

Public Document Pack



Executive Board

Thursday, 26 March 2015 2.00 p.m.
The Boardroom, Municipal Building

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

Chief Executive

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

PART 1

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2. DECLARATION OF INTEREST	
Members are reminded of their responsibility to declare any Disclosable Pecuniary Interest or Other Disclosable Interest which they have in any item of business on the agenda, no later than when that item is reached or as soon as the interest becomes apparent and, with Disclosable Pecuniary interests, to leave the meeting during any discussion or voting on the item.	
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*Please contact Angela Scott on 0151 511 8670 or
Angela.scott@halton.gov.uk for further information.
The next meeting of the Committee is on Thursday, 9 April 2015*

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<p>PART II</p> <p>In this case the Board has a discretion to exclude the press and public and, in view of the nature of the business to be transacted, it is RECOMMENDED that under Section 100A(4) of the Local Government Act 1972, having been satisfied that in all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information, the press and public be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the Act.</p>	
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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.

REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director, Policy & Resources

PORTFOLIO: Leader's

SUBJECT: Website Advertising Options

WARDS: N/A

1.0 PURPOSE OF THE REPORT

1.1 To outline the possibility of allowing external advertising on the Council website, intranet and other microsites.

2.0 RECOMMENDATION: That

- 1) Executive Board approve of advertising on the Council's website and microsites using the Council Advertising Network;**
- 2) in accordance with Procurement SO 1.8.3(e) (where compliance with Standing Orders is not practicable because the Council's requirements can only be delivered by a particular supplier), Procurement SO 4.1 and 4.2 be waived in respect of the website advertising due to the results of soft market testing carried out as explained below; and**
- 3) a review of the project take place after 12 months.**

3.0 SUPPORTING INFORMATION

3.1 Background

3.1.1 The Council Advertising Network (CAN) provides an opportunity for Local Authorities to have adverts appear on their websites and intranets to generate income. There is no work required from the Local Authority in terms of looking for advertisers. This is all facilitated by CAN.

3.1.2 CAN is managed by Liberta. They are a private company who took over the running of the LGA's knowledge Hub (<https://knowledgehub.local.gov.uk/>). CAN is Liberta's attempt to offer Local Authorities greater buying power by working together in the advertising market.

3.2 How is the income generated?

3.2.1 Income is generated on a page impression basis – this is based on the number of times the page the advert sits on is viewed, rather than relying

on people clicking on the adverts themselves. It is felt that this approach is more beneficial for Local Authorities as evidence shows people usually come to Council websites to carry out a direct action and are unlikely to then click on an advert.

3.2.2 Companies are only willing to pay for adverts on this basis when websites have a large number of page impressions. Individually it is unlikely that Local Authorities would be able to offer enough page impressions to attract companies. However CAN has managed to attract companies through Local Authorities working together to offer a collective number of page impressions. Each Local Authority in the network receives their equal share based on the number of page impressions their website gets.

3.3 What adverts appear and where would they appear

3.3.1 Every month CAN supply a list for approval from the Local Authority. So the Local Authority has full veto of the adverts that appear. CAN also allow the Local Authority 20% of the advertising space to do with what they wish, for example the Council may want to use this space for HBC campaigns such as fostering. Alternatively the Council could try and sell this space to local companies and receive 100% of the income.

An example of the list can be found below:

Advertiser	Campaign	Placement
Boots PLC	Smoking cessation	Website
The Money Advice Service	Budgeting and debt awareness	Website
British Gas	Free home insulation	Website
BT Consumer	Broadband	Website
COI	Change4Life	Website
DOE Seatbelts	Car Safety	Website
Glaxo Smithkline	Niquitin - Smoking cessation	Website
Post Office	Broadband and Phone	Website
Jersey Tourist Board	Visit Jersey	Website
Powownow	Low cost Teleconferencing	Website
Royal Air Force	Recruitment	Website
Save the Children	Appeal	Website
Tesco	Shop online	Website
Leapfrog	Children's educational	Website
Microsoft	365	Intranet
Nectar UK	Rewards	Website
World Remit	Money transfer	Website
Yakult	Healthy Living	Website
Royal National Lifeboat Institution	Appeal	Website
Sainsbury's UK	Shop online	Website
University of Cumbria	MBA recruitment	Website

3.3.2 CAN are willing to negotiate where the adverts appear, however it is likely they would appear at the top of the website page. A mock-up example can be found below:



3.3.3 Twenty three other local authorities have signed up. Some live examples can be found at:

- www.birmingham.gov.uk
- www.derby.gov.uk
- <http://www.norfolk.gov.uk/>
- <http://www.wokingham.gov.uk/>

3.4 How much income would be generated?

3.4.1 CAN offer an estimated income of around £14,522 per annum for the website, intranet and Brindley microsite. This is based on a 50/50 split of the total revenue, between CAN and the Council.

Halton Borough Council		
Site	Average monthly page impressions	Forecast value of advertising per annum
Website	386,058	£20,576
Intranet	90,341	£7,670
Larger digital estate- Brindley	33,117	£799
Total		£29,045
Revenue share		£14,522

3.4.2 The estimated figures come with the following assumptions from CAN:

- 50% revenue share does not increase
- Less than 10% of campaigns are vetoed

3.4.3 There has to be some caution taken. The Council's page impressions might be lower than CAN's estimation and their figures include the intranet which we may not be able to implement straight away.

3.4.4 However it is also likely that page impressions will grow and, as more Local Authorities join the network, the revenue split will become greater, in favour of Local Authorities.

3.4.5 Although the true income levels will not be available until the adverts have appeared for a suitable timeframe there is no staff time required from the Council so any income would be welcome and a full assessment could be undertaken after a trial period, of say 12 months.

3.5 Procurement/Legal Issues

3.5.1 The only procurement issue was ensuring that the Council complied with fair and open EU Principles of market competition and whether CAN is the only organisation who can offer this service, which is what they claim. A soft market testing exercise has been undertaken, via the chest electronic tendering portal to see if other organisations offer the service. The only expression of interest received by the Council was from CAN.

4.0 POLICY IMPLICATIONS

4.1 The proposal would effectively introduce a policy of allowing external advertising on the Council website, intranet and other microsites, via the Council Advertising Network.

5.0 OTHER IMPLICATIONS

5.1 There may be an impact on the user friendly element of the website which may lead to reputation implications for the organisation.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 Although the income levels are relatively small it may contribute to the Council's budget challenge.

7.0 RISK ANALYSIS

7.1 As noted earlier, there is a risk to the Council's website usability and reputation. However the Customer Intelligence Unit will monitor usage statistics of the site and work closely with Marketing & Communications to veto any adverts that are of risk to the organisations reputation. If

there was an issue the Council would not be under any obligation to show any external adverts.

8.0 EQUALITY AND DIVERSITY ISSUES

8.1 N/A.

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

9.1 None.

REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director – Children & Enterprise

PORTFOLIO: Children, Young People and Families

SUBJECT: School Admission Arrangements 2016

WARDS: Borough-wide

1.0 PURPOSE OF THE REPORT

- 1.1 This report fulfils the Local Authority's statutory requirement to consult upon and then determine Halton's School Admissions Policy for Local Authority maintained community and voluntary controlled schools, and Coordinated Admission Schemes for all primary and secondary schools in Halton, for the September 2016 intake.

2.0 RECOMMENDATION: That Executive Board

- (1) approves the attached School Admissions Policy, Admission Arrangements and Coordinated Schemes for admission to primary and secondary schools for the 2016/17 academic year; and**
- (2) endorses the Department for Education School Admissions Code, and requires all Halton Schools, including academy and free schools to ensure that their admissions criteria are reasonable, clear, objective, procedurally fair, and comply with all legislation.**

3.0 SUPPORTING INFORMATION

- 3.1 In January 2015 Halton Local Authority issued a statutorily required consultation paper on the proposed admission arrangements and co-ordinated admission schemes for the September 2016 intake (attached as Appendix 1). The full consultation was available on the Council's website, was issued to Chairs of Governing Bodies, the four Diocesan Authorities responsible for voluntary aided schools in Halton, and to neighbouring authorities.
- 3.2 The consultation ran until 13th February 2015 and no changes were proposed to the current oversubscription criteria for admission to Local Authority maintained community and voluntary controlled primary schools, and no change to the current oversubscription criteria for admission to Local Authority maintained community secondary schools.

- 3.3 The Local Authority's consultation advised that there would be no individual response to any submission made, but any responses submitted would be considered by the Council's Executive Board. No response to the consultation was received.
- 3.4 The Local Authority as commissioner of school places must ensure that the admission arrangements are fair, clear and objective, and fully comply with all statutory requirements. The arrangements proposed for the 2016/17 academic year reflect those requirements.

4.0 POLICY IMPLICATIONS

- 4.1 The Admissions Policy has been drawn up to maximize parental preference for Halton Local Authority maintained community and voluntary controlled schools. The oversubscription criteria contained within the Policy reflect the criteria which are considered good practice and acceptable by the Department for Education.
- 4.2 Parents/carers may express a preference for any school and must complete an application form which allows them the opportunity to express a preference for any school. If the school of preference is undersubscribed then all applications will be successful. If the school is oversubscribed then the oversubscription criteria will be applied and places allocated in accordance with the criteria.

5.0 OTHER IMPLICATIONS

- 5.1 None.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 Children and Young People in Halton

The proposed policy complies with statutory requirements in ensuring that the admission arrangements are fair and do not disadvantage, either directly or indirectly, a child from a particular social or racial group, or a child with disability or special educational needs, thereby ensuring that the educational provision for children & young people in the borough is inclusive and accessible.

6.2 Employment, Learning and Skills in Halton

Educational achievement is critical to the life chances of all children in the borough and the School Admissions Policy detailing school admission arrangements in Halton underpins the requirement to promote fair access to educational opportunity.

6.3 A Healthy Halton

The School Admissions Policy is aligned to the Council's Sustainable School Travel Policy which promotes and supports measures that encourage local communities to use environmentally sustainable forms of travel, especially walking, cycling, and public transport.

6.4 A Safer Halton

The alignment of the School Admissions Policy and the Sustainable School Travel Policy promotes the safe travel and transfer of pupils to school.

6.5 Halton's Urban Renewal

The proposed admissions policy reflects the school reorganisation programme intended to ensure that 21st century provision is in place across both the primary and secondary sectors.

7.0 RISK ANALYSIS

- 7.1 The admission arrangements and co-ordinated schemes are proposed to maximise parental preference for Halton schools. Any amendment to the current arrangements at this time may reduce parental preference and lead to an increased number of admission appeals, adversely affecting the intake at some schools. Furthermore, any amendments may affect the Local Authority's School Organisation planning.

8.0 EQUALITY AND DIVERSITY ISSUES

- 8.1 The proposed admission arrangements reflect any requirements of the Equality Act 2010.

9.0 REASON(S) FOR DECISION

- 9.1 The decision is statutorily required and any revision to the proposed arrangements may adversely affect school place planning as detailed in 7.1 above.

10.0 ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

- 10.1 Other options considered and rejected include the allocation of places through random allocation (lottery) as this method could be seen as arbitrary and random.

11.0 IMPLEMENTATION DATE

- 11.1 The Policy applies for the September 2016 academic intake.

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

Document	Place of Inspection	Contact Officer
School Admissions Code 2014	Children & Young People's Directorate	Martin West
School Standards & Framework Act 1998	Children & Young People's Directorate	Martin West
Education Act 2002	Children & Young People's Directorate	Martin West
Education & Inspections Act 2006	Children & Young People's Directorate	Martin West



HALTON LOCAL AUTHORITY PROPOSED SCHEME FOR THE CO-ORDINATION OF ADMISSION ARRANGEMENTS FOR SECONDARY SCHOOLS – 2016/2017 ACADEMIC YEAR

- 1.0** This document is intended to fulfil the statutory requirements for admissions into year 7 at secondary schools in September 2016.
- 2.0** Halton Local Authority is consulting on its proposed admission arrangements and oversubscription criteria for community schools and determined a co-ordinated scheme which applies to all schools in the authority's area for the September 2016 intake.
- 3.0** The Scheme will apply to the following schools (the proposed published admission number (PAN) detailed below):

School	PAN	Type
The Grange	180	Community
Saints Peter and Paul Catholic College	289	Voluntary Aided
St Chad's Catholic and Church of England Joint Faith High School	190	Voluntary Aided
Ormiston Bolingbroke Academy	180	Academy
Ormiston Chadwick Academy	190	Academy
The Heath School	240	Academy
Wade Deacon High School	300	Academy
Sandymoor School	120	Free School

Halton Local Authority (LA) is the Admission Authority for community high schools. Each Academy School (including Free Schools) has a Trust who is responsible for determining the admission arrangements for its school. The Governing Bodies of the Voluntary Aided Schools are the admission authorities for these schools. Academy Trusts and Governing Bodies of Voluntary Aided Schools are required to undertake their own consultation regarding admission arrangements.

- 4.0** From September 2015 Halton residents will be given the opportunity to complete a common preference form and express a preference, with

reasons, for up to 3 secondary schools using this form for a school place in September 2016. The LA must invite applications on the preference form and the preference form must comply with mandatory provisions and the requirements of the DfE School Admissions Code. This form will also be available on-line and parents/carers are encouraged to apply for a school place via the Halton Borough Council website at www.halton.gov.uk/schooladmissions. Parents/carers should only complete one application form and preferences may include Halton schools and schools maintained by other LAs.

5.0 Admission authorities (the LA for community and voluntary controlled schools, and governing bodies for voluntary aided, academy and free schools) **must** ensure that their determined admission arrangements comply with the mandatory provisions of the School Admissions Code. All admission authorities must operate an Equal Preference Scheme. Within an equal preference scheme all preferences are considered against each school's published admission criteria. After all preferences have been considered, if only one school named on the preference form can offer a place, the LA will send out an offer of a place. If more than one school can offer a place, parents will be offered a place at whichever of those schools is ranked highest on the preference form. This may not be the first preference school. If a school becomes oversubscribed then places will be allocated in accordance with the oversubscription criteria.

6.0 APPLYING FOR A SECONDARY SCHOOL PLACE FOR SEPTEMBER 2016

6.1 Halton LA publishes an "Admission to Secondary School" booklet (a Composite Prospectus). The preference form will be contained within this booklet and the booklet will be issued to all year 6 pupils attending Halton Primary Schools and Halton resident pupils who attend schools in other LAs, and will be available at the Halton Direct Link Offices, Halton Libraries, on line via the council's website, and from the Admissions Team. The booklet will be issued at the start of the Autumn Term, **September 2015**, and the on-line system will be available at the same time.

6.2 The preference form will seek three preferences in ranked order (regardless of which LA the school preferences are for). Applications, either on-line submissions or hard copy, must be returned no later than **Saturday 31st October 2015**. Halton residents whose children attend primary schools in other authorities must return the application form direct to Halton LA no later than **31st October 2015**. On-line applications must also be submitted by this date.

6.3 Halton resident parents may request information (a prospectus) regarding schools in neighbouring LAs but **must** complete their preferences on the Halton form. Halton LA will work with its

neighbouring authorities: Cheshire West and Chester, Warrington, Liverpool, Knowsley, and St Helen's, together with any other admission authority where a parent has applied for a school place.

- 6.4** On-Line Admissions: LAs are required to have a facility for parents to apply on-line for a secondary school place. This facility is in place for Halton residents via Halton Borough Council's website at www.halton.gov.uk/schooladmissions and on-line applications will be dealt with along with all other applications.
- 6.5** Halton LA will record all preferences on the admissions database, including those received from neighbouring LAs whose children are seeking a place at a Halton School and will forward, week beginning 16th November 2015, details of all first, second, and third preferences for admission to aided schools, for consideration in accordance with their published admission criteria.
- 6.6** The governing bodies of Voluntary aided schools should note that they must treat first, second, and third preferences equally against their admission criteria and **must** place in ranked order, against their criteria, the details of all pupils applying to their school, and must return the ranked list to the Admissions Team by Friday 11th December 2015.
- 6.7** When all preferences have been considered Halton LA will notify Halton residents of their child's allocated school, regardless of whether the school is a Halton school, or a school in a neighbouring LA. These notification letters will be sent on **Tuesday 1st March 2016** together with details of the appeal process if applicable.

7.0 OVERSUBSCRIPTION CRITERIA

- 7.1** For admission to The Grange in Runcorn (a community all through school), as this is an all through school, pupils already attending The Grange in year 6 will automatically transfer to year 7 in the School and children will not be required to complete a preference form. The remaining places will then be allocated in accordance with the following criteria:
- 1) Looked after children and children who were looked after but ceased to be so because they were adopted (or became subject to a residence order or special guardianship order).
 - 2) Siblings - pupils with elder brothers or sisters including half brothers and sisters and unrelated children living together as part of the same household, already attending the school and expected to continue in the following year
 - 3) Pupils living nearest to the school measured using an Ordnance Survey address-point system which measures straight line

distances in metres from the address point of the school to the address point of the place of permanent residence of the pupil

7.2 For admission to community schools in both Widnes and Runcorn the following notes apply:

a) Children who have a statement of special educational needs (to be known as Education, Health & Care Plans) will be allocated a place at the school named in the statement (Education, Health & Care Plan). If this happens this will reduce the number of places available within any of the oversubscription criteria detailed above.

b) If oversubscription occurs within any one of the above criteria, places will be allocated on distance grounds as described within the distance criteria above.

c) Where applications are received for twins, triplets etc, the LA will apply the oversubscription criteria and will oversubscribe the school if a family would otherwise be separated.

d) The address to be used in measuring distance for the purpose of allocating school places will be the child's permanent address. Where a child lives with parents with shared responsibility, the LA will use the address of the person receiving Child Benefit for allocation purposes. Parents may be required to submit evidence of Child Benefit upon request from the LA. It may be necessary for the Council to carry out checks that the address given is genuine and parents may be requested to produce further documentary evidence of the child's address. The above criteria will apply without reference to the Halton Borough Council boundary.

e) Where applications are received from families of UK Service personnel and other Crown servants, school places will be allocated to children in advance of the approaching school year if accompanied by an official MOD, FCO or GCHQ letter declaring a return date with full address details and providing they would meet the criteria when they return to the UK.

f) If none of the parent's preferences can be met, Halton LA will allocate a school unless there are insufficient places remaining in the authority. In Halton, a place will be allocated at the nearest school to the home address measured in a straight-line distance measurement from the child's permanent residence to the school. This does not affect the parent's rights to appeal for a place at the school(s) they have been refused.

8.0 EARLY AGE TRANSFER TO SECONDARY SCHOOL

Children of exceptional ability and maturity can be considered for transfer to secondary schools one year earlier than normal. It is the responsibility of the Head teachers of primary/junior schools to put forward the names of any pupils whom they consider are physically, intellectually, and emotionally suitable to benefit from such a transfer, and who might be educationally disadvantaged by remaining in the primary sector for a further year. However, as a first step, head teachers will discuss possible candidates with parents, the school's link adviser, and the Educational Psychologist. Parents who consider that early transfer might benefit their child should discuss this with the head teacher.

9.0 LATE APPLICATIONS FOR HALTON SECONDARY SCHOOLS

Late applications for places at Halton Local Authority maintained community schools received after the closing date will not be considered until after the main allocation of places has taken place for all those applications received on time. If an application is received after places have been allocated and the school(s) of preference are oversubscribed, the child will be placed on the school's waiting list, the child's position on the waiting list being determined by the admission policy. Parents have the right of appeal if admission is refused and details on the appeals process are given in paragraph 14 below.

If parents are making a late application to a voluntary aided school the school will advise how this will be dealt with.

10.0 CHANGE OF PREFERENCE

If parents decide to change their preference after the closing date they will need to complete another preference form. If places have already been allocated the LA may not be able to meet the change of preference and the child's name will be added to the waiting list.

11.0 CHANGE OF ADDRESS

If a pupil moves house after the closing date of 31st October 2015 parents must notify the LA and request a new preference form. This form must be completed and returned to the LA immediately. If there is a place available at the school of preference a place will be offered. If the year group is oversubscribed then parents will be offered the right of appeal and any other preferences will be considered. The child will also be placed on the waiting list. The LA will require documentary evidence to confirm a change of address.

12.0 WITHDRAWAL OF OFFER OF A SCHOOL PLACE

Halton LA reserves the right to withdraw the offer of a school place in limited circumstances. These may include where a fraudulent/intentionally misleading preference form is received claiming a false sibling or false residence.

13.0 WAITING LISTS

Waiting lists will be held for oversubscribed LA Maintained Community Secondary Schools. The waiting list will comprise of those pupils refused admission to the school(s) of preference. This list will be maintained from the time of initial allocation until the end of the Autumn Term, at which point the waiting list will cease. If a place becomes available at an oversubscribed school, the place will be reallocated in accordance with the published over-subscription criteria detailed above. Parents should be aware that their child's place on the waiting list might alter, either up or down, dependent upon the movement of other applicants. The waiting list forms part of the co-ordinated scheme, therefore applications received up to the end of the Autumn Term will be considered within the scheme, following which any applications received after this date will be dealt with as an in-year admission and the in-year admission process will be applied.

14.0 ADMISSION APPEALS

Parents who are not offered a place at any of their preferred LA maintained community, voluntary aided, trust, academy or Free schools have a right of appeal to an independent appeals panel under section 94 of the School Standards & Framework Act 1998. Appeals must be submitted in writing but parents have the right to present their case to the panel in person. The Chairman of the appeal panel will have no connection with the LA. The Panel will consist of at least one lay person and one person with experience in education, and will consist of no less than three people including the Chair. The decisions of independent appeals panels are binding on the LA and on the school's governing body.

Applications for admission to Aided Church schools, Trust and Academy schools will be referred to the Admissions Committee of the governing body of the school concerned. The LA, acting on behalf of the governors, will notify parents of the result of their application. If the application is not approved parents will be notified of their statutory right of appeal.

