



**Corporate Policy and Performance Board**

**Tuesday, 2 November 2010 6.30 p.m.  
Civic Suite, Town Hall, Runcorn**

A handwritten signature in black ink, appearing to read 'David WR'.

**Chief Executive**

**BOARD MEMBERSHIP**

<b>Councillor Alan Lowe (Chairman)</b>	<b>Labour</b>
<b>Councillor Joe Roberts (Vice-Chairman)</b>	<b>Labour</b>
<b>Councillor Peter Browne</b>	<b>Conservative</b>
<b>Councillor Mark Dennett</b>	<b>Labour</b>
<b>Councillor Robert Gilligan</b>	<b>Labour</b>
<b>Councillor Diane Inch</b>	<b>Liberal Democrat</b>
<b>Councillor Kath Loftus</b>	<b>Labour</b>
<b>Councillor Paul Nolan</b>	<b>Labour</b>
<b>Councillor Ulfar Norddahl</b>	<b>Liberal Democrat</b>
<b>Councillor Ged Philbin</b>	<b>Labour</b>
<b>Councillor Kevan Wainwright</b>	<b>Labour</b>

*Please contact Ann Jones on 0151 906 3795 Ext. 1179 or e-mail [ann.jones@halton.gov.uk](mailto:ann.jones@halton.gov.uk) for further information.*

*The next meeting of the Board is on Tuesday, 4 January 2011*

**ITEMS TO BE DEALT WITH  
IN THE PRESENCE OF THE PRESS AND PUBLIC**

**Part I**

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<b>2. DECLARATION OF INTEREST (INCLUDING PARTY WHIP DECLARATIONS)</b>	
Members are reminded of their responsibility to declare any personal or personal and prejudicial interest which they have in any item of business on the agenda, no later than when that item is reached and, with personal and prejudicial interests (subject to certain exceptions in the Code of Conduct for Members), to leave the meeting prior to discussion and voting on the item.	
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*In accordance with the Health and Safety at Work Act the Council is required to notify those attending meetings of the fire evacuation procedures. A copy has previously been circulated to Members and instructions are located in all rooms within the Civic block.*

**CORPORATE POLICY AND PERFORMANCE BOARD**

*At a meeting of the Corporate Policy and Performance Board on Tuesday, 7 September 2010 in the Civic Suite, Town Hall, Runcorn*

Present: Councillors A. Lowe (Chairman), J. Roberts (Vice-Chairman), Browne, Dennett, Gilligan, D. Inch, Loftus, Nolan and Philbin

Apologies for Absence: Councillors Norddahl and Wainwright

Absence declared on Council business: None

Officers present: M. Reaney, A. Jones, I. Leivesley, T. Gibbs, R. Mackenzie and A. Villiers

Also in attendance: In accordance with Standing Order 33 Councillor Wharton – Portfolio Holder Resources, and Councillor M Ratcliffe

**ITEM DEALT WITH  
UNDER DUTIES  
EXERCISABLE BY THE BOARD**

CS14 RESOURCES PORTFOLIO

*Action*

Councillor Mike Wharton, Executive Board Portfolio Holder for Resources, provided Members with an update on current issues within his portfolio. This focused predominantly on the budget and the efficiency review. It was commented that whilst some difficult decisions had already been made at the last Executive Board meeting in light of the budget cuts, there were still more ahead.

Councillor Wharton invited questions from the Board. Following a discussion regarding Council owned land, it was agreed to share the property portfolio with members of the Board. It was noted that any land releases would only go ahead after consultation with members and advice from valuers.

In response to suggestions from members regarding various potential savings that could be made, the Chair confirmed that all Committees were being asked to consider costs within their areas, for future review.

RESOLVED: That

- 1) Councillor Wharton be thanked for his update and

attendance at the Board meeting; and

- 2) the Council's property portfolio be provided to members at the next PPB meeting.

Strategic Director  
- Resources

CS15 MINUTES

The Minutes from the meeting held on 25 May 2010 were taken as read and signed as a correct record.

CS16 PUBLIC QUESTION TIME

It was reported that no public questions had been received.

CS17 EXECUTIVE BOARD MINUTES

The Minutes of the Executive Board and the Executive Board Sub-Committee relating to the work of the Corporate Services Policy and Performance Board since its last meeting were submitted for information.

RESOLVED: That the Minutes be noted.

CS18 SSP MINUTES

The Minutes of the Halton Strategic Partnership Board were submitted to the Board for consideration.

RESOLVED: That the minutes be noted.

CS19 SUSTAINABLE COMMUNITY STRATEGY 2011 – 2026

The Board received a report updating them on the progress of the new Sustainable Community Strategy (SCS) 2011-2016 and presented the emerging vision, key objectives and long term priorities that the plan sought to deliver upon.

The drafting of a new SCS offered the opportunity to revisit the high level objectives under each of the current five key priorities and reflected the current public priorities and needs. There were a multitude of changes proposed for the public sector and uncertainty over financing mechanisms, but these factors would not change the long term challenges that the Borough faced. It was important that the overarching priorities for the Borough were scrutinised so

that decisions about the allocation of resources could be made when organisational architectures and funding mechanisms became clearer.

Members commended the SCS document but questioned how realistic it would be considering the current financial situation. In response it was agreed that it would be challenging to deliver, taking into consideration the budget restraints. This would need to be taken into account when developing the 5 year delivery plan after the implications of the Comprehensive Spending Review are known. With regards to the public consultation process, it was confirmed that this would encompass a Borough wide section of the community in the form of special interest groups.

RESOLVED: That

- 1) Members noted the five overarching priorities for the emerging SCS 2011-2016; and
- 2) Members noted the suggested vision, strategic objectives and challenges contained in Section 6.0 and their alignment with their knowledge of local needs.

CS20 INVESTORS IN PEOPLE (IIP) AWARD AND THE POST ASSESSMENT ACTION PLAN

The Board received a report on the outcome of the liP re-assessment and the associated action plan. The Investors in People Organisation Improvement Framework Review Report was attached in Appendix 1.

It was agreed by all that in spite of the current efficiency review the report was positive overall. It was felt particularly pleasing that the assessors found that morale largely remained good despite the impact of the Efficiency Review. Any areas for improvement identified within the report would be highlighted so that appropriate action could be taken. It was commented that the liP Award was a credit to the Authority and confirmed the successful working relationship between the Trade Union, Members and staff.

RESOLVED: That

- 1) the liP Re-assessment Report was noted by the Board; and
- 2) the liP post-assessment Action Plan was

endorsed by the Board

CS21 1ST QUARTER MONITORING REPORT

The Board considered a report of the Chief Executive on the 1<sup>st</sup> quarter Performance Management Reports for 2010/11 (April – June 2010).

Members were requested to consider and raise any questions or points of clarification in respect of the 1<sup>st</sup> quarter performance management reports on progress against service plan objectives and performance targets, performance trends/comparisons, factors affecting the services etc. for;

- Policy and Performance;
- Legal and Democratic Services;
- Financial Services;
- ICT and Support Services;
- Human Resources;
- Property Services; and
- Stadium and Hospitality

RESOLVED: That the 1<sup>st</sup> quarter Performance Management Reports be received.

*NB. Councillor Nolan declared a personal interest in the following item due to his wife being employed by the Council in HR.*

CS22 SICKNESS ABSENCE

The Board received a report from the Strategic Director, Resources, on attendance management and interventions introduced to assist managers in effectively managing employee absence. The report included interventions planned for 2010/11 and gave details on average days lost, due to sickness absence, per employee in 2009/10 and 2008/09.

Members commented that although the report was good; the figures were still high. It was noted that with the interventions planned for 2010/11, it was hoped that the figures would improve again. One member requested comparison data with the private sector which would follow.

RESOLVED:

- 1) That the contents of the report be noted; and

Strategic Director  
- Resources

- 2) Data from the private sector is made available to the Board so that comparisons could be made.

*Meeting ended at 7.25 p.m.*

**REPORT TO:** Corporate Services Policy & Performance Board

**DATE:** 2 November 2010

**REPORTING OFFICER:** Strategic Director, Resources

**SUBJECT:** Public Question Time

**WARD(s):** Borough-wide

### **1.0 PURPOSE OF REPORT**

1.1 To consider any questions submitted by the Public in accordance with Standing Order 34(9).

1.2 Details of any questions received will be circulated at the meeting.

**2.0 RECOMMENDED: That any questions received be dealt with.**

### **3.0 SUPPORTING INFORMATION**

3.1 Standing Order 34(9) states that Public Questions shall be dealt with as follows:-

- (i) A total of 30 minutes will be allocated for dealing with questions from members of the public who are residents of the Borough, to ask questions at meetings of the Policy and Performance Boards.
- (ii) Members of the public can ask questions on any matter relating to the agenda.
- (iii) Members of the public can ask questions. Written notice of questions must be given by 4.00 pm on the working day prior to the date of the meeting to the Committee Services Manager. At any one meeting no person/organisation may submit more than one question.
- (iv) One supplementary question (relating to the original question) may be asked by the questioner, which may or may not be answered at the meeting.
- (v) The Chair or proper officer may reject a question if it:-
  - Is not about a matter for which the local authority has a responsibility or which affects the Borough;
  - Is defamatory, frivolous, offensive, abusive or racist;
  - Is substantially the same as a question which has been put at a meeting of the Council in the past six months; or
  - Requires the disclosure of confidential or exempt information.



