

Departmental Quarterly Monitoring Report

<u>Directorate:</u>	Policy & Resources
<u>Department:</u>	Policy, Planning & Transportation (Extract)
<u>Period:</u>	Quarter 2 - 1 st July – 30 th September 2011

1.0 Introduction

This monitoring report covers the Policy, Planning and Transportation Department second quarter period up to 30th September 2011. It describes key developments and progress against all objectives and performance indicators for the service.

The way in which the traffic light symbols and direction of travel indicators have been used to reflect progress is explained within the Appendix of the covering report.

2.0 Key Developments

Policy & Development Services

Policy

The Policy and Strategy Library on the Intranet was launched at the beginning of September 2011. The library is designed to hold copies of any policy, plan or strategy published solely by the Council or in partnership with another organisation(s). It is a single definitive location for all Council policy documents to enable easy access to the suite of documents produced to support services in the delivery of the Sustainable Community Strategy and Corporate Plan objectives.

The link to the Policy Library: <http://svcrmsql2:45000/policystrategy/default.aspx>
There continues to be extensive work on the development and review of policies and strategies. Examples of these include the recent review and update of 33 policies associated with the Adoption process and the Dignity in Care Scrutiny review, which received final ratification by Executive Board in September 2011. This scrutiny review was led by Members from the Health PPB in conjunction with officers from adult social care, with support from Policy and Strategy.

The Core Strategy has been submitted to the Planning Inspectorate and the Waste Development Plan Document has been approved for final stage of consultation as well as the Hot Food Takeaways Supplementary Planning Document which has been placed on public consultation. The Residents' Survey has been delivered out into the community with a deadline for completion set at the end of October 2011.

To support the development of the Corporate People Strategy a corporate Workforce Profile survey was completed with an 87% completion rate and a separate Staff Survey was also undertaken.

The new Corporate Plan has been approved by Corporate PPB and Executive Board and will go to Full Council in October 2011. An approval to adopt the Child and Family Poverty Strategy and Community Engagement Strategy will be sought during October.

Performance & Improvement

Recommendations resulting from a review of the Council's existing performance framework were approved by Executive Board in September 2011. This was to ensure that our Council's organisational arrangements for the monitoring and management of performance remain robust and fit for purpose.

Additionally support, advice and guidance has been provided by the Performance & Improvement Division to support the continuing inspection regimes for both Children's Services and Adult Social Care. For Children's services this includes evaluating performance in relation to the Ofsted Children's Services Assessment framework, following publication of Ofsted June and August 2011 profiles. For Adult Social Care work is ongoing to prepare for the introduction of new returns for 2011/12 -The Adult Social Care Outcomes Framework (ASCOF) designed to be of value both locally and nationally to demonstrate the achievement of outcomes for people who use adult social care services. In addition, some staffing returns have been revised to provide a definitive source of adult workforce data –Skills for Care National Minimum Data Set (NMDS-SC).

Going forward, it is proposed that in terms of data collections, there are likely to be new returns introduced capturing activity, finance and safeguarding. The Performance & Improvement Division will continue to monitor for, and respond to, changes in statutory reporting.

Health and Safety & Risk Management

The Health and Safety team have introduced several electronic systems to assist officers in meeting their health and safety responsibilities. The latest is an electronic risk assessment system that is based on the Intranet. This will ensure governance and management control over the completion of premises and occupational risk assessments. A further system is being developed for the Stress Risk Assessments.

The Risk Management policy is being reviewed and provides a framework for corporate risks to be managed and subsequently embedded. An efficient risk management process will allow the Authority to anticipate and respond to changes in the working environment and thereby minimise the risks of damage or loss.

The process has been refined and it is proposed that the Authority retain risk registers at Corporate and Directorate levels and that high risk and treatment

measures at Departmental level are assessed and reported within the Departmental Quarterly Monitoring Reporting process.

Emergency Planning

The Health and Safety Executive have informed us that there are two new Top-Tier Control of Major Accident Hazards (COMAH) sites in Widnes. Following formal notification, Off-Site Emergency Plans will be prepared for both sites.

Following the Council restructure in April, the Council's Major Emergency Plan and Emergency Response Contacts Directory have been updated and reissued.