15.0 SCHOOLS WITH SIXTH FORMS

Each school with a sixth form **must** include in its consultation paper the arrangements they propose to use to allocate places in Year 12. It is not intended that the LA will co-ordinate admissions to sixth form, therefore applications must be sent to the relevant admission authority

(i.e. the school) for consideration. Parents and children above compulsory school age have the right to make separate applications for more than one school.

Each school **must** set an admission number for its sixth form, and should say in its published information what the anticipated sixth form capacity will be. However, the published admission number **must** only relate to those being admitted to the school for the first time and should be based on an estimate of the minimum number of external candidates likely to be admitted. It is not necessary for children already in the school to apply formally for places in year 12, but the admission arrangements **must** give details of any entry requirements. Children in care **must** be given highest priority within the criteria, schools **must not** interview children or their families for entry to year 12, although meetings can be held to provide advice on options and entry requirements. Entry **must not** be dependent on attendance, behaviour record, or perceptions of attitude or motivation. Where the admission authority has not admitted up to its PAN it cannot refuse to admit applicants who have met the minimum entry. Any other applicant refused must be given the right of appeal to an independent appeal panel.

TIMETABLE FOR SEPTEMBER 2016 SECONDARY ADMISSIONS

SEPTEMBER 2015 – APPLICATION PROCESS COMMENCES

31ST OCTOBER 2015 CLOSING DATE FOR RECEIPT OF APPLICATIONS

16TH NOVEMBER 2015 LA PROVIDES DETAILS OF ALL 1ST 2ND AND 3RD PREFERENCES TO VA SCHOOLS

BETWEEN 16TH NOVEMBER AND 11TH DECEMBER 2015 ADMISSION COMMITTEES OF OWN AUTHORITY SCHOOLS MUST MEET TO CONSIDER ALL APPLICATIONS (IF APPLICABLE)

NO LATER THAN 11TH DECEMBER 2015 OWN AUTHORITY SCHOOLS MUST HAVE RANKED ALL APPLICATIONS IN CRITERIA ORDER & SUBMITTED THIS LIST TO THE LA, FOLLOWING WHICH INTER-LA EXCHANGE OF DATA WILL ALSO OCCUR

1ST MARCH 2016 LA WRITES OUT TO ALL HALTON RESIDENTS SEEKING A PLACE AT A SECONDARY SCHOOL WITH THE OUTCOME OF ALLOCATION

THURSDAY 31ST MARCH 2016 APPEALS TO BE LODGED WITH THE LA MAINTAINING THE SCHOOL



HALTON LOCAL AUTHORITY PROPOSED SCHEME FOR THE CO-ORDINATION OF ADMISSION ARRANGEMENTS FOR PRIMARY SCHOOLS – 2016/17 ACADEMIC YEAR

- 1.0 This document is intended to fulfil the statutory requirements for admissions into reception class in maintained infant and primary schools.
- 2.0 This Co-ordinated Primary Scheme applies to all those schools detailed on pages 16 and 17 of this document. Halton Borough Council (as the Local Authority - LA) is the Admission Authority for all community and voluntary controlled schools, and the Governing Body of each voluntary aided or academy school is the admission authority for the school.
- 3.0 Parents/carers **must** complete their home LA's preference form, therefore if a non-Halton resident is seeking admission to a Halton school, (or vice-versa) they must complete their own authority's form which will then be forwarded to the relevant authority and LAs will then share any cross border applications for consideration.
- 4.0 Halton residents will be required to complete a Halton preference form and will be given the opportunity to express a preference, with reasons, for up to 3 primary schools regardless of which authority the school is in. The LA must invite applications on the preference form and the preference form must comply with mandatory provisions and the requirements of the School Admissions Code. This form will also be available on-line and parents are encouraged to apply for a school place via the Halton Borough Council website at www.halton.gov.uk/schooladmissions.
- 5.0 Where a Voluntary Aided School requires supporting information e.g. asking for a reference from a priest or other religious minister for a faith school, or details of baptism etc parents may be required to complete a supplementary form and VA schools **must** inform parents of their requirements within their school's published admission arrangements.
- 6.0 Admission authorities (the LA for community and voluntary controlled schools, and governing bodies for voluntary aided and academy schools) **must** ensure that their determined admission arrangements comply with the mandatory provisions of the Code. In Halton, as

statutorily required, an Equal Preference Scheme is operated. Within the equal preference scheme all preferences are considered equally against each school's published admission criteria. After all preferences have been considered if only one school named on the preference form can offer a place the maintaining LA will send out an offer of a place. If more than one school can offer a place parents will be offered a place at whichever of those schools is ranked highest on the preference form. This may not be the first preference school. If a school becomes oversubscribed then places will be allocated in accordance with the relevant oversubscription criteria.

- 7.0** Admission authorities **must** provide for the admission of all children in the September following their fourth birthday and parents are allowed to request that the date their child is admitted to the school is deferred until the child reaches compulsory school age in that school year. In Halton this already happens. Parents can request their child attends part-time until the child reaches compulsory school age and admission authorities **must** accommodate these requests where it appears to be in the best interest of the child.
- 7.1** As recommended in the School Admissions Code the LA will allow parents/carers to defer their child's entry to school until the child is of compulsory school age, providing the parent applies, is offered, and accepts the place within the normal admissions timetable, and the place is taken up within the same academic year.
- 7.2** In addition, the LA, as detailed within the Department for Education document "Advice on the admission of summer born children" (2013), will ensure that flexibilities exist for children whose parents do not feel they are ready to begin school in the September following their fourth birthday. School admission authorities are responsible for making the decision on which year group a child should be admitted to, but are required to make a decision based on the circumstances of the case. In these cases the School may seek the professional views of Local Authority officers including the Special Educational Needs Assessment Team, the Education Welfare Service, and the Educational Psychology Service, together with any other agencies who are involved with the child/family.
- 7.3** It should be noted that if a child is presently attending a nursery class/early years setting they do not have an automatic right to transfer to the primary school to which the nursery/early years setting is attached (the only exception being The Grange School which is an all-through school). Parents/carers are required to indicate a preference for a primary school along with all other parents/carers. The same applies for children who already have siblings already at a particular school, parents/carers must complete a preference form along with all other parents.

8.0 APPLYING FOR A PRIMARY SCHOOL PLACE FOR SEPTEMBER 2015

- 8.1** Halton LA publishes an “Admission to Primary School” booklet (a Composite Prospectus). The preference form will be contained within this booklet and the booklet will be issued to all Halton Primary Schools and will be available at Halton Direct Link Offices, Halton Libraries, on line via the council’s website, and upon request from the Admissions Team. The booklet will be issued in **September 2015** and the on-line system will be available at the same time.
- 8.2** The preference form will seek three preferences in ranked order. If the form is being returned by post it should be returned to the Admissions Team within the Children & Enterprise Directorate, parents may hand deliver their preference forms to any of the Halton Direct Link Offices in Runcorn and Widnes. All applications must be submitted no later than **Friday 15th January 2016**. On-line applications must also be completed by this date. This closing date is a statutorily set closing date.
- 8.3** Halton resident parents may request information (a prospectus) regarding schools in neighbouring local authorities but **must** complete their preferences on their home LA form.
- 8.4** The Admissions Team will load all preferences onto the database including those received from neighbouring LAs (inter-LA exchange to take place **Monday 1st February 2016**). Halton LA will then forward all application details, regardless of whether they are first, second and third preferences to all Voluntary Aided schools where admission is being sought, on **Monday 22nd February 2016**. The Admissions Committee of those governing bodies **must** meet and place in ranked order against their criteria the details of all pupils applying to their school. Governing bodies must treat first, second, and third preferences equally against their admissions criteria. Voluntary Aided schools **must** then notify the Admissions Team by **Friday 4th March 2016** all pupils’ details in ranked order against their criteria.
- 8.5** The LA will then undertake a final data exchange with neighbouring LAs to ensure that all children have an allocated school on **Thursday 24th March 2016**.
- 8.6** When all preferences have been considered and allocations finalised, Halton LA will write out to all Halton residents advising on their allocated school regardless of whether the school is a Halton school or a school in a neighbouring LA. This notification letter will be sent on **Monday 18th April 2016**, together with details of the appeal process if applicable. Parents/carers will be required to decline any offer of the school place within 10 school days. If the LA does not hear from the parent/carer then it is assumed the place has been accepted.

8.7 Parents will have until **Tuesday 17th May 2016** to lodge any appeals with the LA.

9.0 OVERSUBSCRIPTION CRITERIA

9.1 If a Halton community or voluntary controlled school becomes oversubscribed, places will be allocated in accordance with the following criteria:

- 1) Looked after children and children who were looked after but ceased to be so because they were adopted (or became subject to a residence order or special guardianship order).
- 2) Siblings – pupils with elder brothers or sisters including half brothers and sisters and unrelated children living together as part of the same household, already attending the school and expected to continue in the following year
- 3) Pupils living nearest to the school measured using an Ordnance Survey address-point system which measures straight-line distances in metres from the address point of the school to the address point of the place of permanent residence of the pupil.

For admission to community and voluntary controlled schools the following notes apply:

a) Children who have a statement of special educational needs (to be known as Education, Health & Care Plan) will be allocated a place at the school named in the statement (Education, Health & Care Plan). Where a child with a statement (Education, Health & Care Plan) is allocated a place this will reduce the number of remaining places available to allocate within the above oversubscription criteria.

b) If oversubscription occurs within any one of the above criteria 1-3, places will be allocated on distance grounds as described within the distance criteria (3) above.

c) Where applications are received for twins, triplets etc, the LA will apply the oversubscription criteria and will oversubscribe the school if a family would otherwise be separated.

d) The address to be used in measuring distance for the purpose of allocating school places will be the child's permanent home address. Where a child lives with parents with shared responsibility the LA will use the address of the person receiving Child Benefit for allocation purposes. Parents may be required to submit evidence of Child Benefit upon request from the LA. It may also be necessary for the Council to carry out checks that the address given is genuine and parents may be requested to produce further documentary evidence of

the child's address. The above criteria will apply without reference to the Halton Borough Council boundary.

e) Where applications are received from families of UK Service personnel and other Crown servants, school places will be allocated to children in advance of the approaching school year if accompanied by an official MOD, FCO or GCHQ letter declaring a return date with full address details and providing they would meet the criteria when they return to the UK.

f) If none of the parent's preferences can be met, Halton LA will allocate a school unless there are insufficient places remaining in the authority. In Halton, a place will be allocated at the nearest school to the home address measured in a straight-line distance measurement from the child's permanent residence to the school. This does not affect parent's rights to appeal for a place at the school(s) they have been refused.

9.2 THE GRANGE ALL THROUGH COMMUNITY SCHOOL

The Grange is a designated all through community school, therefore children enrolled in the nursery at the closing date will automatically transfer from the nursery to infants, infants to juniors, and juniors to secondary within The Grange. Following the transfer of those children from the nursery to reception class the remaining places will be allocated in accordance with the admissions criteria as detailed in paragraph 9.1 above. If a child is enrolled to the nursery after the primary closing date, and allocations have been made and the school is full, the child will be placed on the waiting list.

10.0 LATE APPLICATIONS FOR HALTON PRIMARY SCHOOLS

Late applications for places at Halton Local Authority maintained community and voluntary controlled schools received after the closing date will not be considered until after the main allocation of places has taken place for all those applications received on time. If an application is received after places have been allocated and the school(s) of preference are oversubscribed, the child will be placed on the school's waiting list, the child's position on the waiting list being determined by the admission policy. Parents have the right of appeal if admission is refused and details on the appeals process are given in paragraph 15 below.

If parents are making a late application to a voluntary aided school or academy the school will advise how this will be dealt with.

11.0 CHANGE OF PREFERENCE

If parents decide to change their preference after the closing date they will need to request and complete another preference form. The on-

line facility will not be available after the closing date. If places have already been allocated the LA may not be able to meet the change of preference and the child's name will be added to the waiting list as detailed in paragraph 14 below.

12.0 CHANGE OF ADDRESS

If a pupil moves house after the closing date parents/carers **must** notify the LA and request a new preference form. The preference form must be completed and returned to the LA immediately. If there is a place available at the school of preference a place will be offered. If the year group is oversubscribed then parents will be offered the right of appeal and any other preferences will be considered. The child will also be placed on the waiting list. The Local Authority will require documentary evidence to confirm a change of address.

13.0 WITHDRAWAL OF OFFER OF A SCHOOL PLACE

Halton LA reserves the right to withdraw the offer of a school place in limited circumstances. These may include where a fraudulent/intentionally misleading preference form is received claiming a false sibling or false residence.

14.0 WAITING LISTS

The LA will maintain waiting lists for oversubscribed community and voluntary controlled primary schools. The waiting list will comprise of those pupils refused admission to the school(s) of preference. This list will be maintained from the time of initial allocation until the end of the Autumn Term, at which point the waiting list will cease. If a place becomes available at an oversubscribed school, the place will be reallocated in accordance with the published over-subscription criteria detailed above. Parents should be aware that their child's place on the waiting list might alter, either up or down, dependent upon the movement of other applicants. The waiting list forms part of the co-ordinated scheme, therefore applications received up to the end of the Autumn Term will be considered within the scheme, following which any applications received after this date will be dealt with as an in-year admission and the in-year application process will be applied.

15.0 ADMISSION APPEALS

Parents who are not offered a place at any of their preferred community, voluntary controlled, voluntary aided trust or academy schools have a right of appeal to an independent appeals panel under section 94 of the School Standards & Framework Act 1998. Appeals must be submitted in writing but parents have the right to present their case to the panel in person. The Chairman of the appeal panel will have no connection with the LA. The panel will consist of at least one

lay person and one person with experience in education, and will consist of no less than three people, including the Chair.

Regulations made under Section 1 of the School Standards and Framework Act 1998 limit the size of an infant class (in which the majority of children will reach the age of 5, 6, or 7 during the school year) to 30 pupils per school teacher. Parents will have a right of appeal but an appeal panel can only uphold this appeal if it is satisfied that:

- a) It finds that the admission of additional children would **not** breach the infant class size limit; or
- b) It finds that the admission arrangements did not comply with admissions law or were not correctly and impartially applied and the child would have been offered a place if the arrangements had complied or had been correctly and impartially applied; or
- c) It decides that the decision to refuse admission was not one which a reasonable admission authority would have made in the circumstances of the case.

The decisions of independent appeals panels are binding on the LA and on the school's governing body.

Applications for admission to Aided Church schools will be referred to the Admissions Committee of the governing body of the school concerned. The LA, acting on behalf of the governors, will notify parents of the result of their application. If the application is not approved parents will be notified of their statutory right of appeal.

16.0 SCHOOLS TO WHICH THIS SCHEME APPLIES:

The LA as commissioner of school places is continually reviewing and monitoring the number of places available against projected pupil numbers and updates head teachers accordingly. It is possible that occasionally, there may be certain geographical areas within the borough where demand for places is higher than the actual number of places available, and the LA will, in discussion with the school, give consideration to admitting above a school's Published Admission Number (PAN). Admitting above a school's PAN will only be agreed between the school and the LA where it is confirmed that to do so will not affect the school in the longer term and will not have a detrimental effect on neighbouring schools and providing it does not breach infant class size legislation.

The figure in brackets denotes the school's proposed Published Admission Number for 2016 but may alter as a result of any school reorganisation.

COMMUNITY AND VOLUNTARY CONTROLLED SCHOOLS TO WHICH THIS SCHEME APPLIES:

All Saints Upton C E Voluntary Controlled Primary (30)
Astmoor Primary (25)
Beechwood Primary (20)
Brookvale Primary (40)
Castleview Primary (20)
Daresbury Primary (20)
Ditton Primary (60)
Fairfield Primary (80)
Farnworth C E Voluntary Controlled Primary (60)
Gorsewood Primary (30)
Hale C E Voluntary Controlled Primary (25)
Halebanks C E Voluntary Controlled Primary (15)
Hallwood Park Primary (25)
Halton Lodge Primary (30)
Hillview Primary (30)
Lunts Heath Primary (50)
Moore Primary (30)
Moorfield Primary (45)
Murdishaw West Community Primary (30)
Oakfield Community Primary (40)
Pewithall Primary (30)
Simms Cross Primary (40)
Spinney Avenue C E Voluntary Controlled Primary (30)
The Brow Community Primary (25)
Victoria Road Primary (40)
Westfield Primary (25)
Weston Primary (20)
Weston Point Primary (20)
Windmill Hill Primary (25)
Woodside Primary (30)

ALL THROUGH COMMUNITY SCHOOLS TO WHICH THIS SCHEME APPLIES:

The Grange (60)

VOLUNTARY AIDED SCHOOLS TO WHICH THIS SCHEME APPLIES:

CHURCH OF ENGLAND:

Runcorn All Saints' CE Aided Primary (20)
St Berteline's CE Aided Primary (44)
St Mary's CE Aided Primary (35)

CATHOLIC:

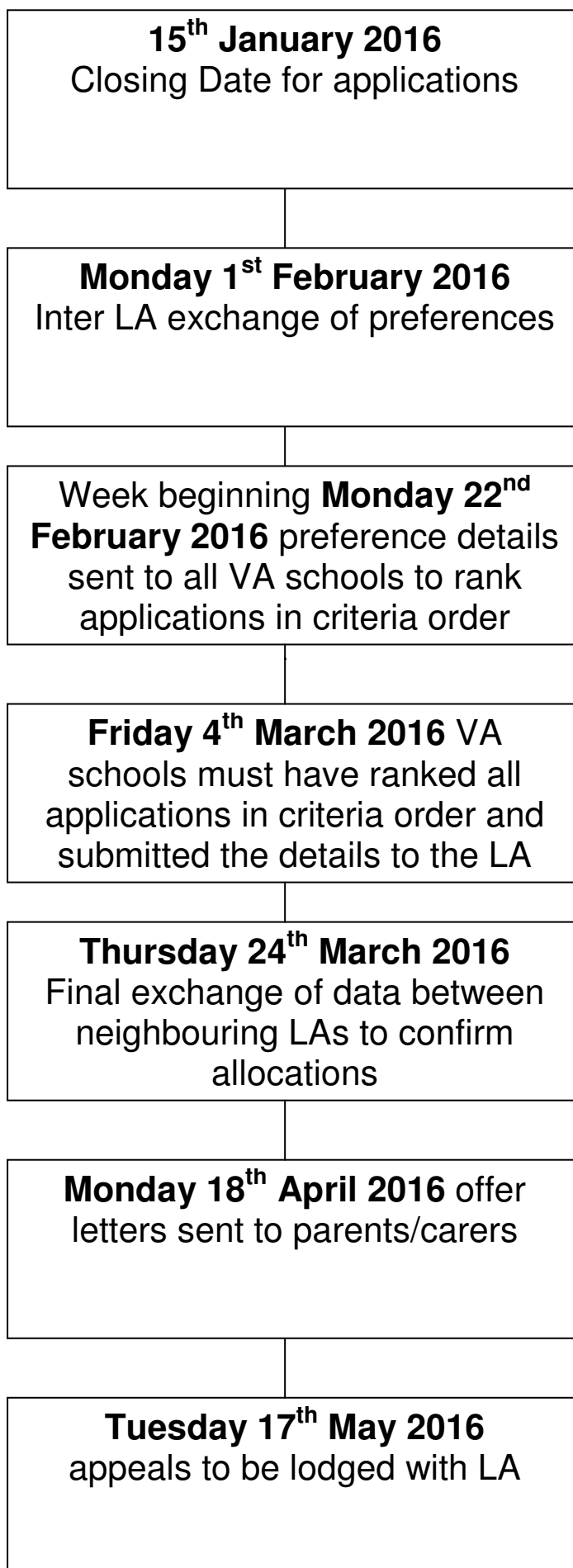
Our Lady Mother of the Saviour Catholic Primary (30)
Our Lady of Perpetual Succour Catholic Primary (30)
St Basil's Catholic Primary (60)
St Bede's Catholic Infant (75)
St Bede's Catholic Junior (75)
St Clement's Catholic Primary (30)
St Edward's Catholic Primary (20)
St Gerard's Roman Catholic Primary & Nursery (30)
St John Fisher Catholic Primary (30)
St Martin's Catholic Primary School (30)
St Michael's Catholic Primary (30)
The Holy Spirit Catholic Primary (20)

ACADEMY SCHOOLS TO WHICH THIS SCHEME APPLIES:

Palace Fields Primary Academy (40)
St Augustine's Catholic Academy (15)*
The Bridgewater Park Academy (20)
Widnes Academy (30)

*At the time of writing this school is in the process of converting to academy status.

TIMETABLE FOR SEPTEMBER 2016 PRIMARY ADMISSIONS



REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director – Children and Enterprise

PORTFOLIO: Children, Young People and Families

SUBJECT: Capital Programme – 2015/16

WARD(S): Borough-wide

1.0 PURPOSE OF THE REPORT

1.1 This report provides a summary of the capital programmes for 2015/16 for the Children & Enterprise Directorate.

2.0 RECOMMENDATION: That

- 1) the capital funding available for 2015/16 is noted;
- 2) the proposals to be funded from School Condition Capital Allocation and Capital Expenditure Revenue Account are approved;
- 3) the proposals for Halebank Voluntary Controlled Church of England Primary School are approved;
- 4) the proposals for Fairfield Primary School are approved; and
- 5) the report is submitted to Full Council for approval of the Capital Programme 2015/16.

3.0 SUPPORTING INFORMATION

3.1 In February 2015 the Department for Education announced the schools capital grant allocations for 2015/16. The table below details the funding received.

GOVERNMENT FUNDING	
School Condition Allocation – Local Authority maintained schools	£1,097,187
Allocated to fund condition and suitability projects at Local Authority maintained schools.	