- (vi) In the interests of natural justice, public questions cannot relate to a planning or licensing application or to any matter which is not dealt with in the public part of a meeting.
- (vii) The Chairperson will ask for people to indicate that they wish to ask a question.
- (viii) **PLEASE NOTE** that the maximum amount of time each questioner will be allowed is 3 minutes.
- (ix) If you do not receive a response at the meeting, a Council Officer will ask for your name and address and make sure that you receive a written response.

Please bear in mind that public question time lasts for a maximum of 30 minutes. To help in making the most of this opportunity to speak:-

- Please keep your questions as concise as possible.
- Please do not repeat or make statements on earlier questions as this reduces the time available for other issues to be raised.
- Please note public question time is not intended for debate – issues raised will be responded to either at the meeting or in writing at a later date.

#### **4.0 POLICY IMPLICATIONS**

None.

#### **5.0 OTHER IMPLICATIONS**

None.

#### **6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

6.1 **Children and Young People in Halton** - none.

6.2 **Employment, Learning and Skills in Halton** - none.

6.3 **A Healthy Halton** – none.

6.4 **A Safer Halton** – none.

6.5 **Halton's Urban Renewal** – none.

#### **7.0 EQUALITY AND DIVERSITY ISSUES**

7.1 None.

**8.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

8.1 There are no background papers under the meaning of the Act.

**REPORT TO:** Corporate Services Policy and Performance Board  
**DATE:** 2 November 2010  
**REPORTING OFFICER:** Chief Executive  
**SUBJECT:** Executive Board Minutes  
**WARD(s):** Boroughwide

**1.0 PURPOSE OF REPORT**

- 1.1 The Minutes relating to the Corporate Services Portfolio which have been considered by the Executive Board and Executive Board Sub are attached at Appendix 1 for information.
- 1.2 The Minutes are submitted to inform the Policy and Performance Board of decisions taken in their area.

**2.0 RECOMMENDATION: That the Minutes be noted.**

**3.0 POLICY IMPLICATIONS**

- 3.1 None.

**4.0 OTHER IMPLICATIONS**

- 4.1 None.

**5.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

**5.1 Children and Young People in Halton**

None

**5.2 Employment, Learning and Skills in Halton**

None

**5.3 A Healthy Halton**

None

**5.4 A Safer Halton**

None

**5.5 Halton's Urban Renewal**

None

**6.0 RISK ANALYSIS**

6.1 None.

**7.0 EQUALITY AND DIVERSITY ISSUES**

7.1 None.

**8.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

8.1 There are no background papers under the meaning of the Act.

**APPENDIX 1**

**Extract of Executive Board and Executive Board Sub Committee Minutes relevant to the Corporate Services Policy and Performance Board**

**EXECUTIVE BOARD MEETING HELD ON 9 September 2010:**

<b>EXB37</b>	LICENSING ACT 2003 STATEMENT OF LICENSING POLICY
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The Board received a report of the Chief Executive requesting authorisation to carry out consultation on a review of the Council's statement of licensing policy.

On 12 December 2007, the Council adopted a statement of licensing policy in compliance with its obligations under section 5 of the Licensing Act 2003. The statement lasted for three years but Members were advised that must be re-adopted by the Council for successive three year periods. However, a statement could not be re-adopted before the completion of a consultation exercise.

The consultation exercise would commence on 10 September 2010 and run for a five week period until 15 October 2010. Any comments and recommendations received would be reported back to the Executive Board for consideration.

**RESOLVED:** That the Operational Director, Legal and Democratic Services, be authorised to undertake a consultation exercise in respect of the Council's statement of licensing policy in accordance with section 5 (3) of the Licensing Act 2003.

<b>EXB38</b>	CONSULTATION PAPER - PROVISION OF COURTS SERVICES IN CHESHIRE AND MERSEYSIDE
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The Board received a report of the Chief Executive which advised Members of the responses received from Councillors on the provision of courts services in Cheshire and Merseyside.

Members were advised that at its meeting on 15 July 2010, the Board received a report relating to the consultation document received from the Ministry of Justice on their proposals for the provision of Court Services in Cheshire and Merseyside. The Board resolved to seek the views of all Councillors and comments from two

Members were contained within the report. It was noted that the formal consultation period would end on 15 September 2010.

The Strategic Director, Environment and Economy had prepared an assessment of transport issues. Should the proposal to close the Runcorn County Court go ahead, it was clear that court users would be put at greater inconvenience in travelling to Warrington due to the location and increased travel costs.

RESOLVED: That the Chief Executive, in consultation with the Portfolio holder for Resources, be authorised to finalise and despatch the Council's response to the consultation.

### **EXECUTIVE BOARD MEETING HELD ON 23 SEPTEMBER 2010**

<b>EXB51</b>	<b>REVIEW OF THE COUNCIL'S GOVERNANCE ARRANGEMENTS</b>
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The Board received a report of the Strategic Director, Resources, which advised Members of the outcome of the consultation exercise in respect of the Council's Governance arrangements, and the model of governance to be adopted.

On 17 June 2010, Executive Board considered a report on the implications of the Local Government and Public Involvement in Health Act 2007 (the Act), in relation to the Council's governance arrangements. Section 62 of the Act modified the provisions of the Local Government Act 2000 in respect of the forms of Executive which local authorities could operate, and required the Council to operate one of the following models:

- Leader and Cabinet Executive (England); or
- Mayor and Cabinet Executive

The Consultation period ended on 10 September 2010 and no representations or comments had been received. The report contained a series of proposals for publication:

- (a) The Leader and Cabinet Executive model of governance be adopted;
- (b) The Leader be appointed until the annual meeting after the Leader's normal day of retirement as a Councillor;
- (c) Provision be made in the Constitution to enable the Council to pass a resolution to agree that the Leader

ceases his/her term of office before this statutory period has come to an end, if required; and

- (d) The Leader appoint his/her own Executive Board of two or more Members up to a maximum of ten (including the Leader).

The Board were reminded that a formal resolution on the model it would adopt must be made by 31 December 2010 and this would come into effect in May 2011.

RESOLVED: That

- (1) the outcome of the consultation exercise be noted; and
- (2) Council be recommended to adopt the Leader with Cabinet model of governance with effect from May 2011 and the proposals, as detailed in the report, be published.

<b>EXB52</b>	<b>REVIEW OF THE CONSTITUTION</b>
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The Board received a report of the Strategic Director, Resources which sought approval for a revised Call-in Procedure and rules of debate for inclusion on the Council's Constitution.

The meeting of Annual Council on 21 May 2010 approved a number of changes and updates to the Constitution as recommended by the Executive Board. In addition, it was resolved that a cross-party Working Group be established to consider the changes to the Call-in Procedure and the proposal submitted by the Liberal Democratic Group and the Conservative Group.

The Working Group met on 12 July 2010 and agreed the following:

- (i) Executive Board be recommended to approve the suggested revised text for Call-In as detailed in the Appendix;
- (ii) With the exception of the suggestion in respect of training, Executive Board be recommended not to support the suggestions submitted by the Liberal Democrat Group and the Conservative Group;
- (iii) All Councillors be offered training led by the Operational Director, Legal & Democratic Services to explain the key issues of the Constitution.

RESOLVED: That Council be recommended to approve the revised Call-in Procedure and Rules for Debate as detailed in the Appendix attached to the report.

<b>EXB54</b>	<b>PROPERTY REVIEW</b>
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The Board received a joint report of the Strategic Directors, Resources and Environment and Economy, on the Council's property portfolio.

The report contained information on the detailed examination that had taken place of two areas of property holdings – Corporate Accommodation and Surplus Property Assets. The options presented an opportunity to:

- Make efficiency savings;
- Improve the stock; and
- Meet service delivery objectives.

RESOLVED: That

- (1) with the exception of the lease on the 6<sup>th</sup> property listed in the report, for which a further report should be submitted, the surrender of the Leases outlined in paragraph 4.2 be approved, with the detailed arrangements being delegated to the Strategic Director – Environment and Economy and the Strategic Director – Resources, in consultation with the Portfolio Holder for Resources;
- (2) the process for the disposal of assets outlined in paragraph 5.7 of the report be approved; and
- (3) the Corporate Services Policy and Performance Board receive half yearly reports on progress.

**EXECUTIVE BOARD SUB COMMITTEE MEETING HELD ON 9 SEPTEMBER 2010**

<b>ES29</b>	<b>TREASURY MANAGEMENT 2009/10</b>
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The Sub-Committee considered a report, which reviewed activities on Treasury Management for the year 2009/10 in



accordance with the Council's Treasury Management Policy Statement.

The annual report covered:

- The current Treasury position;
- Performance Measurement;
- The Borrowing Strategy for 2009/10;
- The Borrowing Outturn for 2009/10;
- Compliance with Treasury limits and Prudential Indicators;
- The Investment Strategy for 2009/10
- The Investment Outturn for 2009/10
- Debt Rescheduling; and
- Other issues.

RESOLVED: That the report be noted.

<b>ES30</b>	<b>TREASURY MANAGEMENT 2010/11 1ST QTR APR - JUNE</b>
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The Sub-Committee considered a report which updated Members on the activities undertaken on the money market as required by the Treasury Management Policy.