The Emergency Planning team is continuing to assist all Directorates with the review and update of Business Continuity Plans, and updating the Corporate Business Continuity Plan.

3.0 Emerging Issues

Policy & Development Services

There are four key Bills being tracked with interest as they will have a wide ranging impact on the role and governance arrangements of local government. These are the Housing & Social Care Bill, Education Bill, Policing & Social Responsibility Bill and finally the Localism Bill.

Health and Social Care Bill

Following the findings of the NHS Future Forum the Health and Social Care Bill has continued to progress through the parliamentary process. The first reading took place on 8 September. This stage is a formality that signals the start of the Bill's journey through the Lords. The second reading - the general debate on all aspects of the Bill - is scheduled to take place on 11 October 2011.

At a local level, Terms of Reference for the Health and Wellbeing Board have been widely consulted upon and any necessary amendments made during this process. The existing Health Partnership Board will hold its final meeting on 13th October 2011 and it is envisaged that the new Health and Wellbeing Board will hold its first meeting sometime in November.

Education Bill

The Bill seeks to implement the legislative proposals in the Department for Education's schools White Paper, 'The Importance of Teaching' and measures from the Department for Business, Innovation and Skills relating to skills and the reform of higher education funding. This Bill was presented to Parliament on 26th January 2011. Line by line examination of the Bill will take place in October 2011 in the House of Lords.

Policing and Social Responsibility Bill

The Bill covers five distinct policy areas:

- police accountability and governance;
- alcohol licensing;
- the regulation of protests around Parliament Square;
- misuse of drugs;
- and the issue of arrest warrants in respect of private prosecutions for universal jurisdiction offences.

First reading took place on 1st April 2011. Following agreement by both Houses on the text of the Bill it received Royal Assent on 15th September. This Bill is now an Act of Parliament (law).

Localism Bill

The Bill will devolve greater powers to councils and neighbourhoods and give local communities more control over housing and planning decisions. The Bill was presented to Parliament on 13th December 2010. Line by line examination of the Bill continues and it is anticipated the report will be presented to the House of Lords on 10 October 2011.

Housing

The Localism Bill will place a statutory duty on Local Authorities to develop a Tenancy Strategy which will guide Registered Providers (RPs - formerly Registered Social Landlords/RSLs) on the types of tenancy they should offer to local people. Although there is no requirement to publish a policy until 12 months after adoption of the Localism Bill, RPs can start to offer fixed term tenancies if they wish from April 2012.

Consequently an Interim Tenancy Strategy is in the process of being developed which will provide guidance until a full Strategy is developed. Halton's Core Strategy contains a policy covering the provision of affordable housing on development sites. Work is underway to develop further guidance on how the policy will operate once the Core Strategy is adopted. The guidance will form part of the Local Development Framework.

Performance & Improvement

Going forward, greater emphasis will be placed on sector self-regulation supported by a knowledge hub that, from early 2012, enables open access to Local Authority data profiles to support sector lead improvement initiatives. For Children's Services profiles are currently being developed by the Centre for Excellence and Outcomes in Children and Young People's Services (C4EO). These are proposed to contain lists of potential indicators under five themes: Early years, Families, Young People, Care and Adoption and Attainment. Previously most of this information was contained in the Ofsted Children's Services Annual Assessment profile.

A sixth profile will be produced specifically on safeguarding following on from the work of Professor Munro.

Halton has been asked to contribute to the development of this model having received an outstanding grade for 'Performance Management and Quality Assurance' in the February 2011 Safeguarding & Looked After Children's Inspection. Following on from this, the Department for Education (DfE) intervention team will come to Halton on 9th November 2011 to spend a day with us to look at what a good council looks like on the Children side. As part of this visit the Performance & Improvement team will deliver a presentation to see what "good" and "outstanding" looks like in terms of supporting Safeguarding, Children in Care and Children in Need.

For Adult Social Care, the sector is placing greater emphasis on self-regulation and improvement. The definition of improvement is broad and spans continuous improvement in high performing councils, through to councils where intervention might be considered necessary. The proposed model - adopted jointly by LGG and The Association of Directors of Adult Social Services (ADASS) with partners - seeks to dovetail local and national accountabilities. The initial emphasis will be on adult social services, encompassing health and wellbeing by 2013. A key component is the preparation of a short accessible 'local account' during 2011/12, which Halton is looking to develop.