GOVERNMENT FUNDING	
School Condition Allocation – Voluntary Aided maintained schools Allocated to fund condition and suitability projects at Voluntary Aided schools.	£858,851
Devolved Formula Capital – Local Authority maintained schools Allocated directly to Local Authority maintained schools for their own use to address school building and Information Communication Technology needs.	£246,343
Devolved Formula Capital – Voluntary Aided maintained schools Allocated directly to Voluntary Aided maintained schools for their own use to address school building and Information Communication Technology needs.	£165,161
LOCAL AUTHORITY FUNDING	
Capital Expenditure Revenue Account funding In addition to the funding outlined above, the Local Authority makes a contribution towards capital works in schools (funding to be confirmed).	£345,821

4.0 School Condition Allocation and Capital Expenditure Revenue Account funding.

4.1 The table below details how the School Condition and Capital Expenditure Revenue Account funding will be allocated.

Description	Estimated costs	Description
Computer Aided Design Plans	£5,000	Used to update plans of school buildings where improvement works have been carried out.
Fire Compartmentation	£25,000	A rolling programme to address fire compartmentation in school buildings.
Asbestos Management	£20,000	Annual update of asbestos surveys and undertaking of resulting remedial works.
Access Initiative Projects	£70,000	Fund that schools can bid for to resolve accessibility issues within school buildings.

Description	Estimated costs	Description
School Modernisation Projects	£400,000	Fund that schools can bid for to resolve educational and school buildings development.
Contingency	£70,000	Used for emergency and health and safety works that arises during the year.
Fairfield Primary School	£125,000	Contribution to remodelling and extension works.
Halebank CE Primary School	£20,000	Contribution to new build costs.
Capital Repairs	£843,008	The detailed capital repairs programme for 2015/16 can be found in Appendix 1.
Total	£1,578,008	

Schools are required to make a contribution to the cost of capital repair works. It is estimated this contribution will be in the region of £40,000 based on current budget costs for the works. In addition a further £95,000 will be carried forward from 2014/15 as a contribution to the capital repairs programme 2015/16.

5.0 Halebank Church of England Voluntary Controlled Primary School.

- 5.1 Halebank Church of England Voluntary Controlled Primary School is included in the Department for Education's Priority School Building Programme – a national, privately financed programme to address those schools in the worst building condition.
- 5.2 The Education Funding Agency, acting on behalf of the Department for Education, announced earlier this year the appointment of Morgan Sindall as the contractor to build the northwest batch of schools in the Programme. It is anticipated the project to rebuild Halebank CE Primary School will commence on site June, 2015 with a completion of April, 2016.
- 5.3 Whilst some furniture is to be transferred and re-used in the new school, in order to assist the school transfer into the new building, some new furniture and equipment will be required to be compatible with the new school design and layout. In particular new interactive whiteboards will be required. An amount of £20,000 is required.

6.0 Fairfield Primary School.

- 6.1 In January 2014 Fairfield Junior School was expanded to allow the integration of the Infants School to form the Fairfield Primary School. The primary school will continue to operate in two separate buildings and as a consequence a number of improvements are required to address building and organisational issues at the newly combined primary school. A feasibility

study has been carried out for the building improvements and the project is about to progress to detailed design stage with a view to a commencement of works in 2016.

- 6.2 £1,400,000 Basic Need funding has already been approved to contribute towards the cost of the building improvements (Executive Board minute no.43 refers). However a range of further capital will be required to meet the full cost of all the works and therefore £250,000 capital funding is required as a contribution. It is proposed £125,000 is allocated from School Condition Allocation 15/16 and a further £125,000 from 16/17 allocation.
- 6.3 In addition a further £400,000 funding will be derived from the sale of land at the former Fairfield High School and together with Access Initiative funding and a contribution from the school, the total funding available is £2,115,000. At this early stage of the design of the project the estimated build cost is £2,135,748. Actual build cost will be confirmed when tenders have been invited for the works later in the year. It will be necessary for the works to be carried out in three phases commencing early 2016 so therefore costs will be reviewed against affordability at each key stage of the project.

7.0 POLICY IMPLICATIONS

- 7.1 This programme of works will allow the Council to continue to meet its requirement to enhance the environments through capital projects.

8.0 FINANCIAL IMPLICATIONS

- 8.1 The amount of funding available for 2015/16 is less than in previous years reflecting both the reduction in the number of schools due to Academy transfers and the overall condition of school buildings. The School Condition Allocation for 2015/16 is £1,097,187 compared to £1,344,456 in 2014/15. Similarly, the CERA funding has been reduced from £431,330 to £345,821.
- 8.2 With regard to Halebank Church of England Voluntary Controlled Primary School, the scheme is a PFI scheme and the school will be required to provide an annual contribution of circa £10,000 for the provision of hard facilities management, which is slight decrease from that previously reported to the Executive Board of circa £12,000.

9.0 OTHER IMPLICATIONS

- 9.1 **Capital repairs programme**
This will contribute to Halton's Carbon Management Programme by producing more energy efficient buildings.

10.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

10.1 Children and Young People in Halton.

The Capital Programme will address condition and suitability issues within school buildings and will improve the learning environment for children and young people.

10.2 Employment, Learning & Skills in Halton

N/A.

10.3 A Healthy Halton

N/A

10.4 A Safer Halton

N/A

10.5 Halton's Urban Renewal

N/A

11.0 RISK ANALYSIS

11.1 Capital Repairs

It is current practice for schools to contribute towards the cost of works. This consultation with schools has yet to take place therefore if schools are not willing to contribute these projects will not be carried out in 2015/16. In the event that schools are unable to contribute towards the cost of the works when completed, an element of the contingency budget can be used for this purpose. The school would then be required to make their contribution in the next financial year.

12.0 EQUALITY AND DIVERSITY ISSUES

12.1 The Access Initiative Programme provides funding to improve the accessibility of mainstream schools for pupils with disabilities and the wider community. Consideration to access issues is given in all building projects. The capacity of schools to meet the needs of children with more complex needs and disabilities will be developed further through building works at schools.

13.0 REASON(S) FOR DECISION

13.1 To deliver and implement the capital programmes.

14.0 ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

14.1 Not applicable.

15.0 IMPLEMENTATION DATE

15.1 Capital Programmes for 2015/16 to be implemented with effect from 1 April 2015.

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

Document	Place of Inspection	Contact Officer
Schools Capital Announcements – DfE 09/02/2015.	Children & Enterprise	Phil Dove

School	Main Element	Estimated cost inc Fees
Retentions from 14/15		21,925
Moore Primary	Electrical upgrade Phase 2 of 3	55,593
Brookvale Primary School	Electrical upgrade Phase 2 of 3	61,022
Victoria Road Primary School	Fire alarm replacement	16,730
Pewithall Primary	Fire alarm replacement	18,402
Victoria Road Primary School	Window Replacement phase 1 of 2	42,092
Windmill Hill Primary School	Window Replacement	13,384
Chesnut Lodge School	Electrical upgrade Phase 3 of 3	66,451
The Bridge School, Astmoor	Electrical upgrade phase 3 of 4	33,245
Simms Cross Primary School	Electrical upgrade phase 5 of 7	76,766
Hallwood Park Primary School and Nursery	Boiler replacement	106,111
Farnworth CE Controlled Primary School	Window Replacement	27,475
Beechwood Primary School	Boiler replacement	60,262
Windmill Hill Primary School	Fan convector replacement phase 1 of 2	56,462
Halton Lodge Children Centre	Boiler replacement	12,268
Astmoor Primary School	Fan convector replacement phase 1 of 2	50,005
Brookfields School	Fan convector replacement phase 1 of 2	50,005
Hillview Primary School	Fan convector replacement phase 1 of 2	44,235
Victoria Road Primary School	Fan convector replacement	30,575
		843,008

REPORT TO:	Executive Board
DATE:	26 March 2015
REPORTING OFFICER:	Strategic Director, Children and Enterprise
PORTFOLIO:	Children, Young People and Families
SUBJECT:	Strategic Commissioning Statement for 14-19 education and training
WARD(S)	Borough-wide

1.0 **PURPOSE OF THE REPORT**

- 1.1 This report seeks approval of the 14-19 Strategic Commissioning Statement for 2015-16.

2.0 **RECOMMENDATION: That the Executive Board ratify the 14-19 Strategic Commissioning Statement 2015-16 in order to fulfil Halton Borough Council's statutory duty.**

3.0 **SUPPORTING INFORMATION**

- 3.1 The 14-19 Strategic Commissioning Statement provides a summary of how Halton Borough Council carries out its statutory duties (*Sections 15ZA and 18A of the Education Act 1996 (as inserted by the ASCL Act 2009), Sections 10, 12 and 68 of the Education and Skills Act 2008 and Part 3 of the Children and Families Act 2014*) to secure sufficient suitable education and training opportunities to meet the reasonable needs of all young people in their area, and encourage, enable or assist them to participate in education or training.
- 3.2 Halton Borough Council has published a 14-19 Strategic Commissioning Statement since 2011, when duties and staff from the Learning and Skills Council transferred to Halton Borough Council. The current format and focus of the 14-19 Strategic Commissioning Statement has been in place since the 2013/14 document. This 2015/16 document is the final document within this current cycle.
- 3.3 The Post 16 Development and 14-19 Entitlement Division will carry out an evaluation of the structure and content of the current Strategic Commissioning Statement format, reviewing the purpose of the document, its audience and taking into consideration the planned Greater Merseyside Post 16 Review and feedback from Ofsted about expectations of challenge from Local Authorities Post 16. The timetable for publication of the document will also be

considered as currently verified data available is three academic years behind the documentation publication year. Consultation will take place as part of the review before a new document is developed.

3.4 To support the production of the 2015-16 14-19 Strategic Commissioning Statement and the identification of key priorities, evidence, data and information was gathered and analysed alongside a review of the outcomes of the Strategic Commissioning Statement for 2014-15. This information is attached to the Strategic Commissioning Statement 2015-16 as Appendix 1: Summary of 2014/15 Outcomes and latest verified data. Three key priority areas for the borough have been identified.

3.5 The three priorities are:

1. Ensure there is sufficient suitable provision in place to meet our statutory duties for vulnerable young people aged 16-25
2. Support young people to participate in education or training
3. Ensure young people have access to appropriate progression routes

3.6 These priorities and supporting evidence have been individually consulted on with partners in specific task groups across the 11-19 Partnership and been ratified by the 11-19 Strategic Partnership.

3.7 The 14-19 Strategic Commissioning Statement 2014-15 is attached to this report as Appendix A.

4.0 **POLICY IMPLICATIONS**

4.1 Council Corporate plan, Children and Young People's plan and Employment Learning and Skills Strategies have key priorities to raise aspirations of young people and increase local employment opportunities for local young people and adults.

5.0 **OTHER/FINANCIAL IMPLICATIONS**

5.1 The 11-19 Strategic Partnership members are involved in the planning of provision and support for 14-19 learners in Halton and learners with learning difficulties and/or disabilities in Halton up to the age of 25. They will enable Halton Borough Council to carry out its strategic commissioning role by responding to the borough 14-19 Strategic Commissioning Statement.

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

6.1 **Children & Young People in Halton**

Supports key priorities to ensure that Children and Young people do well wherever they live and provides opportunities for young people to be successful when they leave school by raising aspirations of young people and increase local employment opportunities.

6.2 **Employment, Learning & Skills in Halton**

Apprenticeships and providing employment opportunities for local people are an important part of the Employment Learning and Skills Strategic Partnership and as such strong linkages must be maintained to ensure that the Commissioning Statement reflects the pathway from education and training into employment opportunities available.

6.3 **A Healthy Halton**

Will create opportunities to reduce the number of young people who are Not in Education, Employment or Training (NEET), young people who are NEET are at a higher risk of ill health.

6.4 **A Safer Halton**

Young people who are NEET are more likely to be involved in criminal activity.

6.5 **Halton's Urban Renewal**

With the significant investment in Urban Renewal project in Halton partnerships are ensuring that employment, learning and skills opportunities are written into key performance indicators within all new development contracts.

7.0 **RISK ANALYSIS**

7.1 Failure to understand and influence the commissioning of Post 16 provision in the borough and progression routes to Post 16 provision will lead to a mix and balance of provision driven by providers' priorities which may not meet the needs of young people or employers.

8.0 **EQUALITY AND DIVERSITY ISSUES**

8.1 Halton Borough Council has a statutory duty to secure that enough suitable education and training is provided to meet the reasonable needs of:

- (a) persons in their area who are over compulsory school age

but under 19, and

(b) persons in their area who are aged 19 or over but under 25 and are subject to learning difficulty assessment.

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

Document	Place of Inspection	Contact Officer
Apprenticeship, Skills, Children and Learning Act 2009	Rutland House	Simon Clough
Statutory guidance on the participation of young people in education, employment or training March 2013	Rutland House	Simon Clough

Appendix 1

14 - 19 Strategic Commissioning Statement Summary of 2014/15 Outcomes and latest verified data

1. Purpose of this document

Within this document are the priorities from the 2014-2015 14-19 Strategic Commissioning Statement and a summary of the delivery successes achieved in collaboration with and by the 11-19 Partnership and individual institutions, organisations and services within Halton. To review the detail of the key focus areas that sit underneath each priority please refer to the 2014-2015 14-19 Strategic Commissioning Statement.

This document also provides the latest verified data available to the Council to support identification of priorities for 2015/16.

2. Priority 1: Ensure there is sufficient suitable provision in place to meet our statutory duties for vulnerable young people aged 16-25

2.1 Summary of successes

- Local Offer published setting out in one place information about provision across education, health and social care.
- Task and Finish Group was established to support the development of Halton's Education Health and Care Plan and associated processes. These are now being implemented with positive feedback from families.
- Further developed and implemented a Halton High Needs Students Assessment Framework and process to manage funding applications for Post 16 high Needs Students. 89 applications for funding approved for the academic year 2014/15.
- Joint commissioning across education and social care of places for high needs students in Independent Specialist Providers took place in 2014/15.
- Transitional arrangements for the transfer of Learning Difficulty Assessments to Education Health and Care Plans is published on the Local Offer and being implemented.

- Figures at June 2014 indicate that 80.2% of Halton 16-18 year olds with learning difficulties and/or disabilities (LDD) were in Education, Employment or Training (EET), higher than the national figure (77.1%) at the same period.
- Final year data for 2012/13 indicates a slight increase in the proportion of LDD clients starting an apprenticeship programme. 7.4% of 16-18 starts declared themselves as LDD in compared to 6.3% in 2011/12. Similarly, 5.8% of 19-24 starts declared LDD in 2013 compared to 5.1% the previous year.
- 10.8% of the 16-18 year old LDD cohort were Not in Education, Employment or Training (NEET) in June 2014 compared to 11.8% regionally and 11.3% nationally.
- At March 2014, 75.0% of the Halton 16-18 Youth Offender cohort was in EET, compared to 61.5% in June 2013.
- Data reported to Department for Education (DfE) indicates that 68% of the Halton 16-18 care leaver cohort were in EET at March 2014 which is higher than both the regional (63%) and national average (59%).
- Data sharing agreements are in place to ensure the appropriate sharing of information on vulnerable young people to support them in the transition into education, employment or training.
- The NEET Vulnerable Young People Case Conferencing Group met regularly during 2014 to discuss Year 11 school leavers who were identified at risk of not making a successful transition to post 16 education or training. The group has been successful in ensuring 81% (76 of the 96 referrals made) of young people referred had a positive post 16 destination compared to 76% (35 of the 47 referrals made) in 2013.
- Of the 61 vulnerable young people aged 16-18 referred into the NEET Vulnerable Young People Case Conferencing Group during 2013/14 62.3% are in now education employment or training.

2.2 Additional data and information to support 2015/16 priority identification

- The Office of National Statistics (ONS) estimate the number of Halton teenage mothers under 20 years old at March 2014 to be 142. 58% of these Teenage Mothers are known to Local Authority Support Services, which is higher than both regional and national figures.
- Conception rate data published by ONS shows that rates for under 18 year olds per 1000 have declined in recent years though remain above national averages. Conception rates show a higher proportion of post-16 conceptions compared to pre-16.
- Figures show an increasing proportion of Teenage Mothers aged 16-18 in Education, Employment or Training (EET) with 23% of this cohort in EET at March 2014, a 2% increase compared to the same period last year.
- In 2013/14 the Local Authority contracted with 9 Further Education and Independent Specialist Providers supporting 81 new and continuing High Needs students. To date in 2014/15 there have been 99 applications received for new and continuing High Needs students from 11 Further Education and Independent Specialist Providers.
- On average, there are 20 Halton Children in Care (CiC) aged between 16-18.
- As at January 2015 there are 14 Year 11 learners who are electively home educated.
- The average age that young people left care during April 2013 – March 2014 was 17 years and 5 months.

3. Priority 2: Put in place an effective strategy to reduce the number of young people at risk of becoming or who are already NEET or their circumstance is not known

3.1 Summary of successes

- Directory of training, engagement and careers guidance provision for young people aged 16 to 18 has been developed, is kept updated and is available electronically to view and download.
- Riverside College has responded to the need to provide flexible provision for young people who are NEET or at risk of NEET by commissioning 3rd sector and Work Based Learning providers to provide additional routes into full-time education.
- Education and Training Providers, Youth Service and young people's support services are meeting regularly and working in partnership to offer progression routes and supported programmes to young people.
- Halton continues to support secondary schools with the development of Risk of NEET Indicators (RONI) tools to prevent young people from becoming NEET upon leaving school. A trial to provide information on young people transitioning from year 6 to year 7 was carried out with a secondary school to support transition plans and identification of young people in need of additional support moving into secondary education.
- September Guarantee data for 2013/14 shows that 97.3% % of the year 11 cohort had an offer of learning made to them upon leaving Secondary School, demonstrating the progress made since 2009/10, when the recorded figure was 95.9%.
- The number of information sharing arrangements that the Council has in place with providers and services has further expanded. Consent to Share sensitive personal information has been implemented.
- New systems to identify young people whose activity is Not Known are being piloted and will continue to be developed. Canvassing of young people who are Not Known to identify their activity and implement support if NEET has been received positively with families asking for further information on programmes and careers guidance. Of 660 doors canvassed in November 2014 there has been a response rate of 82%.
- Halton 16 year olds Not in Education, Employment or Training (NEET) has reduced by 1.1% as is now at 4.1% of the cohort in June 2014.
- A Peer Coaching programme for 16 to 18 year olds was commissioned and has been extended after a successful pilot. Of the 27 young people who started the Peer Coaching programme, the majority of whom had been out of education for over 6 and 12 months, 18 have progressed to full-time education in a range of

settings including Sixth Form College, School Sixth Form, Work Based Learning Provider, FE College and Apprenticeships.

- Based on the number of Youth Contract participants as a proportion of 16/17 year old NEET young people in March 2014, Halton has a Youth Contract penetration rate of 9.9%, significantly higher than both regional (4.4%) and national (7.5%) averages.
- Data shows that at 30 November 2014, 31 Halton young people aged 16 to 18 had participated in the ESF funded Xpand Engagement Provision, through Warrington Collegiate. Of these young people, 21 completed the programme and 18 progressed into full-time education or training.

3.2 Additional data and information to support 2015/16 priority identification

- Figures at June 2014 indicate 8.9% of Halton 16-18 year olds are Not in Education, Employment or Training (NEET); compared to 8.8% in June 2013. This has been during the period when the service up to March 2014 was decommissioned and a new service came into place in April 2014.
- The proportion of 16-18 with activities identified as 'Not Known' has varied in recent years. The lowest result achieved for Halton 16-18 year cohort was in June 2013 (3.3%). The new Young People's Tracking Service is now responsible for reporting this information and is working towards reducing the number of Not Known currently recorded, in December 2014 the Not Known percentage was 4.9%.
- The NEET cohort itself is not a static cohort. During 2013/14 an average of 32 young people aged between 16-18 joined the NEET group from learning or employment destinations each month. Similarly, during the year an average of 29 young people left the NEET cohort each month into positive EET destinations.
- A study of the Halton 16-18 NEET cohort indicates that the average length of stay in NEET has increased compared to 2013. On average, learners within the cohort are not engaged for 25 weeks, an increase from 23 weeks for the 2013 NEET cohort, though there is high variance depending upon the age of the learner.
- An analysis of the 16-18 NEET cohort at June 2014 identifies that nearly a third had achieved 5 or more A*-C grades including English and Maths. Similarly, two-thirds of young people within the cohort achieved 5 or more A*-C grades (Level 2) and over 80% had achieved 5 or more A*-G grades (Level 1). Less than 5% of the NEET cohort had failed to achieve any qualifications at Key Stage 4.

4. Priority 3: Plan and meet requirements for the raising of the participation age to 17 by 2013 and 18 by 2015

4.1 Summary of successes

- Within the last 12 months there has been a decrease in the proportion of Halton 16-18 year old young people in employment without training. In March 2014 2.4% of the cohort were within this group, a 3.9% decrease from the 2013 position.
- Year 11 Activity Survey data indicates that the proportion of Halton 16 year olds progressing from Year 11 into employment without training destinations has declined in recent years. In 2013/14 the figure was 6 learners, equivalent to 0.4% of the total 16 year old cohort.
- Overall participation rates at June 2014 for 16 and 17 year olds in Halton have continued to increase, 88.8% in June 2014 compared to 88.1% in 2013.
- Only 3.4% of the 2013/14 year 11 cohort have been identified as Not in Education, Employment or Training (NEET), equivalent to 47 sixteen year olds.
- The Halton Participation Strategy, developed in response to the Raising the Participation Age statutory guidance, was launched in April 2014. Commissioned services are staffing are all in place.

4.2 Additional data and information to support 2015/16 priority identification

- When split by age, participation rates for Halton 16 year olds are higher than those for 17 year olds (92.5% compared to 84.6%), this is the trend both regionally and nationally.
- Year 11 Activity Survey data indicates that the number of Halton 16 year olds progressing from Year 11 into employment without training destinations in 2013/14 was 6 learners, equivalent to 0.4% of the total 16 year old cohort. In 2012/13 the figure was 5 learners.