The report provided supporting information on the economic forecast, short-term rates, longer-term rates, temporary borrowing/investments, and investment income forecast. It was noted that all the policy guidelines in the Treasury Management Policy had been complied with.

RESOLVED: That the report be noted.

<b>ES31</b>	<b>SPENDING AS AT 30 JUNE 2010</b>
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The Sub-Committee considered a report which summarised the overall revenue and capital spending position as at 30<sup>th</sup> June 2010.

In overall terms, revenue expenditure was below the budget profile, however, this was only a guide to eventual spending. It was noted that spending on employees was also below the budget profile; this was primarily due to delays in filling vacancies following the organisational restructuring from April 2010. In addition, the budget included 1% for the pay award; however, the employers had offered a zero increase.

It was noted that income levels were largely in line with budget, as the impact of the economic downturn upon income levels was taken into account when setting the 2010/11 budget.

With regard to capital spending, it was reported that spending to 30<sup>th</sup> June 2010 totalled £4.4m, which was 60% of the planned spending of £7.3m at this stage. However, this only represented 9% of the total capital programme of £50.5m (which assumed a 20% slippage between years).

The Council's balance sheet was monitored regularly in accordance with the Reserves and Balances Strategy which formed part of the Medium Term Financial Strategy. The key reserves and balances had been reviewed and were considered prudent and appropriate at this stage in the financial year.

The report also outlined the impact of the significant number of equal pay claims which had been lodged with the Council as part of the national single status agreement. A reserve had been established over recent years, although it was not certain whether this would be sufficient to meet the future cost of such claims.

RESOLVED: That the report be noted.

<b>ES32</b>	<b>DISCRETIONARY NON DOMESTIC RATE RELIEF</b>
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The Sub-Committee received a report of the Strategic Director, Corporate and Policy which sought Members' consideration of two applications for discretionary rate relief, under the provisions of the Local Government Finance Act 1988.

The Sub-Committee was advised that under the provisions of Section 47 of the Local Government Finance Act 1988, the Authority was allowed to grant discretionary rate relief to organisations that were either a charity or a non-profit making organisation. This relief may also be awarded to Community Amateur Sports Clubs. A summary of the applications was outlined within the report and a list of the associated figures was included.

RESOLVED: That under the provisions of Section 47, Local Government Finance Act 1988, discretionary rate relief be granted to the following organisations at the percentage indicated, for the period from 1<sup>st</sup> April 2010 or the commencement of liability, whichever is the later to the 31<sup>st</sup> March 2013:

- Runcorn Residents Federation 100%
- Tenants and Residents Organisations of England 20%

<b>ES33</b>	<b>EXTENSION OF CONTRACTS AND WAIVER OF STANDING ORDERS</b>
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The Sub-Committee considered a request to waive Standing Orders and extend the current Northgate@work and Northgate's Docs on Line contract for a further 5 years.

The Revenues and Benefits Division successfully implemented Anite@work (now known as Northgate@work), a document managing and workflow system, in January 2001. The contract was extended in 2006 and the current contract expired in January 2010. Northgate@work was an integral part of the work process of the division. It was the market leader in the supply of document imaging systems to Local Government, in particular in the field of Revenues and Benefits.

It was noted that an advantage of Northgate@work was that they offered a remote scanning and indexing service. This service had been used successfully during the course of the Northgate@work contract and was only offered by Northgate. In 2001 it was determined that it was more cost effective for the Council to outsource this specialist operation and provision was made in the budget to accommodate this service. As the Northgate@work contract was to be extended then it was necessary to extend the Docs on Line contract at the same time.

Members noted that there were various factors for extending the contract with Northgate including:

- the existing supplier had been used successfully for ten years;
- no conversion of information was necessary;
- no staff training on a new system was necessary, therefore no associated costs; and
- there would be no significant additional costs in the setting up of a new system, data mapping and staff training;
- the new Doc on Line contract was on more favourable terms and would achieve a saving of existing costs; and
- the current system was compatible with the Council's Home Working Policy and also supported staff working in various locations e.g. Job Centre Plus and Housing Offices.

RESOLVED: That

- 1) the Operational Director, Finance in consultation with the Portfolio Holder for Resources be authorised to extend the contract for the scanning and indexing of images for the

Revenues and Benefits Division to the contractor Northgate Information System at a cost over 5 years of £240,000 and the annual maintenance contract for a cost over 5 years of £30,725; and

2) for the purposes of Contract Standing Order 1.6, approval be given on this occasion to the waiver of Standing Orders 3.1 to 3.7 and Procurement Standing Order 4 in light of the exceptional circumstances under the following provisions:

- Standing order 1.6a, as Northgate was the only provider of a remote scanning and indexing system;
- Standing order 1.6c, as the existing system had been operating successfully for ten years and any new supplier would involve the Council in substantial set up and installation costs;
- Standing order 1.6d, as Halton Borough Council had been a reference site for Northgate@work. Due to this relationship Halton Borough Council had been able to negotiate favourable terms for the extension of the contract, which would not be available on the open market; and
- Standing order 1.6e as the provision of a remote scanning and indexing of documents can only be provided by Northgate Docs on Line.

**EXECUTIVE BOARD SUB COMMITTEE MEETING HELD ON 23 September 2010**

<b>ES39</b>	<b>ICT HARDWARE AND SOFTWARE MAINTENANCE AND DEVELOPMENT CAPITAL PROGRAMME 2010/2011</b>
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The Sub-Committee considered a report of the Strategic Director, Resources which outlined the future spend profile for the ICT Hardware and Software Maintenance and Development Capital programme for the financial year 2010/2011. The report detailed the technical requirement, the associated capital investment for each requirement, the venue implication and related risk analysis.

Members requested that future update reports include an implementation timescale.

**RESOLVED:** That the report be noted and that a further progress report be brought back to the board in six months time.

**REPORT TO:** Corporate Services Policy and Performance Board  
**DATE:** 2 November 2010  
**REPORTING OFFICER:** Chief Executive  
**SUBJECT:** Halton Strategic Partnership Board minutes  
**WARD(s):** Boroughwide

## **1.0 PURPOSE OF REPORT**

- 1.1 The Minutes relating to the Corporate Services Portfolio which have been considered by the Halton Strategic Partnership Board are normally attached for consideration.

As the Halton Strategic Partnership Board meeting was held on 29 September 2010, the minutes have not been agreed in time to comply with the Access to Information Act 1985.

## **2.0 RECOMMENDATION: That the Report be noted.**

## **3.0 POLICY IMPLICATIONS**

- 3.1 None.

## **4.0 OTHER IMPLICATIONS**

- 4.1 None.

## **5.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

### **5.1 Children and Young People in Halton**

None

### **5.2 Employment, Learning and Skills in Halton**

None

### **5.3 A Healthy Halton**

None

### **5.4 A Safer Halton**

None

### **5.5 Halton's Urban Renewal**

None

**6.0 RISK ANALYSIS**

6.1 None.

**7.0 EQUALITY AND DIVERSITY ISSUES**

7.1 None.

**8.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

8.1 There are no background papers under the meaning of the Act.

**REPORT TO:** Corporate Policy & Performance Board

**DATE:** 2 November 2010

**REPORTING OFFICER:** Strategic Director Adults and Community

**SUBJECT:** Locality Working

**WARDS:** Borough Wide

### **1.0 PURPOSE OF THE REPORT**

- 1.1 To update Members of the Board on progress implementing new approaches to locality working.

### **2.0 RECOMMENDATION: That**

- (1) Members of the PPB comment on the progress to date of locality working.

### **3.0 SUPPORTING INFORMATION**

- 3.1 Executive Board agreed an approach to locality working on the 8<sup>th</sup> April 2010. Locality working is an approach to how the council works with our partners in responding to local concerns, deliver services and key objectives within localities. The approach builds on the area forum mechanism to engage with our communities and the voluntary sector.
- 3.2 How this impacts on the area forum mechanism in pre agenda meetings will be broadened to include representatives of key partners within that local area forum. There is a core list of partners that will be appropriate across all area forums however, there may be other agencies that it would be appropriate for area forums to extend an invite to. For example, if there was a particular issue around drugs a representative from the drug action team might be appropriate. Partners can share information on their key areas of activity across the patches and we will seek opportunities to maximise funding and resources to compliment the area forums activity.
- 3.3 Community Development Officers (CDO) will provide support to community organisations within the local area forum area and promote their involvement at public meetings. The CDO's will attend pre-agenda, project and public meetings. At the public meetings the CDO can feedback activity in the local area, which groups they are working with, the activity, funding levered in, partners involved, etc. This will contribute to the broader theme of locality working.

3.4 The format of the public meetings should be given some thought at pre-agenda. It was recommended in the Executive Board report that one meeting a year would be a daytime meeting and rotation of venues be considered.

3.5 The arrangements across area forums differ and we are likely to continue to have some variances as the forums respond to local circumstances.