4.0 Service Objectives / milestones

4.1 Progress against 'key' objectives / milestones

Total	12		11		0		1
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With the exception of the examination in public of the Core Strategy all key service objectives are being delivered as planned and further details of progress are provided within Appendix 1.

4.2 Progress against 'other' objectives / milestones

Total	8		6		0		2
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Some slight delay has occurred in relation to the adoption of Climate Change and Child Poverty strategies and further details of progress are provided within Appendix 2.

5.0 Performance indicators

5.1 Progress Against 'key' performance indicators

Total	0		0		0		0
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There are currently no indicators of this type to report at this time.

5.2 Progress Against 'other' performance indicators

Total	1		1		0		0
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The indicator relevant to this board relates to the satisfaction of internal customers and will be reported following the survey being conducted later in the year.

6.0 Risk Control Measures

During the development of the 2011 -12 Service activity, the service was required to undertake a risk assessment of all Key Service Objectives. No 'high' risk, treatment measures were identified.

7.0 Progress against high priority equality actions

As a result of undertaking a departmental Equality Impact Assessment no high priority actions were identified for the service for the period 2011 – 2012.

8.0 Data quality statement

The author provides assurance that the information contained within this report is accurate and valid and that every effort has been made to avoid the omission of data. Where data has been estimated, has been sourced directly from partner or other agencies, or where there are any concerns regarding the limitations of its use this has been clearly annotated.

9.0 Appendices

- Appendix 1 Progress Against 'key' objectives / milestones
- Appendix 2 Progress against 'other' objectives / milestones
- Appendix 3 Progress against 'other' performance indicators
- Appendix 4 Financial Statement

Appendix 1: Progress Against 'key' objectives / milestones

Ref	Objective
PPT 01	Deliver the framework of statutory plans and other key strategies to provide a clear corporate direction for Council services and external partners.

Milestones	Progress Q 2	Supporting Commentary
Adoption of the Children and Young People's Plan 2011 – 2016. April 2011		The Children and Young People's Plan has been completed to time against projected deadlines. The document has been approved by the Children's Trust Board, Executive Board and Full Council and the final version is now available.
Adoption of Local Transport Plan 3 2011 – 2026. April 2011		The Local Transport Plan 3 has been completed and submitted to the Department of Transport.
Adoption of Sustainable Community Strategy. April 2011		The Sustainable Community Strategy has been adopted by the Halton Strategic Partnership Board and the Council.
Adoption of Corporate Plan 2011 - 2016. October 2011		The Corporate Plan has been approved by both the Executive Board and Corporate Services Policy and Performance Board. The Corporate Plan will go to Full Council in October.
Examination in Public for the Core Strategy. May 2011		The Core Strategy was submitted to the Planning Inspectorate in September 2011 as further technical studies became available. A further Examination in Public is programmed to start at the end of November 2011.
Consultation on Site Allocations Development Plan Document. October 2011		Early consultation has been undertaken via the 'Call for Sites' Process.
Waste Development Plan Document (DPD) Examination in Public. November 2011		The Joint Waste DPD will undergo consultation during November 2011. The Waste DPD is being produced by Halton, Liverpool, St Helens, Knowsley, Wirral and Sefton as a joint document.

Appendix 1: Progress Against 'key' objectives / milestones

Ref	Objective
PPT 02	Improve the effectiveness of the support, intelligence, and advice provided to the Council and its partners to inform decisions on policy, resource planning, service delivery and performance and improvement; demonstrating transparency and accountability to our stakeholders and compliance with inspection and regulatory frameworks.