5. Priority 4: Ensure young people have access to appropriate progression routes

5.1 Summary of successes

- Commissioning of Careers Education, Information, Advice and Guidance (CEIAG) support has allowed 5 education and training providers, to date, to benefit from assistance to review and develop CEIAG strategies and resources. Eight education and training providers are now making the U-Explore software available to young people including young people who are Not in Education, Employment or Training (NEET) through Career Connect Connexions.
- A Halton Participation Strategy Facebook page is live and plans are in place to take feedback from young people about further developments to this page.
- Development of the interface of Mersey Interactive has been informed by feedback from partners and young people, and continues to be developed and rolled out to pre and post-16 providers of education and training, young people and their families.
- The proportion of 16-18 Apprenticeship starts at Level 3 has increased by 11% (from 22% in 2009/10 to 33% in 2012/13).
- Four out of ten 19-24 apprenticeship starts are at Level 3 or above, final data for 2012/13 showed an increase compared to the previous year from, 38% in 2011/12 to 40% in 2012/13.
- Overall 2012/13 success rates for Halton residents attending Further Education and Sixth Form Colleges (excluding school 6th forms) have increased to 84.5% and remain in-line with the national position. Riverside College success rates for Halton Residents were higher than the national average at 86.1%.
- The proportion of Halton young people achieving a Level 3 qualification by age 19 has increased significantly in recent years. In 2013 53% of 19 year olds had achieved at least 2 A-Levels or equivalent qualifications (Level 3), a 10% increase when compared to performance in 2010.
- Latest verified DfE performance measures indicates that 91.9% of A Level learners in Halton institutions achieved at least 2 A* - E grades (this is the measure for Level 3 achievement by 19 years of age). The national average percentage for A Level learners is 91.8% achieving at least 2 A* – E grades. Provider level performance

identifies the local further education college and two of the three local school sixth forms achieve well above this national average.

5.2 Additional data and information to support 2015/16 priority identification

- Apprenticeship Starts for 16-18 year old Halton residents have fallen since 2009/10 after having seen a sharp increase up to that point. An estimated 8% of 16-18 year old residents begun apprenticeship programmes in 2013 compared to 9% in 2009/10.
- The proportion of 19-24 year olds starting apprenticeships has declined to 5% of 19-24 aged residents started a programme in 2013 compared to 6% in 2011/12.
- The most popular apprenticeship frameworks in 2013 for 16-18 Halton residents were Business Administration and Governance (97 starts) and Science, Engineering & Manufacturing (58 starts). For 19-24 year olds popular frameworks include Business Administration and Governance (180 starts) and Adult Social Care (78 starts).
- In 2012/13, 59.8% of 16-19 Halton resident FE and Sixth Form College enrolments were at Level 3, an increase compared to 2011/12 (58.0%). Enrolments at Level 2 had also increased year on year (from 14.9% in 2011/12 to 16.0% in 2012/13), whilst entry level enrolments have declined sharply (from 6.3% in 2011/12 to 3.6% in 2012/13).
- Since 2011/12 there has been a 26.8% increase in the number of aims undertaken in School Sixth Forms and Academies. The majority of the 2012/13 qualification aims studied were at A or AS level (equivalent to 61.5% of all aims studied).
- The number of residents studying at Level 3 in School Sixth Forms and Academies has increased by 19.1% (from 423 in 2011/12 to 504 in 2012/13).
- Data from the Higher Education Statistics Authority (HESA) identifies an estimated 27% of Halton residents aged 18-19 progressing to study at UK higher education institutions (800 residents in 2012/13, compared to 950 in 2011/12).
- Since September 2012 universities in England were able to raise tuition fees up to £9,000 per year. This corresponds with the slight reduction in the proportion of Halton residents aged 18-19 estimated to progress to study at UK higher education institutions.

6. Priority 5: Put in place effective strategies to meet the requirements of the Alternative Provision Statutory Guidance (July 2012)

6.1 Summary of successes

- An Alternative Provision Strategy for the borough has been agreed and is in place.
- A Directory of Alternative Provision is in place and shared with partners.
- The Alternative Provision Strategy Group is chaired by the Operational Directory for Children's Organisation and Provision and the Alternative Provision Monitoring Group is chaired by The Bridge School Headteacher.
- A new Headteacher has been appointed to The Bridge School and taken up post. A new staffing structure for the school has been established and recruitment is taking place in spring 2015.
- The Alternative Provision Strategy is a key element of the new vision for The Bridge School.
- A database of all young people who access Alternative Provision is now in place.
- Development of an Emotional, Health and Wellbeing Strategy is taking place with colleagues from the Clinical Commissioning Group.

6.2 Additional data and information to support 2015/16 priority identification

- The KS4 Engagement Service provides provision for 14-16 year old learners who are at risk of exclusion from school. The number of young people starting on an engagement service programme was 43 in 2013/14, an increase from the previous year.
- The Halton Education Business Partnership (EBP) provides extended work experience placements for 14-16 year olds learner. The service offered 91 places in 2013/14, compared to 102 in 2012/13.

14 - 19 Strategic Commissioning Statement 2015-2016

1. Purpose of the Strategic Commissioning Statement

1.1 The 14-19 Strategic Commissioning Statement is developed to outline the work that takes place to meet the statutory duties listed below for Halton Borough Council:

- Local authorities must secure sufficient suitable education and training provision for all young people aged 16 to 19 and for those up to age 25 with a learning difficulty assessment (LDA) or Education, Health and Care (EHC) plan. (Sections 15ZA and 18A of the Education Act 1996, as inserted by the Apprenticeships, Skills and Children and Learning Act 2009 and Part 3 of the Children and Families Act 2014)
- Local authorities must make available to all young people aged 13-19 and to those up to age 25 with an LDA or EHC plan, support that will encourage, enable or assist them to participate in education or training. (Section 68 Education and Skills Act 2008 as updated by Section 20 in Part 3 of the Children and Families Act 2014)
- Local authorities must promote the effective participation in education and training of 16 and 17 year olds in their area with a view to ensuring that those persons fulfil the duty to participate in education or training. (Section 10 Education and Skills Act 2008)
- Local authorities must make arrangements - i.e. maintain a tracking system - to identify 16 and 17 year olds who are not participating in education or training. (Section 12 Education and Skills Act 2008)

1.2 The 14-19 Strategic Commissioning Statement for 2015-2016 builds on the 2013/14 and 2014/15 Strategic Commissioning Statements as part of a three year cycle. The key priorities within the 14-19 Strategic Commissioning Statement to meet the statutory duties above are reviewed and updated every year and the latest verified data available is analysed as part of that process. This 2015-2016 document will be the final document within this current cycle.

1.3 The Post 16 Development and 14-19 Entitlement Division will carry out an evaluation of the structure of the 14-19 Strategic Commissioning Statement and its effectiveness in communicating and effecting work priorities to meet statutory duties before entering the next planning cycle. This will include reviewing the statutory duties covered and other influences on our work, such as Ofsted Inspection frameworks for Post 16 education establishments.

- 1.4 The 14-19 Strategic Commissioning Statement is shared with partners in the borough because of the significant influence partners have in their own work and by working together to achieve statutory duties, particularly by shaping provision in the borough to address needs and sharing data about young people's activity.
- 1.5 Appendix 1 provides a summary of successes, achieved by and with partners, against the key priorities from last year's 14-19 Strategic Commissioning Statement. Included is the latest verified data available, which informs the key priorities. Key achievements are:
- Halton 16 year olds Not in Education, Employment or Training (NEET) has reduced by 1.1% and is now at 4.1% of the cohort in June 2014.
 - Overall 2012/13 success rates for Halton residents attending Further Education and Sixth Form Colleges (excluding school 6th forms) have increased to 84.5% and remain in-line with the national position. The success rates for Halton Residents at the local Further Education College were higher than the national average at 86.1%.
 - The local Further Education College has responded to the need to provide flexible provision for young people who are NEET or at risk of NEET by commissioning 3rd sector and Work Based Learning providers to provide additional routes into full-time education.
 - The percentage of the Halton 16-18 Youth Offender cohort who were in education, employment or training has increased by 13.5% in 2014 compared to 2013.
 - The percentage of young people with Learning Difficulties and/or Disabilities participating in Education, Employment or Training (EET) was 80.2% at June 2014, 3.1% higher than the national figure.
 - 68% of the Halton 16-18 year old care leavers were in EET in 2014, 9% higher than the national average.
 - The NEET Vulnerable Young People Case Conferencing Group has been successful in ensuring 81% of Year 11 pupils referred to the group had a positive post 16 destination compared to 76% in 2013.
 - The trial Peer Coaching programme has been successful in engaging a cohort of young people who had been NEET for more than 6 months and progressing 67% of these into full time education.
 - September Guarantee data for 2013/14 shows that 97.3% % of the year 11 cohort had an offer of learning made to them upon leaving Secondary School, demonstrating the progress made since 2009/10, when the recorded figure was 95.9%.

2 Halton Borough Council 14 – 19 Priorities

2.1. Following a review of last year's 14-19 Strategic Commissioning statement priorities and analysis of the latest verified data available the following key priorities have been identified for 2015-16.

2.2 The priorities are:

Priority 1: Ensure there is sufficient suitable provision in place to meet our statutory duties for vulnerable young people aged 16-25

Priority 2: Support young people to participate in education or training

Priority 3: Ensure young people have access to appropriate progression routes

Priority Areas

3.1 Priority 1: Ensure there is sufficient suitable provision in place to meet our statutory duties for vulnerable young people aged 16-25

3.1.1 Key focus areas:

- i. Work with institutions to identify and ensure we have the breadth of provision needed to meet the needs of young people with SEND and our vulnerable learners, and publish this on Halton's Local Offer.
- ii. Develop packages of provision for young people with Education Health and Care Plans across 5 days a week.
- iii. Ensure the 0-25 High Needs Assessment Framework for 2015-16 meets the new SEND regulations for approval of education provision at Independent Specialist Providers and Post 16 Institutions – including implementing the funding system for high needs students.
- iv. Support the introduction of a mediation and appeals process for post 16 educational institutions where there has not previously been a statutory duty.
- v. Contribute to joint commissioning for planning and delivering services across education, health and care provision to deliver positive outcomes for children and young people with SEN.
- vi. Support the transitional arrangements from Learning Difficulty Assessments to Education, Health and Care plans to ensure Halton Borough Council is meeting its statutory duties.
- vii. Explore links with the Mental Health Strategy 2014-2019 to inform the development of information, services and provision for young people with emotional wellbeing and mental health issues in Halton.
- viii. Collect the views of young people on the provision they experience in order to inform future commissioned services by working with the Participation Group of the Children's Trust.

3.1.2 Why

- From 1 September 2014 the provisions in the Children and Families Bill, its associated regulations and Special Educational Needs and Disability Code of Practice: 0-25 years came into force. The legal framework, for the first time; now include the age range 0-25 and Education, Health and Care Plans have replaced Statements and Learning Difficulty Assessments. As of that date transitional arrangements must be in place to support the changeover from the Section 139A Learning Difficulty Assessments to Education Health and Care Plans.
- Halton Borough Council:
 - must publish a Local Offer, setting in one place information about provision available across **education**, health and social care including the support available in preparing for adulthood.
 - has a statutory duty to ensure that there is sufficient suitable education and training to meet the reasonable needs of young people with SEND and young people subject to a youth detention.
 - has strategic responsibility for planning and funding provision for high needs students from 0-25 years resident in the borough, wherever they study including joint commissioning provision across education, health and social care.
- Within the SEN reforms Local Authorities are asked to consider the need to provide a full package of provision and support across education, health and social care that covers five days a week, where that is appropriate to meet the young person's needs.
- Whilst a lot of progress has been made, there are still vulnerable young people who do not participate in education and training or go on to achieve their full potential.
- By interrogating the data and evaluating interventions and programmes for vulnerable NEET young people and those at risk of becoming NEET, it will ensure that we can identify who they are and commission services and provision to meet their needs.
- Emotional health and mental wellbeing is a key objective in the Children's Plan and feedback from the NEET Strategy Group is that this is a growing concern for partners and providers.
- Having young people participating in assessing provision will help to ensure that commissioned services meet the needs of young people.

3.1.3 Impact

- Halton will have sufficient provision, post 16, to meet the reasonable needs of young people in the borough, including those with the most complex learning difficulties and/or disabilities.
- Vulnerable young people will have a full range of post 16 options including meaningful activities and employment.
- Comprehensive systems will be in place to manage the funding arrangements for high needs students.
- Individual outcomes in Education, Health and Care Plans in relation to education, finding paid work, living independently, participating in the community and the transition to adult health and social care will have been met.
- Where appropriate, young people aged 16-25 with a Learning Difficulty Assessment will have made a successful transition to Education, Health and Care plans.
- Young people will be fully participating in the borough's decisions around provision and support to meet their needs.

3.1 Priority 2: Support young people to participate in education or training

3.2.1 This priority relates to the requirements of Raising the Participation Age and its statutory duties including supporting 13 -19 year olds to participate in education or training until their 18th birthday and to identify 16 and 17 year old who are not participating. In addition this priority relates to the prevention of young people who are Not in Education, Employment or Training (NEET) until 19 years old, or until 25 years old with a Learning Difficulty Assessment or Education, Health and Care plan.

3.2.2. Key focus areas:

- i. Review and further develop strategies to provide support and challenge to providers of education and training, and services working with young people aged 14-19 years old, to influence their strategies for engaging and supporting young people who are NEET or at risk of becoming NEET.
- ii. Continue to provide Risk of NEET Indicator (RONI) information to secondary schools to inform the identification and support of those young people at risk of becoming NEET.
- iii. Explore the development and distribution of post-16 RONI data to inform the identification and support of those young people at risk of becoming NEET post-16.
- iv. Further develop the processes of identification of young people at risk of becoming NEET based on year 6 information from primary schools to support the transition into year 7 (secondary school).
- v. Provide schools and post-16 providers with individualised and comparison data to inform the provision of support for young people and the further development of NEET engagement, retention and exit strategies.
- vi. Work closely with pre and post-16 providers of education and young people's/adult support services to support the engagement in post-16 education of young people that are home educated, elected home educated, or in engagement provision.
- vii. Further develop the processes to ensure effective referral of young people in Year 11 into the Vulnerable Young People's Case Conferencing Group, in addition to post 16 vulnerable young people who are NEET.
- viii. Young People Tracking Service to provide management information that allows judgements to be made about the effectiveness of services and programmes in progressing and retaining young people into education or training.
- ix. Continue to implement Data Sharing Agreements between the Council and providers/services and to implement the collection of information sharing consent from young people where sharing sensitive information will assist their engagement and retention in post-16 education or training.
- x. Collect the views of young people on the impact of interventions and provision they experience in order to inform future commissioned services by working with the Participation Group of the Children's Trust.

3.2.3 Why

- To support and challenge pre and post-16 providers of education and training and services on their role in reducing the numbers of young people who are NEET or Not Known to us and to influence future strategy and processes.
- The requirements of Raising the Participation Age is for young people to stay in education or training until their 18th birthday.
- Non-participation in employment or training between the ages of 16 and 18 is a major predictor of later unemployment, low income, depression, involvement in crime and poor health, mental health and early mortality.
- A study of the Halton 16-18 NEET cohort indicates that the average length of stay in NEET has increased compared to 2013. On average, learners within the cohort are not engaged for 25 weeks, an increase from 23 weeks for the 2013 NEET cohort, though there is high variance depending upon the age of the learner.
- Figures from June 2014 (8.9%) indicate that 16-18 year olds in NEET has remained similar to June 2013 (8.8%), this equates to 363 young people.
- RONI information supports providers to identify targeted interventions as a preventative measure.
- To support young people who do not attend full time education wholly within a school environment access the information and guidance they require in order to make a successful transition into post 16 education or training.
- The NEET Vulnerable Young People's Case Conferencing has proved successful in reducing both the number of vulnerable NEET young people and the number of young people at risk of making the transition from year 11 into post 16 education.
- By interrogating the data and evaluating interventions and programmes for young people we can judge if our commissioned services and provision to encourage, enable and assist young people to participate in education and training are effective.
- When it is appropriate, the gathering of consent to share sensitive, personal information from young people will enable the Council, providers and services to work together to deliver structured and planned packages of support.
- To ensure practice is influenced by lessons learnt and young people's personal experience of services.

3.2.4 Impact

- A reduction in the percentage of young people not in education, training or whose activity is Not Known to us to fewer than 11% by December 2015.
- Trial development of post -16 Risk of NEET Indicator (RONI) data has been shared with a post 16 provider and intervention for young people discussed.
- Work will have taken place with a further two secondary schools to use transition data from primary schools that include RONI information to identify appropriate intervention.
- The progression of home educated, elected home educated and young people accessing engagement provision are tracked through the Young People Tracking Service and Young People Case workers.
- Vulnerable young people will have a smooth transition from pre to post 16 and go on to participate and achieve.
- An auditable process will be in place to demonstrate our management of data and sensitive information about young people.
- Future interventions and commissioning of services will be informed by experiences to date, impact of current provision and the feedback of young people.

3.3 Priority 3: Ensure young people have access to appropriate progression routes

3.3.1 Key focus areas:

- Work with the Learning and Achievement Department and 11-19 Partnership to evaluate the success of Post 16 progression routes in the borough to lead to quality provision that provides positive outcomes and destinations for young people.
- Support education providers in their statutory duty to provide Information, Advice and Guidance (IAG) to young people and vulnerable young people, including the further development of Mersey Interactive website and social media as a method of sharing careers information, engagement opportunities, provision in the borough, promoting Traineeships and Apprenticeships and promoting routes to self-employment/enterprise.
- Develop the process of September Guarantee to reduce the progression of young people moving into NEET and Not Known particularly coming out of year 13 and at academic age 18.
- Lead the 'Preparing for Adulthood' Task and Finish Group which will focus on enabling young people with SEND to have access to a clear route through education and into adulthood, including finding paid employment, living independently, participating in their community and making the transition from children's to adult services within health and social care.
- Contribute to the development of an employment pathway for young people with SEND working with the Halton Employment Partnership and the Employment Learning and Skills Specialist Strategic Partnership.
- Support the Alternative Provision Strategic Group in improving the breadth of Alternative Provision to meet pre 16 young people's levels of need.
- Analyse information and data to support the identification of gaps in provision and services, in particular as Youth Contract mentoring and ESF Funded Programmes come to an end in 2015. Use the information to inform commissioning of a broad range of clear, accessible and appropriate progression routes for young people, including flexible start provision.
- Research the characteristics of employers who recruit young people as employees without offering training opportunities and consider the results of the research with colleagues from the Employment, Learning and Skills Division.

3.3.2 Why

- To provide support for Post 16 institutions in ensuring Post 16 Study Programmes meet individual needs, as will be inspected by Ofsted. This becomes a focus as more Post 16 provision is developed in the borough and because since September 2014 Ofsted provide a separate grade for school 6th forms within the school's inspection report.
- Education providers are under a duty to secure independent careers guidance for pupils in years 8 to 13 on the full range of education and training options, including apprenticeships. Ofsted's report 'Going in the right direction?', September 2013, found that the majority of schools needed to do more to ensure that all of their pupils had information on the full range of training and education options and career pathways to help them make informed choices about their future.
- The Government are committed to ensuring 1 in 5 young people undertake an apprenticeship by 2020.
- Final 2012/13 16-18 Apprenticeship data indicated a slight decline in starts when compared to the same period last year (366 starts in 2012/13 compared to 382 starts in 2011/12). The decline has also been seen regionally and nationally at both Intermediate and Advanced levels.
- Final year data for 2012/13 indicates the proportion of 16-18 year olds with Learning Difficulties and/or Disabilities (LDD) residents starting an apprenticeship has increased slightly from 6.3% 2011/12 to 7.4% in 2012/13, which can be further enhanced through the work of the Preparing for Adulthood group.
- The Government have stated that Local Authorities have a crucial role in securing provision for young people with special educational needs (SEN) or disabilities and look strategically at the transition arrangements from Year 9 onwards to better prepare young people for adulthood.
- The SEN Code of Practice states that professionals across education, health and social care should support children and young people with special educational needs (SEN) or disabilities to prepare for adult life, and help them go on to achieve the best outcomes in employment, independent living, health and community participation.
- In fulfilling the Local Authority's statutory duty to arrange suitable full time education for excluded learners Alternative Provision is commissioned, in addition, exclusion prevention measures within the borough include referring learners to Alternative Provision.
- Local Authorities have a statutory duty to provide all 16 and 17 year olds with an offer of a suitable place in education or training by September each year. The numbers offered a place in 2014 was 97.3% of year 11 and 85.7% of year 12

- Further consideration of the provision and progression routes available to young people throughout the calendar year will support the understanding of provision requirements in the borough.
- Since September 2013 employment without training does not meet the requirements of the Raising of the Participation Age regulations.

3.3.3 Impact

- Development of a Post 16 Monitoring Framework following consultation with institutions in the borough.
- Increase the number of young people connected to the 14-19 Division via social media to 100.
- A percentage increase in the number of young people offered a place in education or employment with training through the September Guarantee process will be seen.
- An increase in the number of Traineeship and Apprenticeship starts will be seen.
- Career, labour market, employment, training and education information will be readily available to education providers, young people and their families.
- Young people will make a successful transition in adulthood across education, health and social care.
- There will be a broad Local Offer that is published for young people with SEND that will show the pathway through education and into employment.
- Alternative Provision referral pathways within the borough will be clear and educational establishments and local authority teams will clearly understand the Alternative Provision service.
- Where funding is made available to broaden the provision offer in the borough through a) ESF funding and/or b) flexibility in Study Programme funding information is available to inform what the provision needs are.
- Information will be available to analyse and develop further understanding of the choice by young people to enter employment without training and for employers to recruit without offering training opportunities.

REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director, Communities

PORTFOLIO: Health and Wellbeing

SUBJECT: Halton Borough Council and NHS Halton Clinical Commissioning Group: Revised Joint Working Agreement

WARD(S) Borough-wide

1.0 **PURPOSE OF THE REPORT**

1.1 To present and seek approval for the revised Joint Working Agreement between Halton Borough Council (HBC) and NHS Halton Clinical Commissioning Group (CGC), which now incorporates the Better Care Fund for 2015/16.

2.0 **RECOMMENDATION: That the Board**

1) note the contents of the report; and

2) approve the revised Joint Working Agreement, attached at Appendix 1.