3.6 Progress has been made in a number of area forums.

3.6.1 **Area 1 – Broadheath, Ditton, Hale & Hough Green**

- Lead Officer Ian Leivesley, CDO Clare Dinsdale
- Continue to rotate venue & Chair
- Community Development Activity in Quarter One:-
  - Supporting 5 community groups
  - 26 Volunteers involved in community activity
  - 12 community led initiatives and activity being supported
  - 124 people benefitting from activity
  - £ 1,000 funding levered from internal funding sources as a result of Community Development Support
  - £2,015 funding levered from external funding sources as a result of community development support

3.6.2 **Area 2 – Appleton, Kingsway & Riverside**

- Lead Officer Gary Collins, CDO Adele Clarke
- Locality working discussed and agreed to hold January meeting (25<sup>th</sup> January 2011) during the day with a themed event around employment & welfare. The format will be a workshop and information event with appropriate council departments and agencies present. The public meeting will also take place. There will be targeted invites as well as generic publicity. Planning meetings have taken place and the Fire Service, Citizens Advice Bureau, Halton People into Jobs, HBC Welfare Rights, Job Centre Plus, Age Uk, PCT, New Shoots and Community Safety will all be in attendance. Country Garden will provide refreshments and showcase their training and employment initiatives for adults with learning disabilities.
- Cllr Eddie Jones will remain as Chair and the venue will be the Stadium.
- Community Development Activity in Quarter One:-
  - Supporting 19 community groups
  - 156 Volunteers involved in community activity
  - 23 community led initiatives and activity being supported
  - 1,370 people benefitting from activity
  - £1,547 funding levered from internal funding sources as a result of Community Development Support.



£13,632 funding levered from external funding sources as a result of community development support.

**3.6.3 Area 3 – Birchfield, Farnworth & Halton View**

- Lead Officer Rob MacKenzie, CDO Karen Jacobs
- Locality working discussed and agreed to hold January meeting (26<sup>th</sup> January 2011) during the day with a theme around older people. Relevant Council departments and partner agencies to be asked to participate and targeted invites through Halton Older People's Empowerment Network, Carers, Intergenerational activity and community groups as well as generic publicity will be planned. Planning meeting scheduled for 9<sup>th</sup> November 2010.
- The Chair and venue is rotated.
- Community Development Activity in Quarter One:-  
Supporting 23 community groups  
218 Volunteers involved in community activity  
25 community led initiatives and activity being supported  
841 people benefitting from activity  
£450 funding levered from internal funding sources as a result of Community Development Support  
£11,016 funding levered from external funding sources as a result of community development support.

**3.6.4 Area 4 – Grange, Halton Brook, Heath & Mersey**

- Lead Officer Sue Wallace-Bonner, CDO Gillian Watson
- Locality working discussed, and agreed to theme the January meeting (31<sup>st</sup> January 2011) on intergenerational activity and be held during the day. Meeting between Community Development and Lead Officer scheduled for 1<sup>st</sup> November 2010 to progress.
- Chair for this year is Cllr John Swain and Vice Chair is Cllr Mike Hodgkinson. The venue is Runcorn Town Hall and won't be rotated.
- The October 2010 meeting received presentations from 4 Estates and People Making Theatre on what the organisations had spent their Area Forum Grant on and the impact it had made. People Making Theatre informed the forum that without the grant their organisation wouldn't still be in existence. The Members and Residents would like to receive further presentations from applicants both before and after funding, this provided a vibrancy to the meeting. One resident commented "if all the forums were like this we'd have more people attending".
- Community Development Activity in Quarter One:-  
Supporting 21 community groups  
88 Volunteers involved in community activity  
40 community led initiatives and activity being supported  
705 people benefitting from activity

£1,250 funding levered from internal funding sources as a result of Community Development Support

£59,936 funding levered from external funding sources as a result of community development support

**3.6.5 Area 5 – Castlefields, Norton North, Norton South & Windmill Hill**

- Lead Officer Simon Riley, CDO Kerry Johnson
- Locality working discussed at pre-agenda and agreed daytime meeting in February (2<sup>nd</sup> February 2011) themed around drugs & alcohol, venue Murdishaw Community Centre and Drug & Alcohol team on board to co-ordinate information and services for the event
- Chair & venue is rotated
- October 2010 meeting received presentations from Friends of Wigg Island and the British legion, both of whom have submitted area forum grant applications.
- Community Development Activity in Quarter One:-  
Supporting 23 community groups  
346 Volunteers involved in community activity  
40 community led initiatives and activity being supported  
2497 people benefitting from activity  
£3,776 funding levered from external funding sources as a result of community development support

**3.6.6 Area 6 – Beechwood & Halton Lea**

- Lead Officer Mick Noone, CDO Nicola Sweeney
- Discussed locality working at pre-agenda, not keen on daytime meetings and no change to usual meeting format at this stage. October meeting received a presentation from pupils at Hallwood Park Primary School on how the area forum grant they had received helped them develop their garden project. Four Estates also gave a presentation as they are seeking area forum grant funding.
- Chair Cllr Alan Lowe and venue rotated
- Community Development Activity in Quarter One:-  
Supporting 11 community groups  
58 Volunteers involved in community activity  
17 community led initiatives and activity being supported  
605 people benefitting from activity  
£ 600 funding levered from internal funding sources as a result of Community Development Support  
£3,690 funding levered from external funding sources as a result of community development support

**3.6.7 Area 7 – Daresbury**

- Lead Officer, Phil Watts, CDO Nicola Sweeney

- Discussed locality working, public meetings regularly well attended with most attendees working, hence no daytime meetings planned. Meetings are often responding to local themes from the parish councils. Consultation is currently underway, attendees at the last meeting participated and postal returns coming in from parish councils. Outcome of consultation will be considered to shape future meetings.
- Venue is rotated around parish councils however; there is a tendency to only get attendance from the hosting parish.
- Community Development Activity in Quarter One:-
  - Supporting 1 community groups
  - 40 Volunteers involved in community activity
  - 1 community led initiatives and activity being supported
  - 40 people benefitting from activity

3.7 A strategic meeting with the partner agencies requires scheduling. It was agreed these meetings would take place twice a year. The next round of pre-agenda's should be extended to partners to attend and they will need to consider the appropriate representation and input for the local area forums and strategic partnership meetings.

3.8 Members of each Area Forum will shortly be asked to approve an invitation list for partners. They will also be asked to agree a descriptive profile of each area, which is currently being drawn up by Policy Unit. This profile can then be discussed at the partner agency meeting.

3.9 It was agreed in the Executive Board report on the 8<sup>th</sup> April 2010 that a marketing strategy for local area forums would be developed, this needs to progress to support the first round of locality working approaches and increase community participation at area forums in the new calendar year. A promotional dvd has also been suggested that could also be utilised in direct links, doctors surgeries, hospital waiting rooms, etc to raise awareness of area forums

#### **4.0 POLICY IMPLICATIONS**

4.1 The report updates member on an approved policy.

#### **5.0 FINANCIAL IMPLICATIONS**

5.1 Locality Working operates within agreed budgeting provision.

#### **6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

##### **6.1 Children and Young People**

Locality working is looking at engaging with more young people in the context of Area Forums.

**6.2 Employment Learning and Skills**

Jobcentre Plus are one of the identified partners in the context of locality working.

**6.3 A Healthy Halton**

The PCT are an identified partner in improving health inequalities.

**6.4 A Safer Halton**

Police and Community Safety are significant partners in improving local areas. The Area Forums deal with many issues of anti-social behaviour.

**6.5 Halton's Urban Renewal**

Partners can come together to improve the sense of place within localities.

**7.0 Equality and Diversity Issues**

7.1 Locality working aims to engage with the whole of Halton's community and will be marketed as such.

**8.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

8.1 None under the meaning of the Act.

**REPORT TO:** Corporate Services Policy and Performance Board

**DATE:** 2<sup>nd</sup> November 2010

**REPORTING OFFICER:** Strategic Director Resources

**SUBJECT:** Business Planning 2011–14

**WARDS:** Boroughwide

### **1.0 PURPOSE OF THE REPORT**

1.1 To offer a timely opportunity for Members to contribute to the development of Directorate Business Plans for the coming financial year.

### **2.0 IT IS RECOMMENDED THAT:**

**The Board indicates priority areas for service development and improvement over the next 3 years.**

### **3.0 SUPPORTING INFORMATION**

3.1 Each Directorate of the Council is required to develop a medium-term business plan, in parallel with the budget, that is subject to annual review and refresh. The process of developing such plans for the period 2011-2014 is just beginning.

3.2 At this stage members are invited to identify a small number of priorities for development or improvement (possibly 3-5) that they would like to see reflected within those plans. Strategic Directors will then develop draft plans which will be available for consideration by Policy and Performance Boards early in the New Year.

3.3 Service Objectives and Performance Indicators and targets will be developed by each Department and this information will be included within Appendices to the Directorate Plan.

3.4 These departmental objectives and measures will form the basis of the quarterly performance monitoring received by the Board during the year. It is important that Members have the opportunity to provide input at this developmental stage of the planning process, particularly given the anticipated funding announcements, to ensure that limited resources may be aligned to local priorities.