Milestones	Progress Q 2	Supporting Commentary
Monitor performance against the Sustainable Community Strategy Targets 2008-11 and review delivery plans with partners June 2011 .		This work is complete and was reported to the Halton Strategic Partnership Boards in June 2011 and all Policy & Performance Boards in May and June 2011 in the Sustainable Community Strategy Performance Report.
Review Council and partnership performance frameworks October 2011 .		<p>Recommendations resulting from a review of the Council's existing performance framework were approved by Executive Board in September 2011 to ensure that our Council's organisational arrangements for the monitoring and management of performance remain robust and fit for purpose.</p> <p>The consideration of future performance management and monitoring arrangements has run in tandem with the development of a revised Sustainable Community Strategy and Delivery and the Corporate plan for the period 2011-16. These plans identified local priorities at a partnership level and organisational level respectively. Work to identify key performance measures and targets with partners to improve outcomes for each of the priority areas, is now at an advanced stage.</p> <p>In some areas given changing national frameworks, placeholder measures have been included pending finalisation of new reporting requirements and further regulatory changes.</p>

Appendix 1: Progress Against 'key' objectives / milestones

Ref	Objective
PPT 02 [Continued]	Improve the effectiveness of the support, intelligence, and advice provided to the Council and its partners to inform decisions on policy, resource planning, service delivery and performance and improvement; demonstrating transparency and accountability to our stakeholders and compliance with inspection and regulatory frameworks.

Milestones	Progress Q 2	Supporting Commentary
Redesign the performance framework for Adult Social Care having regard to the Department of Health "Transparency in Outcomes" framework and the Care Quality Commission March 2012 .		<p>The government has published details of performance outcomes frameworks (2011-12) for Adult Social Care and the NHS with a further Public Health outcomes framework (2012 – 13) currently being subject to consultation. Such frameworks identify a set of measures that it has been agreed to be of value in measuring progress nationally and locally as noted above.</p> <p>Thus, performance measures from the new statutory and revised statutory returns e.g. Adult Social Care Survey, ASCOF (Adult Social Care Outcomes Framework), RAP (Referrals, Assessments, Packages of Care), ASCAR (Adults Social Care Combined Activity Return) have been embedded in Directorate Business Plans, monthly performance reports e.g NI130 Personalisation. The Care Quality Commission now monitors twenty eight Provider Quality Standards (Outcomes). In Halton this is assessed by the Quality Assurance team in the Communities Directorate who inspect Halton Providers. Discussions are ongoing with the Quality Assurance Team to ensure this information is captured and reported to Members.</p>

Appendix 1: Progress Against 'key' objectives / milestones

Ref	Objective
PPT 02 [Continued]	Improve the effectiveness of the support, intelligence, and advice provided to the Council and its partners to inform decisions on policy, resource planning, service delivery and performance and improvement; demonstrating transparency and accountability to our stakeholders and compliance with inspection and regulatory frameworks.

Milestones	Progress Q 2	Supporting Commentary
Revise Children and Young Persons' performance framework having regard to new inspection arrangements for Schools December 2011.		<p>New Performance Management Framework was agreed with the Children's Trust on 06th September which considers the new inspection arrangements for Schools and the Children's Services Assessment.</p> <p>Frameworks for Children's Services are continuing to be monitored with the new Ofsted framework for School Inspections implemented in January 2012. Schools will be judged on a smaller number of core aspects than before, but those areas will be examined in greater depth. The Bill specifies that inspections in future will report on 'the quality of education provided in the school' and must give priority to; the achievement of pupils at the school; the quality of teaching in the school; the quality of the leadership in and management of the school; and the behaviour and safety of pupils at the school.</p>
Support unannounced and announced statutory inspections in Children's & Young Peoples Directorate March 2012.		<p>Plans are in place to ensure all relevant documentation for future announced and unannounced inspections are uploaded into a Children's Trust repository ready for easy access within any future inspection. Ofsted is currently running a consultation on future inspection frameworks to which the Performance & Improvement Team have coordinated a response from the Local Authority.</p> <p>Ofsted is also currently consulting on proposals for the arrangements for LA Children's services inspections focusing on the child's journey as a key element in the inspection of child protection and for children in care. The Division will continue to monitor developments as they are announced.</p>

Appendix 2: Progress Against 'other' objectives / milestones

Ref	Objective
PPT 01	Deliver the framework of statutory plans and other key strategies to provide a clear corporate direction for Council services and external partners.