3.0 **SUPPORTING INFORMATION**

3.1 In April 2013, HBC and NHS Halton CCG entered into a 3 year Joint Working Agreement for the commissioning of services for people with Complex Care needs. NB. This Agreement was previously presented and agreed at Executive Board on 28th March 2013.

3.2 The development of this Joint Working Agreement has been possible under Section 75 of the Health and Social Care Act 2006, which allows local authorities and health organisations to pool funds. This Agreement provides the legal framework in which HBC and NHS Halton CCG work together in order to achieve their strategic objectives of commissioning and providing cost effective, personalised, quality services to the people of Halton. As part of the Joint Working Agreement, HBC and NHS Halton CCG entered into a Pooled Budget arrangement, totalling just under £33 million. This pool contained the expenditure on delivering care and support services for adults with complex needs.

3.3 In the Summer of 2013, the government announced its intention to further promote integrated working across health and social care through the development of mandatory pooled budget arrangements between Local Authority Adult Social Care Services and Clinical Commissioning Groups. These new arrangements were intended to improve the quality of care delivered within localities and strengthen system capacity and demand management. These new pooled budget arrangements became known as

the Better Care Fund.

3.4 During 2014, partners within Halton worked collaboratively, within the national guidance and framework to develop Halton's Better Care Fund. It was agreed that the Better Care Fund should be incorporated into the existing Pooled Budget arrangements between HBC and NHS Halton CCG.

3.5 Halton's Better Care Fund plan was presented and approved for submission by Halton's Health and Wellbeing Board and received the necessary national approvals in January 2015.

3.6 The Joint Working Agreement has been revised to reflect the following changes:

- the Complex Care Board is renamed the Better Care Board
- the Executive Commissioning board is renamed the Better Care Executive Commissioning Board
- the budget schedule for 2015/16 has been revised to incorporate the additional Better Care Fund allocation for 2015/16

No changes have been made to the legal framework of the agreement.

4.0 **POLICY IMPLICATIONS**

4.1 None identified.

5.0 **OTHER/FINANCIAL IMPLICATIONS**

5.1 HBC and NHS Halton CCG have agreed the spending arrangements of the revised Pooled Fund.

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

6.1 **Children & Young People in Halton**

None identified

6.2 **Employment, Learning & Skills in Halton**

None identified

6.3 **A Healthy Halton**

The Better Care Fund strengthens the existing arrangements in place to deliver high quality, effective and safe care for people with care and support needs. In addition the fund enhances the delivery of health promotion and preventative services designed to support people to live more years of healthy life.

6.4 **A Safer Halton**

None identified

6.5 Halton's Urban Renewal

None identified

7.0 RISK ANALYSIS

7.1 The Joint Working Agreement complies with the financial standing orders of HBC and NHS Halton CCG and the regulatory and monitoring arrangements contained within.

7.2 No specific risk assessment is required for this revision to the Joint Working Agreement.

8.0 EQUALITY AND DIVERSITY ISSUES

8.1 There are no Equality and Diversity implications as a result of the revision to the Joint Working Agreement.

9.0 IMPLEMENTATION DATE

The revised Joint Working Agreement would take effect from 1st April 2015.

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

Document	Place of Inspection	Contact Officer
Executive Board Report: 3 Year Joint Working Agreement: 28/03/2013	HBC Website	Damian Nolan Damian.nolan@halton.gov.uk
Executive Board Report: Better Care Fund Submission: 27/03/2014	HBC Website	Damian Nolan Damian.nolan@halton.gov.uk

HALTON BOROUGH COUNCIL

AND

**NHS HALTON CLINICAL COMMISSIONING
GROUP**

JOINT WORKING AGREEMENT

1st APRIL 2013 – 31st MARCH 2016

Relating to

**Complex Care Services in Halton
Revised March 2015**

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THIS AGREEMENT dated _____ day of _____ 2013

MADE BETWEEN the following parties:-

- (1) HALTON BOROUGH COUNCIL (HBC), Municipal Building, Kingsway, Widnes.
- (2) NHS HALTON CLINICAL COMMISSIONING GROUP (NHS HCCG), Runcorn Town Hall, Heath Road, Runcorn.

1. **DEFINITIONS**

- 1.1 “the 2006 Act” means the National Health Service Act 2006
- 1.2 “Budget Manager” Means any manager in HBC or NHS HCCG with responsibility for a budget (not Pool Fund)
- 1.3 “Better Care Fund” means the total pooled fund comprising the existing pooled fund and the additional amounts for 15/16.
- 1.4 “Capital Assets” means (but not by way of limitation) the purchase, construction or replacement of a tangible asset which has a life of more than 12 months
- 1.5 “Capital Expenditure” means such sum exceeding Five Thousand Pounds (£5,000) expended from the Pooled Fund upon the purchase construction or replacement of the Capital Assets
- 1.6 “the Client” means a person who satisfies the requirements of the Eligibility Criteria and is a member of the Client group.
- 1.7 “the Client Group” means any person (adults) registered with a Halton GP and is a Halton resident, with care being provided for a disability or illness due to a physical, mental health or learning disability and is in line with the requirements of the Eligibility Criteria.
- 1.8 “Complex Care” means care provided for a disability or illness due to physical, mental health or learning disability.

- 1.9 “the ECB” means the Complex Care Executive Commissioning Board whose constitution functions and rules of procedure are set out in Schedule 3 of this agreement
- 1.10 “Eligibility Criteria” means the Criteria agreed between the Parties as to the conditions to be satisfied for a Client to be a member of the Client Group and which is more particularly set out in Schedule 1.
- 1.11 “Exempt Information” means “such information which the Parties resolve that the remainder of their meetings be held in private because publicity would be prejudicial to the public interest or the effective conduct of public affairs etc....”
- [Section 1 (2) of the Public Bodies (Admission to Meetings) Act 1960]
- (See Appendix One for full information)
- 1.12 “a Financial Year” means a year commencing on 1st April and ending on the following 31st March
- 1.13 “HBC” means Halton Borough Council
- 1.14 “NHS HCCG” means NHS Halton Clinical Commissioning Group
- 1.15 ”health related functions” means such of the functions of HBC as are prescribed in Regulation 6 of the Regulations as far as they relate to the Client Group
- 1.16 “ the host party” means the organisation responsible for the accounts and audit of the pooled fund arrangements as prescribed in Regulation 4 of the Regulations
- 1.17 “NHS functions” means such of the functions of NHS HCCG as prescribed in Regulation 5 of the Regulations as far as they relate to the Client Group
- 1.18 “the Parties” means HBC and NHS HCCG (and “Party” means either one of the Parties)
- 1.19 “the Complex Care Board” now renamed Better Care Board whose role function and constitution are set out in Schedule 2 hereto

- 1.20 “the Pooled Fund” means the fund administered by HBC from contributions by the Parties in accordance with the terms hereinafter appearing and in pursuance of the Pooled Fund Arrangements
- 1.21 “the Pooled Fund Arrangements” means the arrangements agreed by the Parties for pooling their resources and to be expended upon the costs of the Services and to be maintained in accordance with the requirements of clause 6 hereof
- 1.22 “the Pool Manager” means the officer appointed by the Parties for the purposes of administering the Pooled Fund and authorising payments from the Pooled Fund in respect of the costs of the Services. Pooled Manager is an Operational Director, HBC.
- 1.23 “the Regulations” means the NHS Bodies and Local Authorities Partnership Arrangements Regulations 2000 SI No.617 and any amendments and subsequent re-enactments
- 1.24 “the Revenue Payments” means such sum as contributed by the Parties to the Pooled Fund at the commencement of the Term and thereafter on the 1st April of each subsequent year in respect of the costs incurred or to be incurred in paying for the Services
- 1.25 “the Service Contracts” means the Contracts entered into by either one or all of the Parties for the purposes of providing Complex Care Services. Such contracts may be in the form of service level agreements and entered into with voluntary, independent and statutory sectors
- 1.26 “the Services” means the Services provided for the benefit of the Client Group in accordance with the Service Contracts including inter alia the aims and set out in Clause 3 hereto
- 1.27 “the Term” means the period beginning 1st April 2013 and ending 31st March 2016 subject to review as hereinafter set out

2. RECITALS

- 2.1 Pursuant to Section 75 of the 2006 Act and the Regulations and Regulation 7, SI 2000 No.617, the Parties have agreed to enter into a Pooled Fund Arrangement to establish and maintain a Pooled Fund made up of contributions by the Parties out of which payments may be made towards the exercise of the health related and NHS functions.
- 2.2 The objectives of the Pooled Fund Arrangements are to improve the services for clients through closer working between the NHS HCCG and HBC and which is pursuant to the obligations upon the Parties to co-operate with each other as referred to in the Section 75 of the 2006 Act.
- 2.3 The Pooled Fund Arrangements have been established pursuant to Section 75 of the 2006 Act and pursuant to the Regulations
- 2.4 The Pooled Fund Arrangements proposed by this Agreement fulfill the objectives set out in the NHS HCCG Integrated Commissioning Strategy.
- 2.5 The provisions of this Agreement shall take effect on the 1st April 2013.

3 GOVERNANCE

- 3.1 Each Party will retain statutory responsibility for their respective functions carried out under the Pooled Fund Arrangements and the activity of their employees in the undertaking clinical and/or social care duties.
- 3.2 The Parties have established a Complex Care Board for the purpose of discharging their duties in relation to the commissioning and provision of Complex Care as outlined in Schedule 1. The legitimacy of the Complex Care Board to undertake this role is derived from the Board's membership of Executive Members from the Parties (or their appointed deputies). The Board is not an autonomous body and does not therefore have legal status. From April 2015 this Board will be known as the "Better Care Board" (BCB).
- 3.3 Governance arrangements exist within the Parties to address the issues of clinical governance, public accountability and probity as well as satisfy HBC and NHS HCCG Standing Orders and Standing Financial Instructions. The Better Care Board will discharge these duties on behalf of the Parties and report to the Executive Boards of the respective Parties.
- 3.4 The Parties have established the Executive Commissioning Board (ECB) as a joint committee within the meaning of Regulation 10 (2) of the Regulations. From April 2015 the ECB will be known as the Better Care ECB (BCECB). The BCECB will report to the BCB.

- 3.5 Decisions of the BCECB and/or the Pool Manager which are beyond their respective delegated authority limits (as set out in Schedule 5) or are inconsistent with the terms of this agreement would require the approval and ratification of the governing bodies of the Parties organisations.

4 THE BETTER CARE BOARD

- 4.1 The aims of the Better Care Board are to :

- 4.1.1 Determine the strategic direction and policy for the provision of services to people with complex needs to improve quality, productivity and prevention, via monitoring performance, reviewing and evaluating services and taking assertive action where performance is not satisfactory.
- 4.1.2 Promote inter-agency cooperation, via appropriate joint working agreements/ arrangements, to encourage and help develop effective working relationships between different services and agencies, based on mutual understanding and trust
- 4.1.3 Exercise financial control over budgets associated with the running of the Services supporting those with Complex Care needs, ensuring financial probity.

4.2 Membership

The membership of the Better Care Board is outlined in Schedule 2.

5 THE POOLED FUND

- 5.1 There will be a budget time table set for the pooled fund outlined in Schedule 4. There will be one Pooled Fund. The amounts to be contributed by the Parties for the Financial Year beginning 1stApril 2015 are set out in Schedule.

- 5.2 The Pooled Fund will cover the expenditure on both staffing and service contracts by the Parties during the term of this Agreement
- 5.3 The Parties may contribute additional amounts to the Pooled Fund during the term of this agreement. The proportionate contribution of the Parties to the Pooled Fund will be adjusted accordingly for the purposes of dividing the Pooled Fund at the termination of the agreement as outlined in 11.3.1.
- 5.4 The Better Care Executive Commissioning Board will produce an annual work plan in January of each year for the following financial year. This will be reviewed and agreed by the Better Care Board and the Parties by 1st March.
- 5.5 The management of and administration of the Pooled Fund shall be carried out in accordance with the terms and conditions set out in Schedule 4 and within the delegation limits set out in Schedule 5.

6 MANAGEMENT OF THE POOLED FUND

- 6.1 The host party for the purposes of Regulation 7(4) of the Regulations shall be HBC or such other Party as the Parties may from time to time unanimously agree.
- 6.2 The Parties will appoint an officer to be the Pool Manager for the purposes of Regulation 7(4) of the Regulations who may delegate some or all of their functions as hereinafter set out. The Pool Manager will be an Operational Director, HBC.
- 6.3 The Pool Manager shall ensure that the standard budgetary controls, standing orders, financial contract regulations and monitoring arrangements of the host organisation will apply.
- 6.4 The Pool Manager shall manage the Pooled Fund and the Finance Manager shall submit bi monthly financial reports to the BC ECB, quarterly reports to the Better Care Board and Parties and ensure an end of year memorandum of accounts and balance sheet extract are prepared relating to the income and expenditure from the Pooled Fund and other information which the Parties may reasonably require so that the Parties may monitor the effectiveness of the Pooled Fund arrangements. Financial reporting will comply with the audit requirements of both HBC and NHS HCCG.
- 6.5 The approved Revenue Budget for the Pool shall be deemed to give authority to the Strategic Directors to expend or incur liabilities, during the period covered by that budget, to the extent of the detailed provisions contained therein. In accordance with the Council's scheme of delegation, these deemed authorities shall be exercisable by the Operational Directors. Revisions to the budget must be in accordance with 5.2.2 of the Council's Constitution and reflected in the bi monthly financial reports presented to BC ECB.

- 6.6 The Pool Manager will provide to the BC ECB and the Better Care Board all relevant information concerning specific grants and other funding initiatives so that development bids can be coordinated against the relevant funding.
- 6.7 HBC will arrange for the accounts of the Pooled Fund to be audited and shall request Grant Thornton to make arrangements to certify an annual return of those accounts under Section 28(1) (d) of the Audit Commission Act 1998.

7 CHARGES

- 7.1 Charges to clients for services funded by HBC within Fair Access to Care Services eligibility will be applied, in line with national and local guidance. This applies to HBC funded elements of joint funded services between NHS HCCG and HBC.
- 7.2 Charges do not apply to clients eligible for Intermediate Care and Equipment Services in line with current national and local guidance.
- 7.3 Charges do not apply to clients eligible for Continuing Health Care funded services in line with current national and local guidance.

8 POOLED FUND AUDIT AND MONITORING ARRANGEMENTS

- 8.1 Grant Thornton will act as external auditors to the BC ECB and will assume responsibility for auditing the Pooled Budget.
- 8.2 The Finance Manager (HBC) will ensure the Pool Manager receives a retrospective bimonthly Pooled Budget statement not more than one month after the end of the previous month. This will form the basis of the bi monthly finance report referred to in 6.4.
- 8.3 The Pool Manager will scrutinise the Pooled Budget statement and investigate discrepancies.
- 8.4 Procurement of, and payment for, all services and goods from the Pooled Budget will be undertaken using HBC Agresso financial system
- 8.5 The Pool Manager will ensure that detailed financial reports are presented to Better Care Board and they reflect the latest financial position as previously reported at BC ECB.
- 8.6 HBC will prepare an end of year financial memorandum of accounts and extract balance sheet. Once the memorandum has been certified by Grant Thornton it will be presented to the BC ECB, Better Care Board and the Parties by the Pool Manager.

9 STAFF AND ACCOMMODATION RELATING TO THE POOLED FUND

- 9.1 The Pool Manager shall be an employee of HBC.
- 9.2 The Chair of the BC ECB shall lead within the BC ECB on implementing the commissioning priorities to achieve the required outcomes of the Joint Working Agreement and the Pooled Fund arrangements.
- 9.3 The Pool Manager will (in addition to the obligations referred to in clause 7.3) monitor progress and will submit regular reports to the BC ECB and the Better Care Board as at clauses 8.3, 8.5 and 8.6.
- 9.4 The Chair of the ECB will make recommendations to the Better Care Board and the Parties upon the type and level of staff and support required to ensure the operation of the Pooled Fund in consultation with the Pool Manager
- 9.5 HBC and NHS HCCG will provide the necessary staff accommodation and support services required in connection with the Pooled Fund Arrangements.

10 COMMISSIONING ARRANGEMENTS

- 10.1 The BC ECB shall be responsible for proposing all Complex Care Services to be commissioned and prepare reports for the Better Care Board on the same. In developing such proposals the BC ECB will need to demonstrate the involvement of the commissioning teams of the Parties. The Better Care Board shall review commissioning proposals, determine the appropriateness or otherwise of the proposals and report to the Parties. Such services commissioned through contracts and / or service level agreements shall be authorised on behalf of the Parties by the chair of the BC ECB. The role, function and constitution of the BC ECB is outlined in Schedule 3.

11 DURATION AND TERMINATION OF THE JOINT WORKING AGREEMENT

- 11.1 This agreement will commence on 1st April 2013 and terminate on 31st March 2016. The Parties can negotiate a further agreement for the next financial period. Annual reviews of the viability of the agreement will be conducted by the ECB and a decision reached by 1st March.
- 11.2 Any of the Parties may terminate this agreement by the giving at least six months prior written notice to the other.
- 11.3 Upon the termination:-

- 11.3.1 Each of the Parties shall in respect of any unspent Revenue Payments held by the Pooled Fund on behalf of the Parties be entitled to be repaid from the Pooled Fund the contributions they shall have made to it in the same proportion as the budget contribution made at the beginning of the Financial Year with additional contributions made during the year taken into the proportioning.
- 11.3.2 None of the Parties will be obliged to make any further Revenue Payments to the Pooled Fund other than to discharge the reasonable costs, liabilities and expenses incurred by the Pooled Fund prior to the date of termination. HBC shall use its best endeavors to mitigate such costs, liabilities and expenses.
- 11.3.3 Upon the date of termination such of the Capital Assets purchased with monies provided from the Pooled Fund will be disposed of with the proceeds reverting to the Pooled Fund after taking into account the reasonable cost of disposal and the proceeds shall be discharged in accordance with the proportions set out in paragraph 11.3.1 above. With the agreement of the Parties ownership of a Capital Asset may transfer to one of the Parties on receipt of funds to the Pooled Fund equivalent to the value of the said asset on the date of termination.

12 REVIEW

- 12.1 The Better Care Board will review the agreement during the period and report on progress to the Parties in March of each year of the agreement.

13 COMPLAINTS

- 13.1 Complaints and compliments relating to services jointly-provided by HBC and NHS HCCG serving the client group will be dealt with in accordance with the 'Concordat on Cross Boundary Complaints'.

14 DISPUTES

- 14.1 The Parties will act together in good faith to resolve any dispute that may arise under this agreement. If the parties are unable to resolve a dispute an arbitrator shall be nominated by either the National Commissioning Board or the Regional Government Office who will either adjudicate on the point at issue or will direct the parties as to the method of dispute resolution.

15 CONTRACT (RIGHTS OF THIRD PARTIES) ACT 1999

15.1 Unless the right of enforcement is expressly provided, it is not intended that a third party should have the right to enforce a provision of this agreement pursuant to the Contract (Rights of Third Parties) Act 1999.

15.2 The parties may, by agreement, rescind or vary this agreement without the consent of a third party to which the right of enforcement of any of its terms has been expressly provided.

16 RISK MANAGEMENT

16.1 Each of the Parties shall assume responsibility for their own liability for all claims within their own sphere of influence and arising from this agreement including clinical negligence, Professional indemnity, Employers and Public Liability, income tax, national Insurance, VAT or other taxation liabilities however arising. This assumption of liability also applies to existing contracts operated by the Parties and any liability arising there from. The Parties hereby each individually indemnify each other from any liability arising from this agreement. All new contracts awarded by HBC or NHS HCCG on behalf of the Parties will require that the contractor (private or voluntary organisation) will provide their own indemnity insurance. Neither Party will accept any claims from the other Party which relates to the period prior to the commencement of this agreement.

17 DATA PROTECTION

17.1 The Parties acknowledge their respective obligations under the Data Protection Act 1998, Freedom of Information Act 2000 and the Environment Information Regulations 2004.

The Parties agree that each will facilitate the performance by the other of their obligations under the Act, the Regulations and under any other legislation that requires disclosure of information.

The Parties will abide by the agreed Information Sharing Protocol for the sharing of the Client group information.

SIGNATURES SHEET

SIGNED on behalf of

HALTON CLINICAL COMMISSIONING GROUP

..... (signature)

..... (print name)

..... (position)

..... (date)

(duly authorised in that behalf)

SIGNED on behalf of

HALTON BOROUGH COUNCIL

..... (signature)

..... (print name)

..... (position)

..... (date)

(duly authorised in that behalf)

SCHEDULE 1

ASSESSMENT, ELIGIBILITY AND LOCAL DISPUTE PATHWAY

Introduction

- S1.1 The Better Care Fund between NHS HCCG and HBC will provide the main financial resource to be used for adults who are eligible for care and support services. This pathway supports Practitioners and Managers within Health and Social Care Teams to ensure assessment of need and considerations of eligibility are undertaken in a transparent way, involving the person and their significant others in the associated processes. The pathway complies with and promotes the use of the national and local guidance, policies and procedures in relation to Fair Access to Care Services (FACS), Continuing Health Care (CHC), Funded Nursing Care (FNC) and Jointly Commissioned Care.

Assessment Process

Short Term Intervention/Intermediate Care Services

- S1.2 There are a range of commissioned services designed to provide assessment and intervention work to enable individuals to regain, maintain and improve their physical, social and mental health functioning and abilities. Some of these services are for people with specific conditions, whilst others are generic working with all adults.
- S1.3 This range of services should be considered in the first instance where an individual presents with new or changing needs. Whilst there is some variation between services in the process, access to these services is gained through assessment leading to treatment, care and support planning and intervention work. Most of these services will then plan for and initiate longer term services as required towards the end of the intervention work. This group of services can also work alongside existing long term services where appropriate.