- 3.5 It should be noted that plans can only be finalised once budget decisions have been confirmed in March and that some target information may need to be reviewed as a result of final outturn data becoming available post March 2010.
- 3.6 To assist Members in their considerations the Board may choose to invite each Operational Director to give a short presentation setting out the key issues and challenges for their service over the coming 3 years.
- 3.7 The timeframe for plan preparation, development and endorsement is as follows

	<b>Information / Purpose</b>	<b>Timeframe / Agenda on Deposit</b>
<b>PPB</b>	Discussion with relevant Operational / Strategic Directors concerning emerging issues, proposed priorities etc.	<b>November 2010 PPB round</b>
<b>Directorate SMT's</b>	To receive and endorse advanced drafts of Directorate Plans	<b>SMT dates to be agreed with all Strategic Directors</b>
<b>Corporate Management Team</b>	To receive and comment upon / endorse advanced drafts of Directorate Plans	<b>By 30<sup>th</sup> November 2010</b>
<b>PPB's</b>	Advanced draft plans including details of relevant departmental service objectives/milestones and performance indicators	<b>January PPB Cycle</b>
<b>Executive Board</b>	To receive advanced drafts of Directorate Plans	<b>10<sup>th</sup> February 2011</b>
<b>Full Council</b>	To receive advanced drafts of Directorate Plans	<b>02<sup>nd</sup> March 2011</b>

#### **4.0 POLICY IMPLICATIONS**

- 4.1 Business Plans form a key part of the Council's policy framework.

#### **5.0 OTHER IMPLICATIONS**

- 5.1 Directorate Plans will identify resource implications.

#### **6.0 IMPLICATIONS FOR THE COUNCILS PRIORITIES**

- 6.1 The business planning process is the means by which we ensure that the six corporate priorities are built into our business plans and priorities, and thence cascaded down into team plans and individual action plans.

## **7.0 RISK ANALYSIS**

- 7.1 Risk Assessment will continue to form an integral element of Directorate Plan development. This report mitigates the risk of Members not being involved in setting service delivery objectives.

## **8.0 EQUALITY AND DIVERSITY ISSUES**

- 8.1 Those high priority actions that result from Impact Review and Assessment will be included within Directorate Plans and will continue to be monitored through Departmental Performance Monitoring Reports.

## **9.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

There are no relevant background documents to this report

**REPORT TO:** Corporate Services Policy and Performance Board

**DATE:** 2 November 2010

**REPORTING OFFICER:** Strategic Director - Resources

**SUBJECT:** Staff Accident / Violent Incident Statistics

**WARDS:** Boroughwide

## **1.0 PURPOSE OF THE REPORT**

- 1.1 To report on corporate accident statistics with associated trends for 1<sup>st</sup> April 2009 to 10<sup>th</sup> September 2010. The response includes benchmarking information from last year with other Local Authorities on accidents and costs.

## **2.0 RECOMMENDED: That the report be noted.**

## **3.0 SUPPORTING INFORMATION**

- 3.1 An update report on corporate annual accidents and violent incidents for the current financial year and benchmarking information on accidents and costs with other Authorities is appended.

The report highlights that there has been a continuous trend in the reduction of reported accidents, especially those resulting in 'major' injuries. Compared to the other Local Authorities in the benchmarking exercise, Halton provides the lowest cost health and safety service. Putting these two pieces of information together provides a very positive result for the Council.

## **4.0 POLICY IMPLICATIONS**

- 4.1 The provision of a safe working environment and reduction in accidents is important in order to provide efficient and effective delivery of services (the sixth priority in the Corporate Plan).

## **5.0 OTHER IMPLICATIONS**

- 5.1 Accidents which lead to lost time have financial implications for the authority (although these are always secondary to our concern for the well being of staff and customers).

## **6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

- 6.1 Nil.



**7.0 RISK ANALYSIS**

7.1 There are no particular risks attached to this report. Occupational and workplace risk assessments are used to reduce the likelihood of accidents.

**8.0 EQUALITY AND DIVERSITY ISSUES**

8.1 There are no direct implications for equality and diversity.

**9.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

9.1 There are no relevant background documents.



**CORPORATE ACCIDENT / INCIDENT REPORT**  
**PPB**  
**1<sup>st</sup> April 2010 to 10<sup>th</sup> September 2010**

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## 1. INTRODUCTION

By identifying areas of improvement in health and safety practice should improve the overall health and safety of employees. This will lead to improved staff morale, a reduction in work-related sickness absence and lower insurance premiums. In particular having robust health and safety procedures in place should safeguard against the Authority being prosecuted and any subsequent penalties.

The purpose of this report is to provide Management Team with:

- Statistics to demonstrate how Halton Borough Council as an employer is delivering the new HSE Strategy, 'Being Part of the Solution' and continuing to target reductions in accidents, in particular major<sup>1</sup> injuries."
- Statistics relating to
  - accidents resulting in employees being unable to carry out their normal duties for more than 3 days following the day of the accident (over 3-day injuries<sup>2</sup>)
  - significant<sup>3</sup> accidents.
  - "near miss" incidents
- Statistics relating to violent incidents
- Any identified accident / incident trends and supporting information. By responding positively to identified trends, the Authority can demonstrate compliance with the recommendations of the Health and Safety Executive's guidance HS(G)65 "Successful Health and Safety Management".

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<sup>1</sup> As defined by the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations, (RIDDOR) 1995

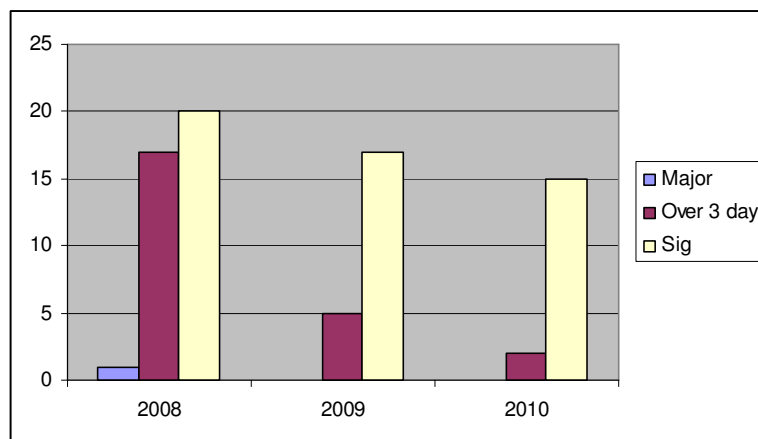
<sup>2</sup> As per footnote number 1

<sup>3</sup> Injuries other than those listed in no's 1 and 2 above, that require more than basic first aid, incur time lost or arise from a failure in health and safety management

## 2. CORPORATE ACCIDENT / INCIDENT STATISTICS 1<sup>st</sup> April to 10<sup>th</sup> September 2010

### 2.1. Accident Statistics by Directorate:

Directorate	Major	+ 3-Day	Significant
Resources	0	0	1
Children and Young People	0	1	4
Environment and Economy	0	0	5
Adults and Community	0	1	5
<b>TOTAL YTD 2010</b>	<b>0</b>	<b>2</b>	<b>15</b>
<b>TOTAL YTD 2009</b>	<b>0</b>	<b>5</b>	<b>17</b>
<b>TOTAL YTD 2008</b>	<b>1</b>	<b>15</b>	<b>20</b>



#### Further Information

- There has been a gradual reduction in reported accidents compared with the last two years, especially 'over 3 day' accidents.
- A comparison of the categories of accidents is as follows,

	<u>2009</u>	<u>2010</u>
STF	6	5 (- 1)
Man Han	6	7 (+ 1)

Equipment

7

4 (- 3)

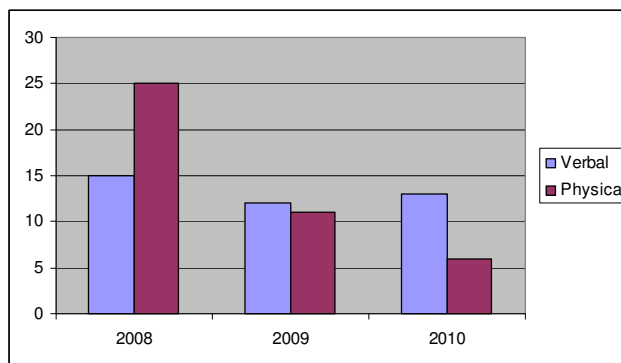
- Waste Management and Open Spaces Services perennially have the highest number of accidents. There has been a significant reduction in accidents over the past two years, particularly in major and over 3 day injuries, also highlighting the reduction in the severity of injuries.

**2.2. Near Misses:**

There have been no near misses reported.

**3. VIOLENT INCIDENT REPORTS BY DIRECTORATE**

Directorate	Verbal	Physical
Resources	2	0
Children and Young People	1	0
Environment and Economy	0	1
Adults and Community	10	5
<b>TOTAL 1/4/10 to 10/9/10</b>	<b>13</b>	<b>6</b>
<b>TOTAL 1/4/09 to 7/9/09</b>	<b>12</b>	<b>11</b>
<b>TOTAL 1/4/08 to 7/9/08</b>	<b>15</b>	<b>25</b>
Schools	2 (last year)	3 (last year)



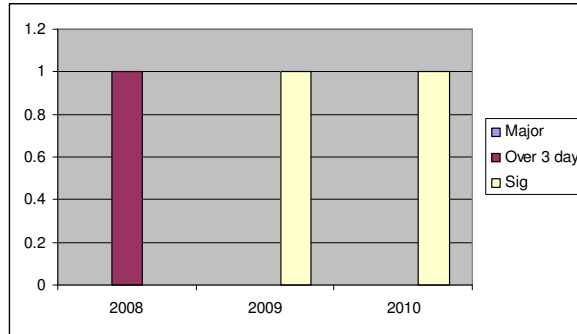
**3.1. Further Information:**

- There has been a reduction in reported violent incidents compared with last year.
- The majority of incidents involve Adults and Community staff. There has been an increase in verbal incidents from 7 last year to 9. This is due to 5 incidents involving a member of the public threatening a Park Ranger and as a result the offender has been entered onto the Corporate Caution list. Also, within the Directorate there has

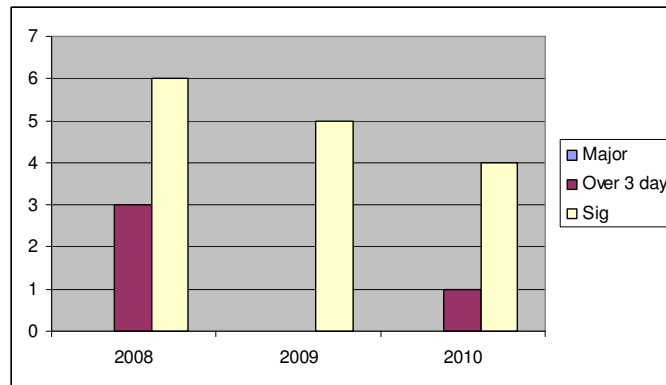
been a decrease in physical incidents from 10 to 5 due to fewer incidents involving service users.

