</b> (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				
<b>Sex</b> (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
<b>Sexual Orientation</b> (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				
<b>Other: Social Inclusion</b> (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people you consider to be vulnerable)				

## ESIIA Full Report decision, review and monitoring

### Summary of findings and analysis - ESIIA decision

*You should now be in a position to record your decision. Please highlight in bold the route that you have decided to take.*

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

*Please add any brief overall comments to explain your choice.*

*You will then need to create an action plan and attach it to this report, to set out what further activity is taking place or is programmed that will:*

- *mitigate negative impact or enhance positive impact of the service change,*  
AND
- *review and monitor the impact of the service change*

*Please try to ensure that:*

- *Your decision is based on the aims of the service change, the evidence collected, consultation and engagement results, relative merits of alternative approaches and compliance with legislation, and that records are kept;*
- *The action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.*

### Scrutiny at Part Two full report stage

People involved	Signatures	Date
<i>Lead officer</i>		
<i>Any internal support</i>		
<i>Any external support</i>		
<i>Head of service</i>		

### Sign off at Part Two full report stage

<b>Signature (Lead Officer)</b>	<b>Signature (Head of Service)</b>
Date:	Date:

## Appendix: ESIIA Part Two Full Report: Guidance Notes on Action Plan

Please base your action plan on the evidence you find to support your decisions, and the challenges and opportunities you have identified. It could include arrangements for:

- continuing engagement and involvement with intended audiences, target groups and stakeholders;
- monitoring and evaluating the service change for its impact on different groups throughout the process and as the service change is carried out;
- ensuring that any pilot projects are evaluated and take account of issues described in the assessment, and that they are assessed to make sure they are having intended impact;
- ensuring that relevant colleagues are made aware of the assessment;
- disseminating information about the assessment to all relevant stakeholders who will be implementing the service change;
- strengthening the evidence base on equalities.

Please also consider:

- resource implications for in-house and external delivery of the service;
- arrangements for ensuring that external providers of the service are monitored for compliance with the Council's commitments to equality, diversity and social inclusion, and legal requirements including duties under the Equality Act 2010.

And finally, please also ensure that the action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.

These are:

- Eliminating discrimination, harassment and victimisation
- Advancing equality of opportunity
- Fostering good relations

***Note for 2014 refresh of our corporate equality impact assessment approach: Shropshire Council has referred to good practice elsewhere in refreshing the EINA material and replacing it with this ESIIA material. The Council is grateful in particular to Leicestershire County Council, for graciously allowing use to be made of their Equality and Human Rights Impact Assessments (EHRIs) material and associated documentation.***

***For further information on the use of ESIIAs: please contact your head of service or contact Mrs Lois Dale, Principal Rural Policy Officer and internal policy support on equality, via telephone 01743 255667, or email [lois.dale@shropshire.gov.uk](mailto:lois.dale@shropshire.gov.uk).***