Long Term Provision (including provision of equipment)

- S1.4 Across the Health and Social Care economy in Halton there are a variety of Practitioners and Teams involved in the assessment of individuals to determine long term needs. Irrespective of the specialty, the process is broadly the same and is illustrated in the pathway diagram. At Practitioner and Team level the detail and scope of the assessment process undertaken is determined by an initial assessment of the presenting needs with a focus on utilising short term intervention services to maintain, restore or improve functional ability and manage short term changes in a person's life before considering long term care and support provision.

S1.5 Where short term interventions have been undertaken, or were not indicated, then the next stage of the assessment process is to determine the nature of risks for an individual, their long term care and support needs and the range and type of interventions / services required to manage these. As part of this process, Practitioners and Teams need to consider issues of eligibility. Utilising existing FACS, CHC, FNC, Joint Funding and Equipment guidance and associated tools, Practitioners and Teams, with the individual and their significant others, will determine the appropriate type of funding the individual is eligible for. This determination is subject to quality assurance and authorisation processes.

End of Life Fast Track Eligibility

S1.6 Where an individual is approaching the end of their life and requires palliative treatment, care and support, then medical or nursing practitioners and teams will ensure that the appropriate guidance and tools are utilised to inform their decision making about an individual's eligibility for funding through the 'fast track' process.

Quality Assurance

S1.7 Existing supervisory and management structures within the respective organisations undertake a quality assurance process in relation to the assessment of risk and need, and the decision in relation to eligibility. Specifically Team Managers and Supervisors will be responsible for:

- ensuring short term preventative services have been utilised to full effect;
- reviewing the consistency, quality and veracity of all the assessments leading to a request for funding, and undertake more in-depth sample auditing of cases as per organisation policies;
- verifying and validating recommendations on eligibility by the Practitioner or Team in line with national and local guidance;
- agreeing required actions where issues or concerns arise in relation to the assessment and eligibility determination;
- referring issues of unmet need or service deficit (including issues of out of borough placements) which could potentially impact on wider/overall commissioning intentions through to the appropriate Commissioning Manager; and
- ensuring out of borough placements are only agreed after all local options have been explored.

S1.8 Quarterly reports will be presented by a relevant Divisional Manager (HBC) and the Complex Care Clinical Lead (NHS HCCG) to the Executive Commissioning Board outlining key issues and actions in relation to the quality assurance process.

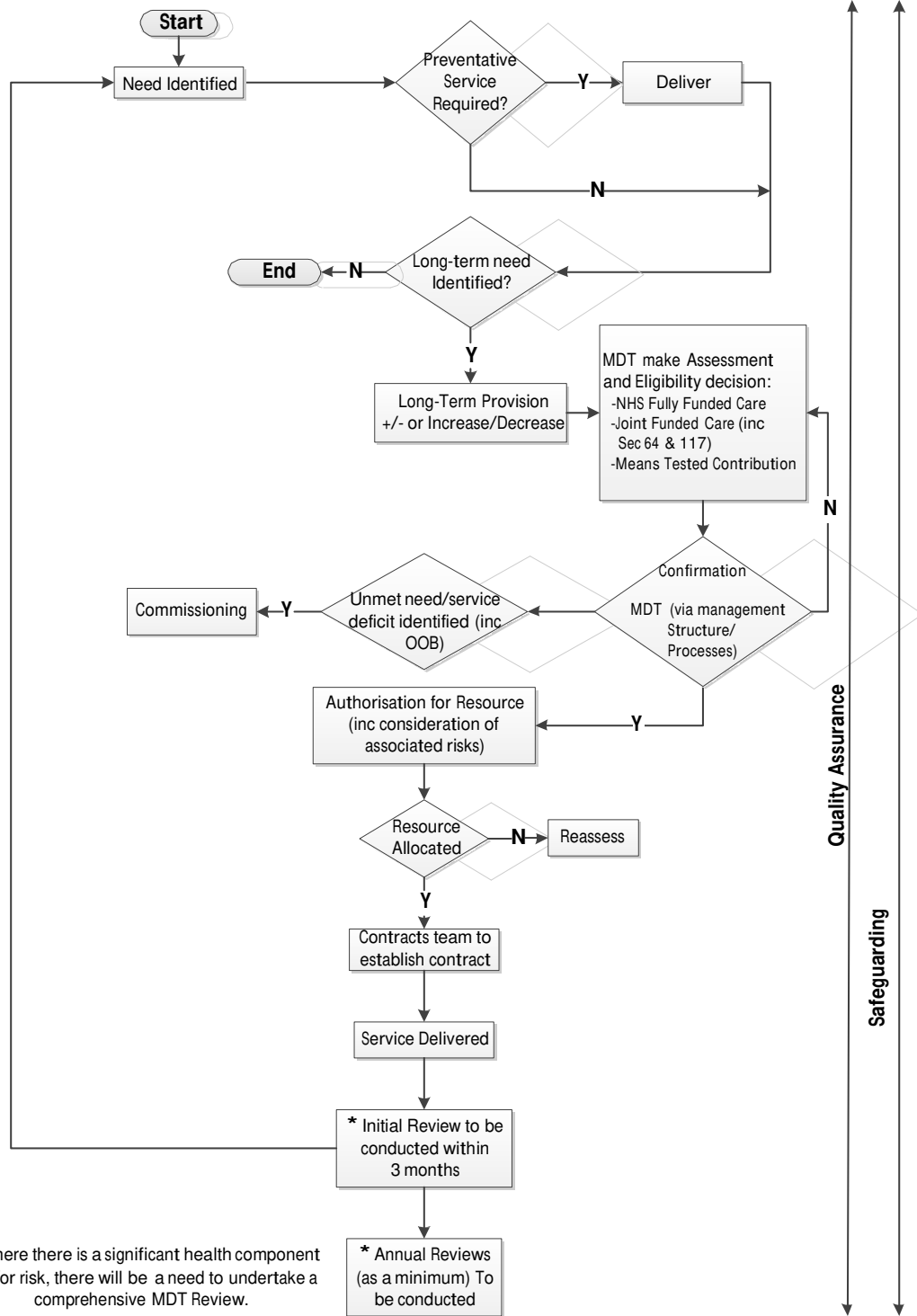
Resource Allocation Authorisation

- S1.9 Authorisation for the level and type of resource allocation to support an individual will be undertaken by appropriate Managers and Leads within HBC and NHS HCCG (and delegated to CMCSU) in line with the respective organisations financial standing orders and delegation limits.
- S1.11 HBC and NHS HCCG will operate a Joint Authorisation Process.
- S1.11 Low level Social Care services will require authorisation from an appropriate Divisional Manager (or delegate) within Halton Borough Council.
- S1.12 Authorisation for Social Care services to meet complex care needs and / or where significant risk is identified will be approved through risk enablement processes with financial authorization commensurate with financial Standing Orders.
- S1.13 Authorisation of services to meet complex care needs and / or where significant risk is identified requiring Social Care and Health care funding elements ('joint funded') will be approved by the Joint Authorisation Process.
- S1.14 Authorisation for wholly health funded services to meet complex care needs and / or where significant risk is identified requiring health care funding will be approved by the Joint Authorisation Process.
- S1.15 Authorisation for end of life fast track will be approved by the Locality Lead, Complex Care Clinical Lead (or delegate)
- S1.16 Where an individuals' needs require a significant level of funding from the Pooled Budget then this should be agreed through a Risk Enablement Panel, jointly chaired by the Pool Manager (HBC) and a lead from NHS HCCG (or delegate). The individual case should be presented by the Case Manager and an appropriate Divisional Manager. This panel will meet on an ad hoc basis.

Local Dispute Management

- S1.17 The Joint Authorisation Panel is the operational body through which disputes between Health and Social Care Practitioners on eligibility should be resolved, with clear reference to the national and local guidance.
- S1.18 Cases should be referred to the Risk Enablement Panel where a resolution cannot be achieved through Joint Authorisation Process.

Complex Care – Proposed Pathway



SCHEDULE 2

ROLE, FUNCTION AND CONSTITUTION OF THE BETTER CARE BOARD

- S2.1 In this Schedule, “member” or “members” shall be defined by reference to the bodies (as amended from time to time as hereinafter set out) as listed in 4.2 of the Joint Working Agreement
- S2.2 There will be regular reviews of the composition of the Better Care Board in order to reflect any changes in the Parties and members or in national guidance or legislation
- S2.3 Any of the members and Parties may from time to time replace or fill a vacancy of one or more of its appointees to serve on the Better Care Board
- S2.4 Each of the members and Parties shall appoint named persons as substitute members who shall attend meetings of the Better Care Board in the absence of the member for whom they are a substitute member.
- S2.5 The Better Care Board may co-opt persons to sit on the Better Care Board for a fixed period or to assist with specific matters but such co-opted members shall not be entitled to vote at any meetings of the Better Care Board
- S2.6 Any representative/appointee of the member of the Better Care Board wishing to resign shall give written notice to the Chair of the Better Care Board who shall report the matter to the member body who has appointed the representative/appointee
- S2.7 The Chair of the Better Care Board will be HBC’s Executive Portfolio Holder (Health and Adults).
- S2.8 The Chair shall preside over the Better Care Board meetings. If the Chair is not present then the Vice-Chairperson shall preside. If neither the Chair nor the Vice-Chairperson is present the members of the Complex Care Board present (with voting rights) shall select a Chair for the meeting from the members who are present at the meeting.

- S2.9 The Better Care Board shall meet on a bi-monthly basis. The timing of the meeting may change in exceptional circumstances to the satisfaction of the Parties and agreed by the Chair. Reports and agendas shall be circulated, wherever possible, to the members at least five working days in advance of the said meeting. The agenda papers shall be sent to the members of the Better Care Board and to such other persons and agencies who would normally receive the papers had the Parties been reporting to their own respective boards in respect of the Pooled Fund Arrangements. Any items or matters, which are deemed to be exempt from discussion in public or before the press must be properly and clearly marked and endorsed with the reason thereof. For Exempt Information see definition 1.10 on Page 4. For full information see Appendix Two.
- S2.10 The minutes of all meetings of the Better Care Board shall be sent to the members and the Parties. The Better Care Board shall prepare and send the members and Parties an annual report on both finance and activity.
- S2.11 Extraordinary meetings of the Better Care Board may be called at any time upon a request by at least one third of the members entitled to vote and giving at least 5 working days prior written notice
- S2.12 All members of the Better Care Board shall be entitled to one vote, except where they have disclosed an interest. Votes should be cast in person. Nominated substitutes will assume the voting rights of the nominator
- S2.13 Members of the Better Care Board must disclose an interest when a Board meeting considers an item in which they have a personal interest and are likely to benefit. Members who disclose an interest should withdraw from the meeting until the item has been discussed. This should be noted within the minutes

- S2.14 The role of the Better Care Board is to ensure that an integrated system is developed and appropriately managed to ensure that the resources available to both Health and Social Care are effectively used in the delivery of personalised, responsive and holistic care to those who are most in need within our community. This will be achieved through :-
- Determining the strategic direction and policy for the provision of services to people with complex needs to improve quality, productivity and prevention, via monitoring performance, reviewing and evaluating services and taking assertive action where performance is not satisfactory.
 - Promoting inter-agency cooperation, via appropriate joint working agreements/ arrangements, to encourage and help develop effective working relationships between different services and agencies, based on mutual understanding and trust.
 - Exercising financial control over budgets associated with the running of the Services supporting those with Complex Care needs, ensuring financial probity.
- S2.15 The Better Care Board will encourage the full use of the Health Act flexibilities as defined within the NHS Act 2006.
- S2.16 The Better Care Board will take responsibility for the management monitoring and use of the Pooled Fund Arrangements for Complex Care services and receive reports and information on the operation of the same. Votes on financial issues can only be based on recommendations from the Executive Commissioning Board
- S2.17 Meetings of the Better Care Board shall be quorate when at least two members from the NHS HCCG (with voting rights) and two members from HBC (with voting rights) are in attendance.

S2.19 **Membership**

The Better Care Board is chaired by HBC's Executive Board Portfolio Holder (Health and Adults) and membership of the Board will consist of the following representatives:-

- ***Halton Borough Council***
 - HBC Executive Board Portfolio Holder (Resources)
 - Strategic Director, Communities
 - Operational Director (Prevention & Assessment)
 - Operational Director (Commissioning & Complex Care)
 - Finance Manager

- ***Halton Clinical Commissioning Group***
 - Chief Officer Designate
 - Chair
 - Operational Director (Integration)
 - GP Clinical Lead
 - Chief Nurse
 - Director of Finance

S2.20 The Better Care Board will elect a Vice Chair from within its membership.

S2.21 The Board has the right to co-opt non-voting members and invite non-voting individuals to attend for specific issues.

S2.22 Any of the Parties may from time to time replace one or more of its representatives to serve on the Board.

S2.23 Any member of the Board wishing to resign shall give written notice to the Chair who shall report the matter to the Better Care Board. Members from HBC and HCCG shall cease to be members of the Board where their employment with or elected membership of HBC and HCCG ceases.

S2.24 Each member of the Better Care Board will have one vote unless otherwise stated above at S2.17.

S2.25 The minutes of all meetings shall be sent to the Members and the Better Care Board shall prepare and send to the Parties an annual report.

S2.26 The Better Care Board shall adhere to the role, function and constitution as laid out in Schedule 2.

SCHEDULE 3

**ROLE, FUNCTION AND CONSTITUTION OF THE BETTER
CARE EXECUTIVE COMMISSIONING BOARD**

- S3.1 To develop and make recommendations to the Better Care Board on the strategic, commissioning and operational direction of Complex Care in Halton.
- S3.2 To be responsible for oversight of the management, monitoring and use of the Pooled Fund by the Pool Manager through monthly reports, and report to the Better Care Board and Parties in all matters relating to the Pooled Fund.
- S3.3 To be responsible for the monitoring contractual relationships with service providers financed by the Pooled Fund through the implementation of a performance management framework and report to the Better Care Board in all matters relating to such monitoring.
- S3.4 To be responsible for overseeing the implementation of the decisions of the Better Care Board.
- S3.5 To implement the commissioning of Complex Care services for the Borough of Halton.
- S3.6 To do detailed planning work on behalf of the Better Care Board.
- S3.7 To prepare detailed planning proposals for Complex Care services and present to the Better Care Board for discussion and approval.
- S3.8 To consider bids for projects from the Better Care Board, and to report such initiatives to the Better Care Board for information.
- S3.9 To analyse government policies, local and national research and audit and national information relating to Complex Care and to present such information to the Better Care Board for the purposes of the development and commissioning of Complex Care services in Halton. This will include sources of any available funding.
- S3.10 Meetings of the BC ECB shall be held monthly and will be quorate when at least two members from the NHS HCCG and two members from HBC (with voting rights) shall be in attendance.

S3.11 **Membership**

The BC ECB is chaired by HBC's Operational Director (Prevention & Assessment) and membership of the Board will consist of the following representatives:-

- ***Halton Borough Council***
 - Operational Director (Commissioning & Complex Needs)
 - Divisional Manager (Urgent Care)
 - Divisional Manager (Commissioning)
 - Finance Manager
- ***Halton Clinical Commissioning Group***
 - Operational Director (Transformation)
 - Commissioning Manager
 - Finance Manager
 - Complex Care Clinical Lead
- **Halton Borough Council/Halton Clinical Commissioning Group (Non-Voting)**
 - Lead Policy Officer (People & Communities)
- ***Other Organisations (Non-Voting)***
 - Bridgewater Community Healthcare NHSF Foundation Trust
 - 5 Borough's Partnership NHS Foundation Trust
 - Cheshire and Merseyside Commissioning Support Unit
 - Warrington and Halton Hospitals NHS Foundation Trust
 - St Helens and Knowsley Teaching Hospitals NHS Trust

S3.12 Each member of HBC and NHS HCCG will have one vote and any decisions taken by the BC ECB will require a majority vote unless otherwise agreed by the Parties.

S3.13 The ECB may co-opt non-voting members for the purposes of providing expertise to the BC ECB in relevant matters.

SCHEDULE 4
FINANCE

S4.1. CONTRIBUTIONS FINANCIAL YEAR 2015-16

S4.1.1 For the purposes of Paragraph 5 the contributions to be made to the Pooled Fund by the HBC and the NHS HCCG for the period 1st April 2015 to 31st March 2016 are set out below (subject to variation as agreed between the Parties):-

HBC:- to be confirmed

NHS HCCG:- to be confirmed

Grants:- to be confirm

Full breakdown of the above budgets are outlined in Appendix 2.

S4.2 CONTRIBUTIONS YEARS 2013/14, 2014/15 AND 2015/16

S4.2.1 The contributions for the financial years 2013/14, 2014/15 and 2015/16 will be determined by the respective Parties and agreed by 1st March of the preceding financial year.

S4.3 ADDITIONAL FUNDS

S4.3.1 If any additional funding related specifically to the Clients becomes available to any of the Parties during the current Financial Year the Pool Manager should be advised of such circumstances and the funds shall be transferred to the HBC for inclusion in the Pooled Fund.

S4.4 VARIATIONS OF CONTRIBUTIONS

S4.4.1 If in exceptional circumstances any of the Parties should wish to reduce their contributions to the Pooled Fund during the term of the agreement by a sum which would exceed 5% of their annual contribution, then such party shall serve six months previous notice in writing upon the other.

S4.5. OVERSPENDS

S4.5.1 The Pooled Fund shall be managed by the Pool Manager with the intention of producing a balanced budget at the end of the financial Year

S4.5.2 In the event that the Pool Manager identifies (at any period during the financial year) that there will be insufficient budgetary provision to meet the likely expenditure for the current Financial Year then this shall be reported to the ECB.

- S4.5.3 In the event referred to in paragraph S4.5.2 the following procedure will take effect:-
- S4.5.3.1 The BCECB will be convened within 2 weeks to produce a financial plan to address the budget insufficiencies within the existing Pool Fund allocation.
 - S4.5.3.2 The financial plan will be presented to the Parties for discussion and agreement within 4 weeks of the deficit being identified.
 - S4.5.3.3 Where the Pool Fund is unlikely to be able to meet the agreed contractual duties of the Joint Working Agreement then HBC may specify particular reasonable requirements of the ECB including a reduction in service activity, and seek further action of the Parties as special conditions for the temporary support of the budget.
 - S4.5.3.4 Prior to the implementation of the financial plan referred to above at S4.5.3.2 any conditions which the HBC shall seek to impose including amendments to this Agreement shall first be agreed with HCCG, whose agreement cannot reasonably be withheld.

S4.6. TERMINATION OF JOINT WORKING AGREEMENT

- S4.6.1 At the expiration of the Term or at any other date of termination as hereinbefore referred to, then such surplus of monies shall be repaid to the Parties in such proportion, as is equal to their respective contributions made during the term of this agreement and is subject to Audit approval.
- S4.6.2 Any surplus of monies left in the Pooled Fund at the end of the relevant Financial Year, other than at termination, representing an underspend for that year shall be rolled over into the next successive Financial Year unless otherwise agreed by Better Care Executive Board.

At the expiration of the Term or at any other date of termination as hereinbefore referred to, then such surplus of monies shall be repaid to the Partners in such proportion, as is equal to their respective contributions to the Pooled Fund at the beginning of the relevant Financial Year, subject to Audit approval.

- S4.6.3 At the expiration of the Term or at any other date of termination as hereinbefore referred to, then such surplus of monies shall be repaid to the Parties in such proportion, as is equal to their respective contributions to the Pooled Fund at the beginning of the relevant Financial Year, subject to Audit approval.

S4.7. DEBT

S4.7.1 Where charges to clients for services funded by HBC within Fair Access to Care Services eligibility are made and debts are incurred, then HBC will use the Authority's Debt Recovery policy to recovery those debts. This will also apply to HBC funded elements of joint funded services between NHS HCCG and HBC.

S4.8. **S.151 OFFICER**

S4.8.1 The Pool Manager will be accountable for managing the Pooled Fund and reporting to the ECB and HBC's Strategic Director Policy and Resources Directorate, who is the officer appointed by HBC for the purposes of S.151 of the Local Government Act 1972 and S.114 of the Local Government Finance Act 1988.

S4.9. **HBC'S FINANCIAL STANDING ORDERS AND FINANCE REGULATIONS**

S4.9.1 HBC's Financial Standing Orders will apply to the operation of the Pooled Fund where the Revenue Payments made by HCCG have been paid to HBC to be held in the Pooled Fund managed by HBC. Any expenditure incurred by the Parties on behalf of the Pooled Fund shall comply with the appropriate regulations and orders of each of the Parties

S4.9.2 All Service Contracts and conditions of either of the Parties existing at the commencement of this agreement will be honoured until the date of their expiry. Any new Service Contracts entered into by either Party will be made in accordance with paragraph 4.9.1.

S4.10. **MONITORING AND REPORTING ARRANGEMENTS**

S4.10.1 HBC will provide the Pool Manager with bimonthly budget reports on the Pooled Fund and any expenditure incurred from the same. Where expenditure is incurred on behalf of the Pooled Fund by the Parties or those it commissions to carry out such work then those agencies will be required to record the detailed transactions within their accounting systems and provide bimonthly reports (in a format to be agreed by the Parties) to HBC for inclusion within the bimonthly Pooled Fund reports to the BCECB.

S4.11. **VAT**

S4.11.1 VAT will be applied in accordance with advice issued by H M Revenue and Customs. As HBC will be the host party it is envisaged that the VAT regime adopted will be that currently applicable to the Local Authority Sector.

S4.12. **EXPENSES**

S4.12.1 Any expenses as agreed by the Better Care Board incurred by service users and carers in attending meetings of the Better Care Board may be paid from the Pooled Fund in accordance with the HBC subsistence and travel rules and the expenses of any other members of the Better Care Board shall be met by their employers or respective body.

S4.13. PAYMENT ARRANGEMENTS

S4.13.1 In the event of NHS HCCG making its Revenue Payment to the Pooled Fund such payment shall be by quarterly installments within 5 working days of the start of each month commencing on April 2013 on production of an invoice from HBC.