#### 4. ACCIDENTS BY DIRECTORATE

##### 4.1. Resources



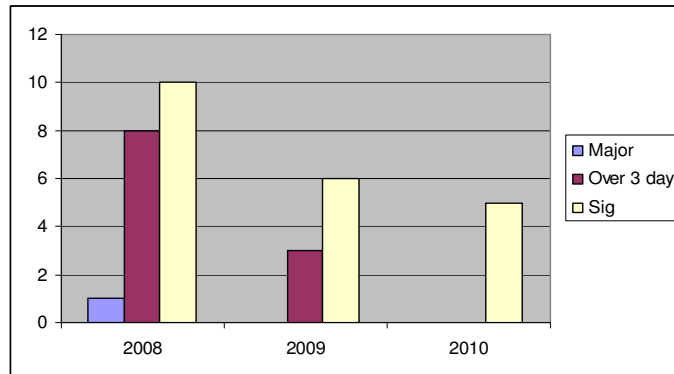
##### 4.2. Children and Young People



##### 4.2.1. Further Information:

1. There were 3 manual handling incidents this year compared to none last year.

### 4.3. Environment and Economy

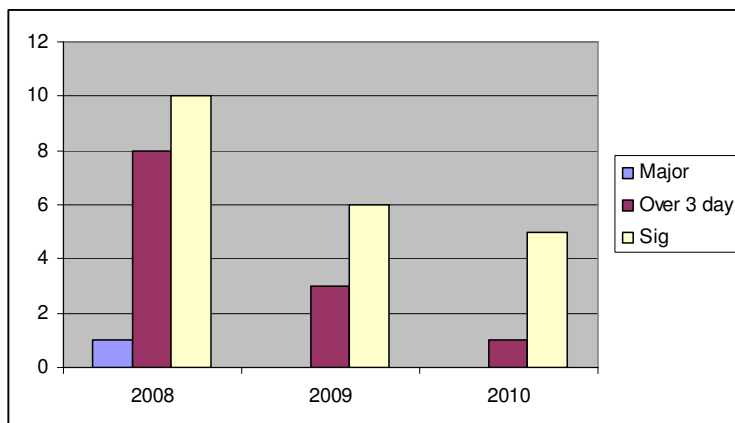


	2008	2009	2010
Major	1	0	0
Over 3 day	8	3	0
Significant	10	6	5

#### 4.3.1. Further Information:

1. The reduction in the number of accidents can be attributed to Waste Management with 6 reported in the same period in 2009 and 2 this year.

### 4.4 Adults and Community





## Benchmarking

### Information

The below reports are part of a health and safety benchmarking exercise for 2009/10 conducted by Tameside Local Authority covering several councils in the North West.

The first report refers to accident statistics concentrating on those that have been reported to the HSE under RIDDOR. The other report refers to the costs of provision of health and safety services.

### Summary of Findings

In summary they highlight that,

#### Accident Statistics:

1. Halton statistics can be found in the 3<sup>rd</sup> row down and the information includes schools.
2. There is no information in the training field because many of the extraneous courses such as ladder, manual handling, banksmen, etc., have been organised by local managers and not by the training section. On many occasions the training has not been recorded on Trent and therefore it is not possible to provide accurate information.
3. Last year Halton reported 3 major injuries and 15 over-3 day accidents to the HSE. This is an average of 0.28 accidents per 100 employees, which is the 3<sup>rd</sup> lowest behind Liverpool with 0.18 and Trafford with 0.24.

#### Costs:

4. The information for Halton can be found on the 6<sup>th</sup> column across and refers to full time employees (FTE). This does not take account of the regular assistance provided by the Divisional Manager and other members of the Risk and Emergency Planning team.
5. In comparison with the other Authorities, Halton provides the cheapest health and safety service at a total cost of £56,000 with an average cost of £8.62 per employee.
6. The next cheapest service is provided by Trafford (without Fire Safety) at a cost of £20.23 per employee and the highest is Bolton at a cost of £23.50.

**Health & Safety Performance Indicators – Benchmarking Summary**  
**1<sup>st</sup> April 2009 to 31<sup>st</sup> March 2010**

Authority / Organisation	Employees	Training	R.I.D.D.O.R. EMPLOYEES ONLY							Enforcement Notices				Audits & Inspections
			1	2	3	4	5	6	7	8	9	10	11	
	Total number of employees including Casuals (Headcount)	Total number received H&S training per 100 employees	No. of Disease	No of fatal	No of major	No. of over 3 day	No of Dangerous Occurrence	Total RIDDOR reports received	Total RIDDOR per 100 employees	Prosecutions	Prohibitions	Improvement	Fire Safety Notices	Actual number Audits / Inspection undertaken against internal targets
<b>Met boroughs:</b>														
<b>Tameside MBC</b>	10,260	14.38	0	0	1	30	0	31	0.30	0	0	0	0	295 Audits
<b>Blackburn with Darwin Borough Council</b>	7,553	5.7	0	0	4	45	0	49	0.65	0	0	1	0	6 audits out of 6, (Against pilot programme Jan - Mar 2010. Programme developed for 2010/11.
<b>Halton</b>	6,500	Course data is not currently available	0	0	3	15	0	18	0.28	0	0	0	0	5 Internal Audits and 27 schools

<b>Trafford Council</b>	7,400	Not known	0	0	5	13	0	18	0.24	0	0	0	0	N/a
<b>Cities:</b>														
<b>Liverpool City Council</b>	17,980	Course data is not currently available	0	0	11	21	0	32	0.18	0	0	1	0	128 audits undertaken as part of our scheduled audit programme
<b>Preston City Council</b>	1,520	16.9	0	0	0	22	0	22	1.4	0	0	0	0	100%

### Benchmarking Actual costs - Health and Safety functions 1st April 2009 to 31st March 2010

<b>Local Authority ==</b>	<b>TAMESIDE</b>	<b>BLACKBURN WITH DARWEN</b>	<b>LIVERPOOL CITY</b>	<b>TRAFFORD</b>	<b>TRAFFORD without Fire Safety Officer</b>	<b>HALTON</b>	<b>BOLTON</b>
Total number of employees including Casuals	10,260	7,553	17,980	7,621	7,621	6,500	13,248
Number FTE H&S staff	5	4	9	5	4	2	7
Number of FTE H&S Admin staff	1	0.33	0	15,656	15,656	0	2
Direct costs H&S staff	192,756	149,000	392,032	191,085	154,164	56,000	262,796
Direct costs H&S Admin	20,392	4,833	0			0	48,586
Central recharges/costs	5,100		190,000	13,714	13,714	33,000	71,850
Any other costs (please comment)	Fire Safety Advisor included in above						
<b>No. employees (incl Casuals) per H&amp;S Advisor</b>	<b>2052</b>	<b>1888</b>	<b>1998</b>	<b>1524</b>	<b>1905</b>	<b>3250</b>	<b>1893</b>
<b>Costs of service per council employee (incl Casuals)</b>	<b>£ 20.77</b>	<b>£ 20.37</b>	<b>£ 21.80</b>	<b>£ 25.08</b>	<b>£ 20.23</b>	<b>£ 8.62</b>	<b>£ 23.50</b>

Costs of service per council employee including central recharges (incl Casuals)	£ 21.27	£ 20.37	£ 32.37	£ 26.87	£ 22.03	£ 13.69	£ 28.93
<b>SERVICE COST</b>	<b>£218,248</b>	<b>£153,833</b>	<b>£582,032</b>	<b>£204,799</b>	<b>£167,878</b>	<b>£89,000</b>	<b>£383,232</b>

1. Number of employees per H&S advisor: Calculated by dividing the number of Council employees in total including casuals by the number of H&S staff only.
2. Costs of service per Council employee: Calculated by adding the direct costs of H&S & admin staff then dividing by total Council employees.
3. Costs of service including Central recharges: Calculated by adding direct costs as above and the central recharges then dividing by the total Council Employees.