Milestones	Progress Q 2	Supporting Commentary
<i>Adoption of Climate Change Strategy – June 2011</i>		A draft strategy will be produced by the end of the financial year.
<i>Adoption of Child Poverty Strategy – June 2011</i>		The draft strategy will be presented to the Executive Board for adoption in October 2011
<i>Publish State of the Borough Report – July 2011</i>		An updated State of the Borough Report has been published
<i>Adoption of the Core Strategy by the Council following public examination December 2011.</i>		The Core Strategy Hearing will commence during November. Adoption is dependent upon the speed of the Planning Inspectorate and timetable of the Examination in Public.

Appendix 2: Progress Against 'other' objectives / milestones

Ref	Objective
PPT 02	Improve the effectiveness of the support, intelligence, and advice provided to the Council and its partners to inform decisions on policy, resource planning, service delivery and performance and improvement; demonstrating transparency and accountability to our stakeholders and compliance with inspection and regulatory frameworks.

Milestones	Progress Q 2	Supporting Commentary
<i>Subject to funding, commission a local perception survey Sept 2011 and analyse the results March 2012.</i>		Survey has been approved and has been delivered to residents for completion during October. Project is on track and expected to be delivered within timescales.
<i>Conduct a satisfaction survey for all non transactional services February 2012.</i>		To be progressed in conjunction with Research & Intelligence.
Analyse, evaluate and disseminate the results of the Adult Social Care Survey June 2011.		<p>In line with Putting People First, the Adult Social Care Survey was introduced for 2010/11 with the intention of surveying a cross-section of service users receiving adult social care services. 700 surveys were sent by post to a sample of Halton BC Adult Social Care service users. The response rate was positive at 46%.</p> <p>The results show that 93% of respondents reported that they were satisfied with their care and support services with (24%) extremely satisfied, very satisfied (38%), or quite satisfied (31%).</p> <p>The Adult Social Care survey will now be undertaken annually within the Borough and the results are collated nationally by the Department of Health to monitor to the impact (outcomes) of services provided locally.</p>

Appendix 2: Progress Against 'other' objectives / milestones

Ref	Objective
PPT 02 (continued)	Improve the effectiveness of the support, intelligence, and advice provided to the Council and its partners to inform decisions on policy, resource planning, service delivery and performance and improvement; demonstrating transparency and accountability to our stakeholders and compliance with inspection and regulatory frameworks.

Milestones	Progress Q 2	Supporting Commentary
Needs analysis to support the Team Around the Family and targeted interventions in the Children's and Young People's Directorate March 2012.		A Team Around the Family case study has been developed for the Enhanced Partnership Working Project and continued support has been provided on TAF developments through the Early Help & Support strategic sub group of the Children's Trust. The IWST performance report has also been redesigned in order to improve the use of the data in managing performance and assessing need.

Appendix 3: Progress Against 'other' performance indicators

Ref	Description	Actual 2010/11	Target 2011/12	Quarter 2	Current Progress	Direction of Travel	Supporting Commentary
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Service Delivery							
PPT LI 04	Satisfaction of internal customers	New Indicator	Refer to comment			N/A	An internal customer satisfaction survey is intended to be conducted in January/February by the Research & Intelligence team. Additional information will be provided as this becomes available.

Appendix 4: Financial Statement

POLICY, PLANNING & TRANSPORTATION DEPARTMENT

Revenue Budget as at 30th September 2011

	Annual Budget	Budget To Date	Actual To Date	Variance To Date (overspend) £'000
	£'000	£'000	£'000	£'000
<u>Expenditure</u>				
Employees	6,244	3,166	3,115	51
Other Premises	278	156	139	17
Hired & Contracted Services	557	160	138	22
Supplies & Services	372	164	146	18
Street Lighting	1,733	691	698	(7)
Highways Maintenance	2,364	910	904	6
Bridges	89	20	13	7
Fleet Transport	1,322	656	671	(15)
Lease Car Contracts	786	641	641	0
Bus Support – Halton Hopper Tickets	163	78	82	(4)
Bus Support	703	234	234	0
Out of Borough Transport	51	21	15	6
Finance Charges	358	311	311	0
Grants to Voluntary Organisations	83	41	41	0
NRA Levy	60	30	30	0
Total Expenditure	15,163	7,279	7,178	101
<u>Income</u>				
Sales	-247	-153	-160	7
Planning Fees	-416	-166	-195	29
Building Control Fees	-182	-91	-120	29
Other Fees & Charges	-486	-229	-303	74
Rents	-14	-7	-7	0
Grants & Reimbursements	-504	-200	-210	10
School SLAs	-27	0	0	0
Recharge to Capital	-359	-29	-29	0
Contribution from Reserves	-73	-34	-40	6
Total Income	-2,308	-909	-1,064	155
Net Controllable Expenditure	12,855	6,370	6,114	256