S4.13.2 HBC will where appropriate pay NHS HCCG in 12 equal monthly installments on receipt of an appropriate invoice and where necessary, supporting documentation has been received on 15th of each month commencing from 15th April 2013 provided that such payment to the HCCG will be dependent upon receipt of the Revenue Payments mentioned in clause S4.13.1

S4.14. EFFICIENCY SAVINGS

S4.14.1 The Pooled Fund will have to demonstrate that it is achieving the required efficiency targets set by the Parties.

S4.15. CAPITAL EXPENDITURE

S4.15.1 Capital expenditure for the purchase of Capital Assets cannot be incurred without the prior written approval of the BC ECB and Section. 151 officer

S4.15.2 In the event of approval being given the HBC shall purchase and own the Capital Assets on behalf of the Parties and thereafter be responsible for the maintenance, repair, renewal and insurance costs of the Capital Assets on behalf of the Parties.

S4.15.3 The Pool Manager shall be responsible for producing and thereafter maintaining a register of Capital Assets purchased from the Pooled Fund.

S4.15.4 On the disposal or sale of any of the Capital Assets, either during the Term of this agreement or upon termination of the same (for whatever reason) the net proceeds from such disposal or sale shall be returned by HBC to the Pooled Fund.

S4.15.5 If the proposed cost of any of the Capital Assets shall exceed £30,000 then such cost shall not be funded from the Pooled Fund but shall require the submission and preparation by a manager of an initial Business Case to be made to the BC ECB which shall, if it accepts the validity of the Business Case, then refer such request for making a formal bid or request whether by submission of a formal Business Case for approval or otherwise to the appropriate statutory funder for such monies and if approved such Party shall retain legal ownership of the Capital Assets.

S4.15.6 In the event of receiving Capital Expenditure grant from the Government a protocol will be agreed by the BC ECB, taking advice from the S.151 officer of the HBC.

S4.16. SPECIFIC GRANTS

S4.16.1 It is recognised by the Parties that the contribution to the Pooled Fund made by HBC and the NHS HCCG will not include specific grant monies from the Department of Health. In the event that specific grant monies become available the process described at S4.3.1 is to be followed.

S4.16.2 In the event that such grants monies are withdrawn none of the Parties shall be required to fund such shortfall from its own resources and the Parties shall inform the Better Care Board and the Pool Manager of such event arising as soon as reasonably practicable

S4.16.3 The Parties shall apply such information detail and audit evidence relating to the expenditure incurred by the Pooled Fund as may be required by the Parties and their auditors to satisfy any of the conditions which may have been imposed upon the Parties by the relevant funding body on receipt of such grant monies including evidence of the activities upon which such expenditure was incurred

S4.17 BUDGET TIMETABLE

S4.17.1 The annual HBC Budget for the whole Council will be set in accordance with the HBC's Corporate Budget Setting Process, identified below.

S4.17.2 The Finance Manager will contact the Budget Managers within Adult and Older People Services, including the Pooled Budget Manager, to request any information required and arrange meetings with Budget / Pooled Budget Managers during September and October each year, in preparation of setting the budget for the forthcoming year. It is essential that the information be provided promptly so that the overall deadlines for budget preparation are to be achieved.

S4.17.3 The indicative budget timetable is as follows:

- The current year budget will be revised continuously, as soon as virements are approved in accordance with standing orders.
- The current year budget will be reviewed each year in September & October, in conjunction with Budget Managers.
- The forthcoming year's base budget (i.e. before growth and savings) will be prepared by Mid-December.
- The Provisional Local Government Finance settlement from Central Government is expected by mid-December.
- Management Team and Executive Board will then consider the forthcoming base budget in the light of the provisional settlement.
- Management Team and Executive Board will consider growth and savings options during January and once approved these will be built into the forthcoming budget
- The budget will be approved and published in the Communities electronic Budget book. This will be available to all budget managers by the end of March.
- Executive Board or Executive Board Sub Committee will consider the levels of fees and charges proposed for the forthcoming year during March.

S4.17.4 The NHS HCCG Finance Manager will confirm the NHS HCCG's contribution to the Better Care Fund, to the HBC Finance Manager, by the end of February each year.

S4.17.5 The budget setting process is summarised below :-

Deadline Date	Item
September/October	Meetings with Budget Managers for mid-year review.
Mid December	Forthcoming year's Base Budget (before growth & savings) to be prepared
Mid December	Provisional Revenue Support Grant (RSG) settlement analysed
Late December	Base Budget comparison to RSG reported to Management Team
End of January	Incorporate approved growth & savings into budgets
End of February	Confirmation of NHS HCCG contribution to HBC Finance Manager
February/March	Forthcoming year's Fees & Charges recommended for approval by Members
End of March	Distribute Communities Directorate electronic Budget Book to Budget Managers

SCHEDULE 5

DELEGATION LIMITS

S6.1. Delegated Authority: As stated in Governance 4.2, the Better Care Board is not an autonomous body and does not therefore have legal status. Any decisions of the ECB and/or the Pool Manager which are beyond their respective delegated authority/limits (as set out in Schedule (6.1.2) or are inconsistent with the terms of this agreement would require the approval and ratification of the governing bodies of the Parties organisations in accordance with both Parties Standing Orders and Schemes of Delegation.

S6.1.1 As stated Schedule 4, paragraph 9.1 the Pooled Fund will be operated under the Council’s Constitution, Standing Orders and Finance Regulations. Within paragraph 3.4 of the Standing Orders relating to Finance there is provision for Delegated Authority to be granted to Officers of the Council for the certification of financial and personnel documents with the approval of the Strategic Director Communities and Head of Internal Audit.

S6.1.2 Delegated Authority has been granted to Officers who have responsibility for managing the Pooled Fund. These Officers and their certification limits are set out below and may change from time to time. The ECB shall agree spend relative to the Pool

List of Officers who have delegated authority relative to this pool to certify Financial Documents within the following limits.

	Orders/ Invoices
Operational Director	£1m
Divisional Manager	£100k

S6.1.3 Authorised Certifying Officers shall be responsible for all financial arrangements delegated as per the list and shall maintain a sufficient record of all transactions to account for the Pooled Funds.

S6.1.4 The Pool Manager should ensure that certifying officers are familiar with the procedures and requirements set out in the Standing Orders Relating to Finance and Procurement and be satisfied that officers are aware of and comply with the correct procedures.

S6.1.5 Authorised Certifying Officers have a responsibility to assist the Internal Auditors acting on behalf of the Council when reviewing any internal or financial control system for which they are responsible.

- S6.1.6 Delegated powers are restricted to individual areas of management control as stated within the Joint Working Agreement. In particular the certification of financial documents requires responsibility for ensuring adequate budgetary provision is available and documents are processed strictly in accordance within the specific authorisation limits as detailed in the list.
- S6.1.7 Any changes to the officers included in the list can only be authorised jointly by the Strategic Director, Communities and the Chief Internal Auditor.
- S6.1.8 Specimen signatures have been obtained for all the certifying officers and copies provided to the relevant sections within Communities Directorate, and the Policy and Resources Directorate.

Appendix 1

Exempt Information

- 1 The Better Care Board may choose to discuss in private this information which is not intended to be an exhaustive list, but merely examples of the same any item of business which includes or is likely to involve discussion of Exempt Information for the purposes of Schedule 12A Local Government Act 1972. The categories of Exempt Information applicable as at 29 September 2004 are listed for illustrative purposes only in Appendix 1 to this agreement and references in Schedule 12A to 'the authority' shall in the context of this Agreement be taken to refer to the Board.
- 2 The Better Care Board shall discuss in private any item of business which includes or is likely to involve discussion of Confidential information.
- 3 In the context of this Clause the expression 'Confidential Information' shall typically, though not exhaustively, mean:-
 - a) information furnished to the Better Care Board of any member of the Board or to the Council or to the NHS HCCG by a government department upon terms (however expressed) which forbid the disclosure of the information to the public; or
 - b) information the disclosure of which to the public is prohibited by or under any enactment or by order of a court.

Appendix 2

Finance

NHS Halton Clinical
Commissioning
Group

to

Total	12,627,546
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Notes

Halton Borough Council

Total

Notes

Grants:

REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director, Communities

PORTFOLIO: Health & Wellbeing

SUBJECT: Fee Levels for Residential and Nursing Care 2015/16

WARD(S) Borough-wide

1.0 PURPOSE OF THE REPORT

- 1.1 To advise Executive Board of proposed fee levels for Residential and Nursing Care as from April 2015.

2.0 RECOMMENDATIONS: That Executive Board

- 1) note the contents of the report; and**
- 2) agree fee levels as set out in paragraph 3.5**

3.0 SUPPORTING INFORMATION

- 3.1 The Council currently contracts with a range of residential and nursing care providers who provide a range of care services. A contractual agreement has been in place for considerable time and there have been various National issues raised regarding a "fair price for care" fee this has resulted in a number of judicial reviews across England. It was therefore agreed with care home providers that a review of fees take place. Any final set of fees must be both financially sustainable for the Council and ensure the continuance of high quality care and market stability. The Council currently spends circa £18m per annum on residential and nursing home placements.
- 3.2 External consultants were engaged in November 2014 ,this was necessary because of the specialist nature of the financial work involved in determining the 'Fair Price for Care', to provide a level of independence and to engage consultants who have worked with other Councils facing similar issues. Following a procurement exercise the following brief was agreed:
- To develop for consideration by the Council a "fair price for care" fee, inclusive of Borough Council and Continuing Health Care funding, compliant with the National Assistance Act 1948 (Choice of Accommodation) Directions 1992 and Local Authority Circular LAC (2004)20 and as developed in relevant case law and which has regard to the Council's financial position so far as is reasonable;
 - To review fee sustainability in Residential and Nursing Homes (including

establishing and updating information on the elements that make up the unique ‘standard cost of care’).

3.3 The process to date has included:

- Gathering information on comparative fees from CIPFA comparator authorities;
- Undertaking two consultation events to explain context and seek provider input into the process, which were attended by 8 representatives of five providers;
- Consulting with stakeholders including providers through one-to-one interviews

3.4 The findings from the consultants were:

- Average fee levels and numbers of people with funded residential and nursing care are not substantially different from the average of the comparator groups;
- Unit prices for residential and nursing care are a little below comparator averages and most neighbouring authorities but not substantially so;
- Based on local costs and prices the fees currently paid can cover the average cost of running a care home in the Borough;
- The average local occupancy rate is above 90% (higher than the national average of 87%) indicating that current local homes are viable on this metric;
- The Council has limited difficulty in placing people with local providers in most (but not all) cases;
- Most providers understand the Council’s budgetary position and, whilst frustrated by increasing costs, have worked proactively to ensure high occupancy levels and improve quality. There is little indication that maintaining fees at current levels would lead to mass withdrawal from the market by providers. However, there is a difference here between small-scale local providers and larger scale providers with the former reporting greater cost pressures.

3.5 The recommendation from the consultants was that 0% inflation should be applied for 2015/16 with increases in the following two years, but they also pointed to the need to maintain market stability.

A draft report setting out these proposed fee levels was sent to providers on 25th February, 2015 requesting comments by 12th March, 2015. This timescale was extended until the 16th March, 2015 in response to some providers comments.

Two detailed responses were received, and these are now considered.

Comments on provider figures

	RQ	Provider X	Diff	
Staffing	£323.3	£391.3	£68.00	21%

Maintenance	£40.99	£33.71	-£7.27	-18%
ROC/profit	£57.71	£250.57	£192.86	334%
	£522.73	£773.55	£250.83	48%

The table above compares RedQuadrant bottom up assessment of weekly local costs per unit¹ with figures presented by Provider X for Nursing Home. Comments;

- Staffing costs for Provider X are greater than those modelled by RedQuadrant. Rates of pay for qualified and un-qualified appear quite close in both models. The main difference relates to the number of hours care being provided, particularly by non-qualified staff where there is £62 differential. Provider X are providing 630 hours per week in a 21 unit home (30 hours per person) whereas RedQuadrant modelled 965 hours per week in a 46 unit home (the Borough average equivalent to 21 hours per person): staffing levels are ultimately a matter for Provider X but this level of staffing does not seem warranted as a basis for paying fees. Management costs are £12 per week because of the inclusion of a Deputy ; again staffing arrangements are a matter for Provider X but it is difficult to see why the Council should be expected to pay for this extra post
- The substantial difference however relates to Return on Capital/profit. Provider X have included a rental charge equivalent to £121.65. We are unclear as to whether this represents a charge to an external landlord or an internal recharge. However it is more than double RedQuadrant's calculation of £57.71 as a reasonable Return on Capital. They have then added a further 20% (£128.92) onto direct costs as dividend/profit. The total impact of these is that they are expecting 47% on top of direct costs as ROC/profit – there is no reason for the Council to consider ROC/profit at this level as constituting a reasonable cost of care

	RQ	Provider X	Diff	
Staffing	£368.0	£399.4	£31.39	9%
Non-staffing	£100.73	£104.21	£3.49	3%
Maintenance	£40.99	£33.71	-£7.27	-18%
ROC/profit	£57.71	£253.32	£195.61	339%
	£567.43	£790.64	£223.21	39%

The table above shows the same comparison for Nursing EMI costs. A similar pattern emerges as above but it is less attenuated. Provider X are providing 29 hours per person whereas RedQuadrant modelled 26 hours; this, together with the Deputy explains the difference in staffing figures. The ROC/profit point is the same as above.

Provider Y weekly costs and comparison with RedQuadrant figures are presented below:

¹¹ These figures vary slightly from the current rates but only by 1-2%

Residential	Provider Y	RQ	Diff	% diff
Staffing	£230.69	£196.58	£34.11	17%
Non-staffing	£102.44	£100.73	£1.71	2%
Maintenance	£37.94	£40.99	-£3.05	-7%
ROC/profit	£151.73	£39.99	£111.73	279%
	£522.79	£378.28	£144.51	38%

Residential EMI	Provider Y	RQ	Diff	% diff
Staffing	£256.60	£267.80	-£11.20	-4%
Non-staffing	£102.44	£100.73	£1.71	2%
Maintenance	£37.94	£40.99	-£3.05	-7%
ROC/profit	£153.80	£39.99	£113.81	285%
	£550.78	£449.51	£101.27	23%

Nursing General	Provider Y	RQ	Diff	% diff
Staffing	£315.67	£323.30	-£7.63	-2%
Non-staffing	£102.44	£100.73	£1.71	2%
Maintenance	£37.94	£40.99	-£3.05	-7%
ROC/profit	£158.52	£57.71	£100.81	175%
	£614.57	£522.73	£91.84	18%

Nursing EMI	Provider Y	RQ	Diff	% diff
Staffing	£346.77	£368.01	-£21.24	-6%
Non-staffing	£102.44	£100.73	£1.71	2%
Maintenance	£37.94	£40.99	-£3.05	-7%
ROC/profit	£161.01	£57.71	£103.30	179%
	£648.15	£567.43	£80.72	14%

- Staffing: in three of the four categories staffing costs (and indeed all direct costs) in the Provider Y model are slightly less than modelled by RedQuadrant. There appears no clear reason why staffing costs should be greater in the residential model
- ROC: whilst the case law is clear that ROC is a legitimate part of the cost of care calculation the expected ROC of £113 per unit per week is equivalent to 13% of land/build costs is way in excess of what is reasonable (particularly when combined with expectations of operator profit) and is even greater than the 12% in the Laing and Buisson model
- Profit an 8% profit on top of a 13% ROC is not defensible: we would argue that profit should not be considered when ascertaining the costs of care

Having considered carefully the representations from providers and in particular the

need to maintain market stability with a reasonable cost for care the revised position is that 0.82% inflation will be applied in 2015/16, 2016/17 and 2017/18. Hence, the proposed fee structure is:

Older People: Based on the above the following rates would apply over the three years. Current and previous rates are included for comparison:

Type of placement	2013/14	2014/15	2015/16	2016/17	2017/18
Older People Residential	£363.71	£376.08	£379.16	£382.27	£385.45
Older People EMI	£434.71	£443.40	£447.04	£450.71	£454.85
Older People Nursing	£393.98	£401.86	£405.16	£408.48	£411.88
Older People Nursing EMI	£453.09	£462.15	£465.94	£469.76	£473.67
Older People CHC	NA	NA	£586.38	£591.20	£596.13

Other client groups: For mental health and learning disability residential placements we propose moving to an approach where a standard base fee is set as above but recognising that additional package costs may need to be negotiated.

For adults under 65 with mental health problems requiring residential care we propose a base rate of £419.56 for 2015/16, rising to £423.00 in 2016/17 and £426.52 in 2017/18

For adults with learning disabilities requiring residential care we propose a base rate as follows;

No of beds	2015/16	2016/17	2017/18
6	£461.53	£465.32	£469.20
8	£440.11	£443.72	£447.42
10	£495.65	£499.72	£503.88
12	£418.68	£422.12	£425.64
14	£412.56	£415.95	£419.42
15	£410.12	£413.48	£416.93
16	£407.98	£411.32	£414.75
18	£404.41	£407.73	£411.12
20	£401.55	£404.84	£408.22

For adults with physical disabilities there are very few homes in the Borough. Thus we propose that individual fees be agreed with each home.

The consultants also recommend that due regard and consideration should be considered where individual homes think the fees recommended are not adequate. However, these should be assessed on the basis of an 'open book' exercise. This recommendation should be accepted.

Finally, if having taken into account all of the information available, the Executive Board considered that the recommendation would not result in being able to meet the care needs of the supported residents; the Executive Board could decide to set fees at a higher level.

Whilst the financial implications of any decision and affordability in the context of the budgetary constraints faced by the Council, are legitimate factors to be taken into account, they must not be the sole reason and would not justify the Council knowingly setting its 'usual costs' below the level necessary to meet assessed care needs. However, the work undertaken by RedQuadrant provides a firm and solid background for decision making.

4.0 POLICY IMPLICATIONS

4.1 The Department of Health Guidance and subsequent case law make clear of the setting of care home fees must be evidential and follow a credible process. The work as set out in this report conforms to these criteria.

5.0 OTHER/FINANCIAL IMPLICATIONS

5.1 The proposed fee structure is deliverable within the Council's finances.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 Children & Young People in Halton

None Identified.

6.2 Employment, Learning & Skills in Halton

A sustainable care home market supports local employment.

6.3 A Healthy Halton

High quality residential and nursing care is essential for the health and well-being of the local population.

6.4 A Safer Halton

None identified.

6.5 Halton's Urban Renewal

None identified.

7.0 RISK ANALYSIS

7.1 The proposed fee structure may pose risk to some homes with regard to their sustainability. However, the Directorate will consider individual requests for additional fees, but only if these are accompanied by an 'open book' process.

8.0 EQUALITY AND DIVERSITY ISSUES

8.1 The setting of reasonable and sustainable care home fees will result in a consistent quality of care for older people in Halton.

9.0 REASON(S) FOR DECISION

9.1 The setting of care home fees supports delivery of the priorities of the Council, Halton Clinical Commissioning Group and the Health and Well-Being Board.

10.0 ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

10.1 None identified.

11.0 IMPLEMENTATION DATE

11.1 1st April 2015.

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

Document	Place of Inspection	Contact Officer
Residential and Nursing Home Fee Consultation and Analysis for Halton Borough Council: consultation with providers plus responses from providers	Runcorn Town Hall	Paul McWade
Provider X response	Runcorn Town Hall	Paul McWade
Provider Y response	Runcorn Town Hall	Paul McWade

REPORT TO: Executive Board
DATE: 26 March 2015
REPORTING OFFICER: Strategic Director, Communities
PORTFOLIO: Health & Wellbeing
SUBJECT: Adult Social Care Contracts
WARD(S) Borough-wide

1.0 PURPOSE OF THE REPORT

1.1 To seek approval from Executive Board to extend the current services provided by external providers in the voluntary sector for a one year period to from 1st April 2015 to 31st March 2016, and which requires a waiver to Procurement Standing Orders.

2.0 RECOMMENDATION: That Executive Board

- 1) **agree to use Procurement Standing Orders 1.8.3 (e) and (f) to waive Procurement Standing Order 4.1 in respect of the current MIND, and Healthwatch contracts;**
- 2) **agree to use Procurement Standing Orders 1.8.3 (f) to waive Procurement Standing Order Part 3 in respect of the current Halton Carers Centre contract; and**
- 3) **agree to an extension of the existing contracts listed in Appendix 1 for a period of up to 1 year from 1st April 2015 to 31st March 2016.**

3.0 SUPPORTING INFORMATION

3.1 The authority currently has contracts in place that are due to expire on the 31st March 2015 with the following services;

- MIND; A day service for individuals with mental health issues that is jointly funded with NHS Halton CCG.
- Halton Carers Centre; A universal service providing a wide range of information, support and advice for both adult and young carers that is jointly funded with NHS Halton CCG.
- Halton Healthwatch; A service to provide an independent local voice for all aspects of adult and children's health and social care within Halton.

3.2 In anticipation of the implementation of the Care Act in April 2015, during 2014/15 the local authority has been working with these service providers with a view to achieving; service specification re-design based on the achievement of outcomes, better quality and value for money, and improved integration within an evolving system of integrated health and social care services

3.3 Negotiations with each of the service providers are currently at various stages. The conclusion of these negotiations will result in revised, outcome focused service specifications being put into place by July 2015.

4.0 **BUSINESS CASE FOR EXTENSION OF CONTRACTS**

4.1 **Value for money**

Value for money will continue to be assured through regular contract monitoring by the commissioner and Quality Assurance Team

4.2 **Transparency**

Contracts will be recorded in the Council's Contract Register accessible via the internet together with the publication of all spend in excess of £500.00.

4.3 **Propriety and Scrutiny**

The extension of the contracts referred to in this report will be compliant with Halton Borough Council's Procurement Standing Orders. Compliance with anti-corruption practices will be adhered to and any of the contracts within the subject of this report will be terminated if there is any occurrence of corruption by any organisations or their staff.

4.4 **Accountability**

The contracts will be performance managed and service standards monitored by commissioners and the contracts team.