**REPORT TO:** Corporate Policy & Performance Board

**DATE:** 2nd November 2010

**REPORTING OFFICER:** Strategic Director Resources

**SUBJECT:** Annual Complaints Report for Corporate Complaints, Adult Social Care Complaints and Children and Young People Complaints 1 April 2009 – 31 March 2010

**WARDS:** All

## **1.0 PURPOSE OF THE REPORT**

- 1.1 To report and provide an analysis on complaints processed under all three of the Council's Complaints Procedure during 2009/10.
- 1.2 To inform the Board about the proposed introduction of a Vexatious Complaints Policy to help the Council effectively manage a minority of complaints deemed to be of a vexatious nature (Appendix 2).

## **2.0 RECOMMENDATION: That:**

- (1) The report be accepted
- (2) The draft Vexatious Complaints Policy be reported to the Executive Board for consideration and approval.

## **3.0 SUPPORTING INFORMATION**

### **Context**

- 3.1 The Council has three separate complaints procedure in place, Corporate complaints, Children and Young People complaints, and Adult Social Care complaints. Whilst only the latter two procedures are statutory, the corporate complaints procedure was introduced to conform to the principles of the Citizens' Charter, which sought to enable the public to seek redress when public services failed to provide a satisfactory standard of service.
- 3.2 Although the complaint procedures are administered separately by the three directorates, the directorates do liaise with one another with regard to complaints which possess aspects that could possibly be considered by more than one of the procedures.
- 3.3 Whilst not identical, the procedures do share a number of similarities with regard to having a staged approach to complaint handling, target times for responses, and the aim of resolving all complaints swiftly, and wherever possible by the people who provide the service. When complaints are received that have not been raised previously, they are normally directed to the relevant service as an informal complaint to be investigated as a service improvement opportunity.
- 3.4 However the procedures differ in the number of stages they have, Adult Social Care have two stages, whilst Corporate and Children and Young People have three stages. If the Council cannot resolve complaints to the satisfaction of complainants they can be considered by the Local Government Ombudsman. The stages of each of the procedures are documented in Appendix 1.

#### 4. COMPLAINTS ANALYSIS 2009-10.

4.1 The table below shows the number of complaints received and resolved during 2009-10 by the three separate complaints procedures, and the success rate for replying to complainants within the target time for stage one complaints. Forty one complaints were received through the Corporate procedure, forty six through Adults and Community and twenty three through Children and Young People.

<b>Complaint Stage</b>	<b>Corporate Complaints</b>	<b>Adults &amp; Community</b>	<b>Children &amp; Young People</b>	<b>Total</b>
Number of complaints resolved at Stage 1.	41	46	23	110
% of complaints completed within target time	93%	80%	100% *	89%
Complaints proceeding to Stage 2	3	3	0	6
Complaints proceeding to Stage 3	0	Not applicable	0	0
Complaints proceeding to the Ombudsman	1	2	0	3

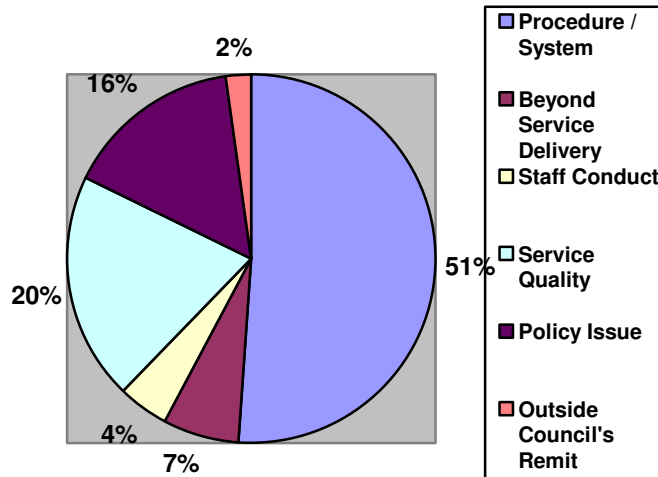
\* Sixteen of the twenty three complaints were responded to within the target time and the remaining seven within extended target timescales, which can be due to absenteeism of key staff or the complexity of the complaint.

4.2 The table below shows the stages that each Corporate complaint was resolved at by directorate and the percentage that was replied to within target. It should be noted that complaints do not need to be considered at every stage of the Corporate complaints procedure prior to being referred to the Local Government Ombudsman.

<b>Resolution Analysis</b>	<b>Adults &amp; Community</b>	<b>Children &amp; Young People</b>	<b>Environment</b>	<b>Resources</b>	<b>Total</b>
Number resolved at Stage 1	4	0	21	16	41
% replied to within target	75%	0	90%	100%	93%
Number resolved at Stage 2	1	0	1	1	3
% replied to within target	100%	0	100%	100%	100%
Number considered at Stage 3	0	0	0	0	0
Proceeded to Ombudsman	1	0	0	0	1

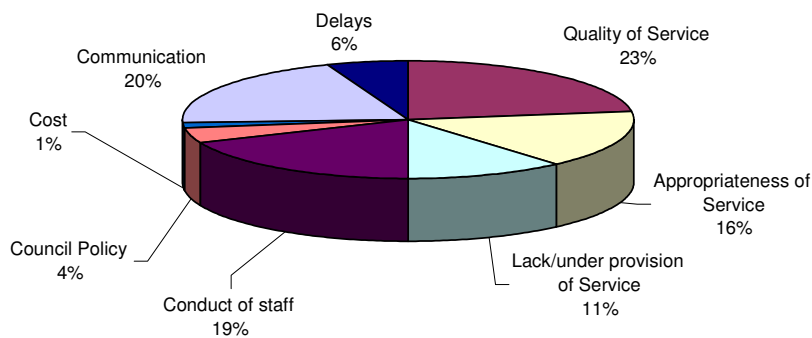
4.3 The graph below shows the reason for each Corporate complaint analysed by category for 2009-10. Further analysis of Corporate complaints can be found in Appendix 3.

### Corporate Complaint Categories



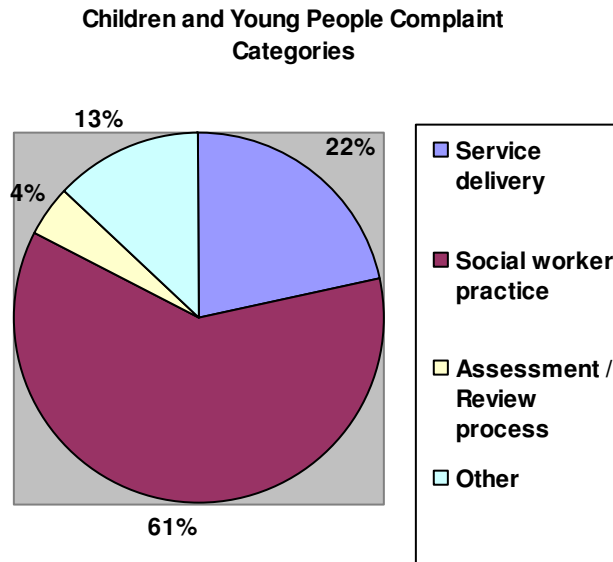
4.4 The graph below shows the reason for each Adult Social Care complaint analysed by category for 2009-10. A more detailed analysis is reported to the Healthy Halton Policy and Performance Board.

### Adult Social Care Complaint Categories





4.5 The graph below shows the reason for each Children and Young People complaint analysed by category for 2009-10. More detailed analysis is reported to the Children and Young People Policy and Performance Board.



## 5. THE OUTCOME OF COMPLAINTS

5.1 It is important to analyse the outcome of complaints to establish whether opportunities exist for the Council to learn from them to improve service delivery. For this to happen it is necessary to determine whether individual complaints have been upheld, partially upheld or not upheld. The tables below give this information for each of the three complaints procedures.

### Outcomes of Corporate Complaints 2009-10

Outcome	Adults & Community	Children & Young People	Environment	Resources	Total	Percent
Upheld	2	0	12	9	23	51%
Partially Upheld	2	0	3	3	8	18%
Not Upheld	2	0	7	5	14	31%

### Outcomes of Adult Social Care Complaints 2009-10

Outcome	Total	Percent
Upheld	14	29%
Partially Upheld	25	55%
Not Upheld	7	16%

### Outcomes of Children and Young People Complaints 2009-10

Outcome	Total	Percent
Upheld	1	4.5%
Partially Upheld	1	4.5%
Not Upheld	21	91%

## **6. WHAT HAVE WE LEARNED FROM COMPLAINTS AND CHANGED AS A RESULT?**

6.1 Analysis of the complaints and comments the Council receives provide essential information to help shape and develop services. They complement the wide range of consultation exercises that the organisation undertakes (including postal and telephone surveys, open forums, consultation days etc).

6.2 Whilst complaints have resulted in changes for individuals, collectively the Council should use this information to help improve the services we provide or commission. Examples of improvements made as a result of complaints in the last year include:

- The formulation of a policy for Environmental Health investigating alleged breaches of Smoke Control Orders.
- Improved publicity of health and safety testing of memorials in cemeteries, and a return to conformance to council policy with regard to operating procedures for testing of memorials rather than adopted custom and practice.
- Improved procedures for the administration of allotment waiting lists and allocations.
- Agreement to pay forms have been introduced to help people to understand that there will be a charge for the services they receive and how those charges will be assessed.
- Operational staff have been made aware of the importance of clearly explaining the charging policy for adult social care services to service users and their families, to prevent confusion about charging policy.
- Operational Teams and the Contracts Team working closely together to resolve complaints with newly appointed independent provider contracts.