Appendix 4: Financial Statement

Recharges				
Premises Support	810	207	207	0
Transport Recharges	461	230	214	16
Asset Charges	8,748	0	0	0
Central Support Recharges	2,606	854	854	0
Departmental Support Recharges	352	1	1	0
Support Recharges Income – Transport	-3,896	-1,959	-1,939	(20)
Support Recharges Income – Non Transport	-3,577	-866	-866	0
Net Total Recharges	5,504	-1,533	-1,529	(4)
Net Departmental Total	18,359	4,837	4,585	252

Comments on the above figures:

In overall terms revenue spending at the end of quarter 2 is below budget profile. This is due to a number of expenditure and income budget areas.

Staffing is below budget to date due to vacancies within the Bridge & Maintenance, Highway Development & Policy & Strategy, Development & Building Control & Contaminated Land divisions.

Supplies & Services and Hired & Contracted Services are below budget due to a combination of small variances to date across all the divisions. However, there is insufficient budget for the room hire for the Emergency Centre at the Stadium so Supplies & Services may be higher than budget at the financial year end unless this can be met elsewhere.

Planning and Building Control fee budgets were reduced in this financial year as the targets were unachievable due to increased competition from the private sector and the current economic climate. These income streams are above budget to date as a result of exceptionally large applications due to large developments. These are one off items so the high income level is not expected to continue in future years.

Fees and charges are above budget to date partly due to MOT fees performing better than anticipated at this point in time. The remaining variance relates to Street Lighting where there have been additional road closures, higher than expected number of defects and overstay by statutory undertakers (For example, Utility Companies). This will not continue as statutory undertakers are taking action to improve their efficiency and standards of work to avoid incurring these charges.

With regards to 11/12 budget savings, these are all expected to be achieved. **Because of a policy decision being required to enable the switching off of street lights it is anticipated that the anticipated 2011/12 saving against this item will be met from savings elsewhere in the maintenance budget.**

At this stage it is anticipated that overall spend will be in line with the Departmental budget by the financial year-end.

Appendix 4: Financial Statement

POLICY, PLANNING & TRANSPORTATION

Capital Projects as at 30th September 2011

	2011/12 Capital Allocation £'000	Allocation To Date £'000	Actual Spend To Date £'000	Allocation Remaining £'000
<u>Local Transport Plan</u>				
Bridges & Highway Maintenance				
Bridge Assessment, Strengthening & Maintenance	4,915	1,095	974	3,941
Road Maintenance	1,483	615	593	890
Total Bridge & Highway Maintenance	6,398	1,710	1,567	4,831
Integrated Transport	535	83	45	490
Network Management & Street Lighting	145	42	16	129
Total Local Transport Plan	7,078	1,835	1,628	5,450
<u>Halton Borough Council</u>				
Early Land Acquisition Mersey Gateway	28,870	5,842	2,964	25,906
Development Costs Mersey Gateway	5,000	2,076	812	4,188
Flood Defence	106	30	0	106
Street lighting – Structural Maintenance	200	90	59	141
Risk Management	120	40	0	120
Fleet Replacements	370	268	270	100
Total Halton Borough Council	34,666	8,346	4,105	30,561
Growth Point Award	642	642	131	511
<u>Section 106/External Funded Work</u>				
B&Q Site – Public Transport	39	0	0	39
Asda Runcorn	60	0	0	60
Pot Hole Repairs	348	150	38	310
Total Section 106/External Funded Work	447	150	38	403
Total Capital Programme	42,833	10,973	5,902	36,931