## **7. VEXATIOUS COMPLAINTS**

7.1 Staff should respond in a professional and helpful manner to the needs of all complainants but occasionally there are times when there is nothing further that can reasonably be done to assist some complainants or to rectify a real or perceived problem. With the continual financial pressures on the Council, the organisation needs to be more adept at drawing a line under such situations that can place a disproportionate drain on staff resources over a protracted period of time. In determining arrangements for handling such complainants staff are presented with two key considerations. The first is to appreciate that even vexatious complainants may have issues that contain some genuine substance, and therefore an equitable approach is crucial. The second is to be able to identify the stage at which a complainant has become vexatious. One approach is to develop an approved policy, which would only be implemented in exceptional circumstances. Therefore a draft Vexatious Complaints Policy has been drafted and has been included in Appendix 2 for consideration.

## **8. POLICY IMPLICATIONS**

- 8.1 Complaints provide essential information and inform the development of Halton Borough Council services and policies. The draft Vexatious Complaints Policy continues the policy of reviewing and updating the Corporate Complaints Procedure to ensure it continues to conform to best practice and remains fit for purpose.

## 9. OTHER IMPLICATIONS

- 9.1 Improvement and quality assessment agendas increasingly consider the robustness of complaints procedures and how they are demonstrably used to inform and drive change.

## 10. IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

- 10.1 **Children and Young People in Halton** – It is important for the Council to have robust complaint procedures in place to improve service delivery and ultimately help the achievement of its priorities.

- 10.2 **Employment, Learning and Skills in Halton** – It is important for the Council to have robust complaint procedures in place to improve service delivery and ultimately help the achievement of its priorities.

- 10.3 **A Healthy Halton** – It is important for the Council to have robust complaint procedures in place to improve service delivery and ultimately help the achievement of its priorities.

- 10.4 **A Safer Halton** – It is important for the Council to have robust complaint procedures in place to improve service delivery and ultimately help the achievement of its priorities.

- 10.5 **Halton's Urban Renewal** – It is important for the Council to have robust complaint procedures in place to improve service delivery and ultimately help the achievement of its priorities.

## 11. RISK ANALYSIS

- 11.1 A weak complaints process will fail individuals who want to use it and prevent the organisation from learning from complaints.

## 12. EQUALITY AND DIVERSITY ISSUES

- 12.1 All complaint forms are issued with a separate form for monitoring diversity of complainants with regard to age, disability, ethnicity and gender. Unfortunately the majority of corporate complainants choose not to return the monitoring form with their complaint so information collected is extremely limited.

**STAGES OF THE COUNCIL'S COMPLAINTS PROCEDURES**

**Corporate**

**Stage 1**

Investigation by relevant service



**Stage 2**

Review & Appeal investigation by Performance & Improvement Division



**Stage 3**

Members Panel from Corporate Services PPB



Local Government Ombudsman

**Adult Social Care**

**Stage 1**

Informal investigation by relevant service



**Stage 2**

Investigation by independent person (internal or external)



Local Government Ombudsman

**Children & Young People**

**Stage 1**

Investigation by relevant service



**Stage 2**

Investigation by independent person from relevant service.



**Stage 3**

Review Panel consisting of three independent people.



Local Government Ombudsman

## **VEXATIOUS COMPLAINTS POLICY**

### **Introduction**

Habitual or vexatious complaints can place a strain on time and resources and may cause undue stress for staff who may need support in difficult situations. Staff should respond in a professional and helpful manner to the needs of all complainants but there are times when there is nothing further that can reasonably be done to assist them or to rectify a real or perceived problem. With the continual financial pressures on the Council the organisation needs to be more adept at drawing a line under such situations that can place a disproportionate drain on staff resources over a protracted period of time. In determining arrangements for handling such complaints staff are presented with two key considerations. The first is to appreciate that even vexatious complainants may have issues that contain some genuine substance, and therefore an equitable approach is crucial. The second is to be able to identify the stage at which a complainant has become vexatious. One approach is to develop an approved policy, which would only be implemented in exceptional circumstances.

### **Purpose of this Guidance**

It is perfectly reasonable for complainants to request information or assistance from the Council on pursuing complaints about services provided to them. The aim of this policy is to identify situations where complainants might be considered to be habitual or repetitive and to suggest ways of responding to these situations.

It is emphasised that this policy should only be used as a last resort and after all reasonable measures have been taken to assist complainants. Judgement and discretion must be used in applying the criteria to identify potential vexatious complainants and in deciding action to be taken in specific cases.

The policy should only be implemented following careful consideration by, and with the authorisation of, the Operational Director, Policy and Performance, Resources Directorate (or nominated deputy).

### **Definition of a Vexatious Complainant**

Complainants (and/or anyone acting on their behalf) may be deemed to be vexatious where previous or current contact with them shows that they meet one or more of the following criteria.

1. Persist in pursuing a complaint where the Council's Corporate Complaints Procedure has been fully and properly implemented, or has been exhausted.
2. Refuse to refer the complaint to the Local Government Ombudsman and insist that the Council resolves their complaint in accordance with their wishes.
3. Change the substance of a complaint or continually raise new issues or seek to prolong contact by continually raising further concerns or questions upon receipt of a response whilst the complaint is being addressed. (However care must be taken not to discard new issues that are significantly different from the original complaint. These might have to be addressed separately).
4. Are unwilling to accept documented evidence as being factual, or deny receipt of an adequate response in spite of correspondence specifically answering their questions.
5. Do not clearly identify the precise issues they wish to be investigated, despite reasonable efforts by the Council to help them specify their concerns.

6. Focus on a trivial matter to an extent that is out of proportion to its significance and continue to focus on this point.
7. Have, in the course of pursuing their issue, had an excessive number of contacts with the Council (by telephone, e-mail, letter, fax or in person) placing unreasonable demands on staff. Staff should be instructed to keep a clear record detailing the number, type and nature of contacts from a complainant.
8. Display unreasonable demands or expectations and fail to accept these may be unreasonable e.g. insist on immediate responses from staff when they are not available and this has been explained.
9. Have threatened or used actual physical violence. All such cases must be documented in case of further action and reported.
10. Have harassed or been personally abusive or verbally aggressive on more than one occasion towards staff dealing with them. All cases must be documented and reported in case of further action. Staff must, however, recognise that complainants may sometimes act out of character at times of stress, anxiety, or distress and should make reasonable allowances for this.

#### **Options for dealing with vexatious complainants**

Where complainants have been identified as vexatious in accordance with the above criteria, the Complaints Lead Officer will inform the Operational Director, Policy and Performance, Resources Directorate (or nominated deputy) and recommend the action to be taken. The Operational Director (or nominated deputy) will decide whether or not to implement such action and, if agreed, will notify the complainant in writing of the reason why they have been classified as a vexatious complainant and the action to be taken.

The suggested course of action would be to inform the complainant that the Council has responded fully to their complaint and has tried to resolve it but there is nothing more to add and continuing contact on the matter will serve no useful purpose. The complainant should also be notified that the correspondence is at an end and that further letters received will be acknowledged but not answered.

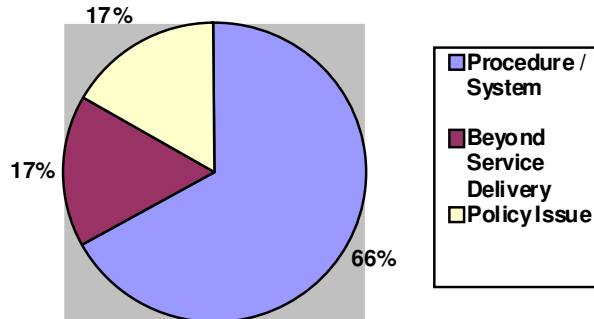
#### **Withdrawing the Vexatious Complainant Policy**

Once complainants have been determined as 'vexatious' there needs to be a mechanism for withdrawing this status at a later date if, for example, complainants subsequently demonstrate a more reasonable approach, or if they submit a further complaint for which normal complaints procedures would appear appropriate.

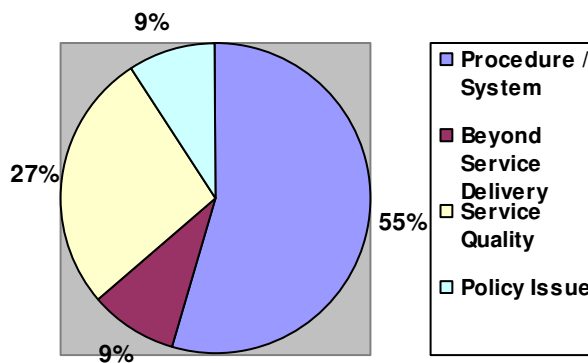
Staff should previously have used discretion in recommending 'vexatious' status at the outset and discretion should similarly be used in recommending that the status be withdrawn when appropriate. Where this appears to be the case, discussion will be held with the Operational Director, Policy and Performance, Resources Directorate (or nominated deputy). Subject to their approval, normal contact with the complainants and application of the Corporate complaints procedure will then be resumed.

DIRECTORATE ANALYSIS OF CORPORATE COMPLAINTS BY CATEGORY

**Adults & Community Complaint Categories**



**Environment Complaint Categories**



**Resources Complaint Categories**