5.0 **POLICY IMPLICATIONS**

5.1 Section 3 of the Care Act places a duty on local authorities to promote integration with health provision where it would; promote the well-being of adults with needs & carers in its area; or contribute to the prevention of the development of needs in adults / carers; or improve the quality of care for adults / carers, provided.

5.2 Care Act guidance also encourages local authorities to move to outcomes based commissioning. Instead of simply commissioning 'units of provision to meet a specified need (eg hours of care provided)' they should move towards specifying outcomes for the individual which 'emphasise prevention, enablement, ways of reducing social isolation and the promotion of independence. The draft guidance cautions however that this move should not have the

result of disadvantaging or excluding 'smaller, specialist, voluntary sector and community-based providers.

6.0 FINANCIAL IMPLICATIONS

6.1 The total financial cost to the authority of the contracts listed in Appendix 1 is £298,881. A further £378,943 is provided to support the joint commissioning of these services by NHS Halton CCG.

6.2 The cost of the recommended extension to contracts can be met within existing budget allocations.

7.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

7.1 Children & Young People in Halton

Healthwatch Halton provides services across all age groups including children and young people.

7.2 Employment, Learning & Skills in Halton

Voluntary sector organisations rely significantly on volunteer time to deliver services. The organisations provide training and placement opportunities for volunteers, increasing their skills and employability.

7.3 A Healthy Halton

All of the services listed make an important contribution to improving the health of people in Halton.

7.4 A Safer Halton

Healthwatch Halton's role is to act as a voice for local residents regarding the quality of local health and social care services. The safeguarding of local residents in the care of health and social services is a high priority for Healthwatch Halton.

7.5 Halton's Urban Renewal

None

8.0 RISK ANALYSIS

8.1 With the new EU Regulations 2015, these services as Part B will come under the new Light touch regime, and there will be a low risk of challenge.

8.2 The Quality Assurance Team will monitor the grants and ensure the Council and Halton residents receive value for money.

9.0 **EQUALITY AND DIVERSITY ISSUES**

9.1 None identified

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

None.

Appendix 1

Service	Budget 2014/15	Funding source
MIND (Mental Health Day Services)	£57,890	HBC Base budget, £37,890 NHS Halton CCG £20,000
Halton Carers Centre	£456,160	HBC Base Budget, £97,217 NHS Halton CCG, £358,943
Halton Healthwatch	£134,715	HBC Base Budget

REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director, Communities

PORTFOLIO: Health & Wellbeing

SUBJECT: Care Act Implementation

WARD(S): Borough-wide

1.0 PURPOSE OF REPORT

1.1 To present the following two amended policies which have significantly changed due to the implementation of the Care Act:

1. Assessment & Eligibility – Adult Social Care Services
2. Carer's Assessment & Eligibility – Adult Social Care Services

1.2 To outline the recommendations in relation to charging for carers and prevention services.

2.0 RECOMMENDED: That Executive Board

- 1) agrees the two amended policies;**
- 2) agrees the recommendation not to charge for carers from April 1st 2015, and to review this decision in 12 months; and**
- 3) agrees the recommendation not to charge for prevention services in Halton.**

3.0 SUPPORTING INFORMATION

3.1 On April 1st the following aspects of the Care Act will come into force:

- Halton will have a duty to provide prevention, information and advice services;
- There will be a national minimum threshold for eligibility for both adults and Carers;
- Carers will be entitled to an assessment, support services and review equal to that of any adult service user;
- Those who pay for their own care (self-funders) will have the right to an assessment, advice and support planning;
- There will be a universal system of Deferred Payments for residential care

3.2 Prevention

The Care Act states that all Local Authorities will have a duty to provide prevention, information and advice services. In Halton we have a well-established base of prevention services that have been

developed over the past five years. As part of the Care Act implementation this area has been reviewed and it is clear that the Halton approach meets the requirements of the Care Act. However, there are also two areas that have been identified as needing to be strengthened:

1. Information provision- An information model is currently being completed via a group of members of the public supported by Halton Borough Council staff. This model will deliver an improved level of support for people who are seeking information in the borough.
2. Advocacy – an advocacy hub is being developed that will operate to support all types of advocacy from specialist high end to low-level support.

Within the Care Act there is a provision for LAs to charge for Prevention Service. However, in view of the description above of the well-established services and the expectation of any charging levied against these services, it is recommended that these services remain non-chargeable.

3.3 Adults & Carers Assessment and Eligibility

The Care Act creates a single consistent route to establishing an entitlement to social care and support for all adults and Carers who have needs for care and support. A number of changes have been made to the assessment, support plan and review procedures to meet the new eligibility standard and these have resulted in changes to procedures and documentation, presented here as two new policies. These explain how the new assessment and eligibility processes will work for adults and Carers in Halton.

3.4 Safeguarding

The Act sets out the council's responsibility for adult safeguarding, including responding to safeguarding enquiries, setting up a Safeguarding Adults Board, undertaking safeguarding reviews and sharing information relating to safeguarding issues amongst its key partners. Halton is currently meeting all of these duties, but is also carrying out two important areas of development. These are: a detailed strategic plan on behalf of the Safeguarding Adults Board and the 2014-15 Safeguarding Annual Report. The report will detail Halton's Safeguarding duties under the Act and how these have been met.

3.5 Carers

The Care Act allows local authorities to charge Carers for care and support. However, the vast majority of councils choose not to charge. Halton has also decided not to do so, but will review the situation after 6 months. This is because there is a strong risk that charging Carers may impact adversely upon their willingness to continue with their

caring role. Halton will reappraise the situation, pending more accurate data on the actual number of Carers who will be requiring an assessment, rather than relying on estimates from the Lincolnshire model.

4.0 POLICY IMPLICATIONS

4.1 The following amended policies are attached for agreement:

- Care Act Assessment and Eligibility
(attached)
- Carers' Assessments and Eligibility
(attached)

The three policies listed below are all new policies and are in the process of being finalised. They will be submitted to Executive Board in June 2015.

- Provider Service Closure 1 - Market Oversight and Management
- Provider Service Closure 2 – Managing a Planned Service Closure
- 4.2** • Provider Service Closure 3 – Managing an Unplanned Service Closure

The following policies will require only minor changes in order to reference the Care Act and are awaiting future agreement on Halton's new charging levels for 2015-16. Halton's Care Arranging Process is currently under development and only a part of it relates directly to the Care Act. Finally there will be a raft of Mental Health policies that will require minor changes which will amount to little more than referencing aspects of the Care Act. All of these are currently under development.

- Fairer Charging for Residential Services
- Fairer Charging for Non-Residential Services
- Personal Budgets / Direct Payments
- Deferred Payment
- The Care Arranging Process
- Mental Health Policies (11)

5.0 FINANCIAL IMPLICATIONS

5.1 The Lincolnshire Model developed by Lincolnshire County Council attempts to estimate the additional cost to a particular local Authority, as a result of the implementation of the Care Act. In particular, it focuses on the effects of: the increase in assessment uptake as a result of the new statutory responsibilities to Carers; effects of an increase in Deferred Payments and the extra legal costs in to the council in the administration of this; Additional assessment activity from new individuals and self-funders; the loss of any existing service user income and any increase in Asset Thresholds. One interesting

feature of the model is that the impact of the Act on Halton reduces over time. The model is an estimating exercise and the assumptions on which it is based will change over time as the impact of the Act progresses post April 1st. Because of this any estimates from the model will change over time. For this reason its parameters are updated regularly and a separate version produced. The model has been accepted by ADASS and the LGA as the best approach to monitor the effects of the Act's implementation within the NW.

The data emerging from the most recent application of the Lincolnshire model (14/01/15) makes it clear that additional staff will be required in order to cope with the expected increase in carers and self-funders and totally new individuals seeking assessments and information about services. As a result a number of posts have been agreed in Halton. This equates to 10.6 FTE posts for a total of £346,224. The effects of the proposed changes in staffing levels have been incorporated into budgets for 2015/16.

The total budget that has been allocated to Halton Borough Council for implementing the Care Act is £1,135,000.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

The Care Act is the most significant policy change that the Local Authority has faced in a generation. The implementation and the ongoing review of changes is vital to deliver the main themes of the Act, whilst still maintaining focus on the Council's priorities.

6.1 Children & Young People in Halton

There are no implications for this priority.

6.2 Employment, Learning & Skills in Halton

The Act has a central role for carers and puts them on a par with any other adult in providing them with an assessment, whether or not they are funding their own care. Their wellbeing is viewed as crucial in enabling them to carry out their caring role. This concept of wellbeing is defined to enable them to:

- Connect with others
- Remain active
- Take notice of available opportunities
- Learn
- Give (the caring role)

Hence, the expected increase in Carers will also result in a significant increase in access to learning, employment and skills in Halton.

6.3 A Healthy Halton

The Care Act will have a significant impact on Healthy Halton due to its emphasis on Prevention and Wellbeing as a means of reducing the

early slide into long-term care in either a care home or hospital. Instead, people are cared for in their own home as long as possible.

6.4 A Safer Halton

None identified.

6.5 Halton's Urban Renewal

None identified.

7.0 RISK ANALYSIS

7.1 The Council's current budget model (Lincolnshire model) for the Care Act implementation predicts that there will be a significant increase in:

- The number of carers who will require an assessment – the model implies a doubling;
- The number of individuals who are funding their own care is expected to increase almost five-fold;
- New individuals coming forward for assessment as a result of media information about the Act over February – March 2015;
- If increases in staff levels are not approved Halton is unlikely to be able to meet its statutory obligations under the Care Act for the year 2015/16.

8.0 EQUALITY & DIVERSITY ISSUES

8.1 There are no Equality and Diversity implications arising as a result of the proposed action.

9.0 REASON(S) FOR DECISION

The Care Act is a statutory requirement of all Local Authorities. The policies submitted with this report are the most significant in terms of Adult Social Care.

10.0 ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

No other options were considered as this is a statutory requirement and therefore the policies have to be amended in line with the Act.

11.0 IMPLEMENTATION DATE

1st April 2015

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

None under the meaning of the Act.



Assessment and Eligibility

Adult Social Care Services

Policy

April 2015 - 2017

DRAFT

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INFORMATION SHEET

Service area	Adult Services
Date effective from	01/April 2015
Responsible officer(s)	DM Care Management Policy Officer P&P Communities
Date of review(s)	01/April 2017
Status: <ul style="list-style-type: none"> • Mandatory (all named staff must adhere to guidance) <ul style="list-style-type: none"> • Optional (procedures and practice can vary between teams) 	Mandatory
Target audience	All Adult Services Staff
Date of committee/SMT decision	xx/March 2015
Related document(s)	Care Management Manual 2014
Equality Impact Assessment Completed	March 2015
Safeguarding Audit Tool	March 2015
Superseded document(s)	FACS Policy May 2014
File reference	ASS/GGC/APR/2015

POLICY**Practice****1.0 Introduction**

1.1 The Care Act 2014 (the Act) sets out in one place local authorities' duties relating to the assessment of people's needs and their eligibility for publicly funded care and support.

1.2 Prior to the implementation of the Act, if people had different entitlements for different types of care and support, these were spread across a number of Acts of Parliament, some of which were over 60 years old. The law on entitlement was confusing, complex and it was sometimes difficult to understand what an adult was entitled to in particular cases. Anomalies and claims of a post-code lottery where entitlement varied (often significantly) from LA to LA resulted. What was required was a process that would establish not only an entitlement to public care and support for all adults with needs, but also and on a similar basis, an entitlement to support for their carers.

1.3 The Act which became law in May 2014 attempts to develop such an equitable approach – a national standard, capable of helping people to access care and support relevant to their needs.

Care Act 2014

1.4 The new approach sets out the steps that must be followed to work out a person's entitlement and to help them understand the process. It follows their journey through the 'care and support' system. This begins with an assessment of their needs and a decision about whether their needs are 'eligible.' LAs have the power to meet both eligible needs, and a duty to arrange care and support for those with eligible needs. After the support plan has been agreed a financial assessment is carried out which looks at the value of the person's assets (not their house). This will determine whether people will need to pay for their care and how much they are expected to contribute. After the process of financial assessment is completed, a decision can then be made about whether the person is entitled to care and support arranged by Halton as their local authority. The overarching principle is that if people have to make a contribution to their social care, they will be required to pay only what they can afford.

1.5 The result is a new legal duty for the council to meet an

adult's 'eligible needs.' These eligible needs are those that are determined after assessment. Meeting such needs could vary from supplying information, arranging a care provider on the person's behalf, or making a direct payment to the person so they can arrange their care themselves. It does not mean that the local authority will always fund the care and support.

1.6 An adult (aged 18+) will be entitled to have their needs met when:

- Their needs are 'eligible';
- They are ordinarily resident in the Halton area (i.e. their established home is there);
- Any one of the following five situations apply:
 - There is no charge for the type and care they need;
 - The person cannot afford to pay the full cost of their care and support;
 - The person asks the local authority to meet their needs;
 - The person lacks mental capacity and has no one else to arrange care for them;
 - Once the cap on care costs comes into force and the individual's care and support costs have exceeded the cap.

1.7 Depending upon a person's financial resources, the local authority may ask an individual to contribute towards the cost of their care (up to and including the full amount). However, in cases where the costs of care would reduce an individual's income below a set level, the LA will pay some of the costs to make sure the individual retains a manageable minimum level of income. This ensures they will receive the care they need in cases where they have only modest resources.

1.8 Any adult living in the borough can ask Halton Borough Council, regardless of their finances, to arrange their care and support for them. This ensures that people who are uncertain about the system or lack confidence to arrange their care do not go without. However, they will still need to pay for their care and support if they have adequate financial resources to do so.

2.0 Definitions

- 2.1 Assessment: This is how the local authority decides whether a person needs care and support to help them live their day-to-day lives. The assessment is carried out by a trained assessor (often a social worker) and the aim is to get a full picture of the person and what needs they may have. Assessment must be appropriate and proportionate. It must consider the needs of the family. Assessors must have the appropriate training.
- 2.2 Eligible Need: Local authorities have a duty to carry out a needs assessment to determine whether a person requires care and support. Determining eligible needs is important to work out whether the person is entitled to care and support provided by the authority. The local authority will also give people advice and information about what support is available in the community to help them. This is an important means of assistance for those who have care needs that are not considered eligible.
- 2.3 Funding Cap: Currently there is no cap on costs for those with modest wealth. These individuals can lose their home in order to pay for their care and support. The government is committed to protecting individuals from catastrophic care costs if they have the most serious needs. When the Care Bill is introduced in April 2016, the cap will be £72,000. New financial help will also be provided to ensure that those with the least money will get the most support. Currently only those with less than £23,250 in assets (such as savings or property) and low incomes receive help from the state with residential care costs. Post 2016 changes will mean that people with around £118,000 (equivalent to £123,000 by April 2017) worth of assets or less will receive financial support. The amount they receive toward care home costs will depend upon what assets they have.
- 2.4 Care and Support Planning: This is a process which seeks to establish a consensus about the best way to meet a person's needs. It considers a number of different things such as: what needs the person has and what they want to achieve; what they can do by themselves or with the support they already have; what types of care and support might be available to them. The local authority must do everything it reasonably can to reach agreement with the person on how best their needs should be met. It must produce a plan that sets out in detail what was agreed. As part of this planning process they will tell the person about their personal budget.
- 2.5 Personal Budget: This is the amount of money that the local authority has worked out it will cost to arrange the necessary care and support for a particular individual. It includes any amount that the LA will contribute toward such costs (this could range from all to none). Having a personal budget helps the person decide how much control they want to have over arranging their own care and support. Using the information from their personal budget, the person can ask the LA for a direct payment.
- 2.6 Direct payment: This is payment of money from the local authority to either the person needing care and support or to someone else acting legally on their behalf.

This money is to pay for the cost of arranging all or part of their own support. The LA could make a direct payment instead of arranging or providing any service itself, if the person asks them to do so. This flexibility gives the person autonomy over their own care.

- 2.7 Deferred Payment Agreements: This existing scheme will be made more widely available from April 2015. People who own their own home will be able to make an arrangement so they do not have to sell their home, during their lifetime, to pay for care home costs. Instead the LA will pay the costs and recover the money the person owes plus interest at a later date.
- 2.8 Continuity of Care: Continuity means ensuring that when a person receiving care and support in one area of England moves home to another, they will continue to receive care on the day of their arrival in the new area. This means that there will be no gap in care and support when people choose to move home. Also, when a local authority is requested to assess a child (including a young carer) who is receiving support under legislation relating to children's services, the care Bill requires them to continue with this support through the assessment process. This will continue through transition until adult care and support is in place to take over, or until an assessment suggests adult care and support does not need to be provided.
- 2.9 Market Shaping: This enables local authorities to develop the kinds of services that are best for their local community. When buying and arranging services LAs must consider how they might affect an individual's wellbeing. They need to think about whether their approaches to buying and arranging services can undermine the wellbeing of the people receiving those services. For example arranging home visits which are inappropriately short.
- 2.10 Advocacy: In the context of the social care assessment advocacy means supporting the person to understand information, express their needs and wishes, secure their rights, represent their interests and obtain the care and support they need. The requirement to provide independent advocacy applies equally to individuals requiring care or support and to carers with support needs.

3.0 National Context

- 3.1 This wider context of personalisation beyond those with highest need, places a strong emphasis on prevention, early intervention and support for carers. In practice, this enabled councils to make adjustments to ensure a seamless approach between their personalisation programmes and how they determine eligibility for social care.
- 3.2 The concepts of prevention and early intervention can be extended beyond adult social services to include: adapted housing smart technology and equipment, improved health care and joint working, greater benefits take-up and community support that can help delay or avoid the need for care completely. The 2008 document *'Carers at the heart of 21st century families and communities: a caring system on your side, a life of your own'*, views carers as fundamental to strong families and stable communities. The aim of support is two-fold: enabling carers to balance their caring responsibilities with their life outside caring; while at the same time enabling the person they are supporting to have full and equal citizenship. Carers 2008 also says that children and young people should be protected from inappropriate caring and have the support they require to learn, develop and thrive , while achieving all five outcomes of 'Every Child matters', 2003. This requires the support of adult and children's services.
- 3.3 These themes from 'Putting People First' and the 'Carers Strategy' also run through the 'Care and Support' Green Paper (Shaping the future of care together, 2009). This sets out long-term proposals to tackle the challenges of rising demand and expectation facing the present system. Its aim is to ensure that: care is high quality and cost effective, people have choice and control over the care and support they receive, the funding system is sustainable and affordable for individuals and the state.
- 3.4 To achieve these goals effectively councils need to have a strong focus on the overall wellbeing of their communities and recognise that people should be helped in a way that can prevent, reduce or delay their need for social care support. There is a growing body of evidence that interventions can prevent or delay people entering the social care system and therefore produce better outcomes for individuals at a lower overall cost.

- 3.5 The review document, 'Cutting the Cake Fairly...' (2008) made several recommendations for making eligibility criteria more equitable and effective. Based on these the DH issued separate guidance on eligibility – Prioritising need in the context of 'Putting People First': A whole system approach to eligibility for social care (2010). This guidance was aimed to support fairer, more transparent and consistent implementation of the eligibility criteria. Outcome priorities included greater choice and control, better access to public services and information, empowerment of people and their carers using services at local level and the definition of 'User Satisfaction' as the measure of success.
- 3.6 This Care Act 2014 guidance underpins the current responsibilities local authorities have for identifying priorities and allocating their resources accordingly. In doing so, they need to ensure that those individuals who do not meet the eligibility threshold are adequately signposted to alternative sources of support such as: luncheon clubs, befriending, volunteering, SureStart to Later Life... (*Prioritising need in the context of putting people first, Place-Shaping and promotion of well-being through universal services, p 13-14, 2010*). Such universal services improve outcomes for the wider population and can help some individuals avoid or delay having to rely on health or social care services for support. The overall theme is to promote wellbeing.
- 3.7 A LA such as Halton can promote a person's wellbeing in different ways. Exactly how this happens will depend on the circumstances, including the person's needs, goals and wishes and how these impact on their wellbeing. There is no set approach and each case will be considered on its own merits, consider what the person wants to achieve and how the action which the LA is taking will affect the wellbeing of the person.
- 3.8 The Act signifies a shift in focus from existing duties to provide particular services, to the concept of 'meeting needs.' This is the core legal entitlement for adults to care and support and establishes one clear and consistent set of duties and power for all adults who need care and support. This is set out in sections 8, 18, 19 and 20 of the Act.
- 3.9 The concept of '*meeting needs*' recognises that everyone's needs are different and personal to them. This means that LAs must meet these specific needs rather than merely considering which service they will fit into.

4.0 Local Policy

4.1 This policy sets out how decisions will be made around individual need and how through discussion with the person or their representative, appropriate outcomes can be selected to match need and help to promote wellbeing.

4.2 Principles and Standards: Halton's approach will:

- Be non-discriminatory;
- Be applied equally across **all** adult service user groups including adult carers;
- Lead to equitable, transparent and consistent decision making within available resources;
- Be based on the needs of and risks to, individuals with particular reference to the seriousness of any consequences to independence;
- Be clear about the importance of prevention that will trigger a service and the level that will trigger redirection and / or information and advice;
- Enable the authority to balance demand for services with available budget;
- Be written in a way that is easily understood by staff, service users and carers and available in different formats.

4.2. Adults (including carers) with needs for care and support, have the right to an assessment of their needs and a discussion around the outcomes they wish to achieve. If the LA charges for a certain type of support, an adult will have a financial assessment to determine what financial support they may receive.

4.4 Those individuals with eligible needs who choose to arrange their own care and support, will receive an Independent Personal Budget, as well as information and guidance for meeting their needs.

4.5 **Prevention** -This is often split into three different approaches: **Prevent need occurring** (Primary prevention or promoting wellbeing); **Reduce current need** (secondary prevention or early intervention); **Delay deterioration** among those with complex health conditions (tertiary prevention, minimising the effect of disability or progressive decline). It is important that prevention is seen as an ongoing process and not a single activity or intervention. Even at the end of life prevention services could include pre-

bereavement support.

4.5.1 **1. Prevent:** *Primary prevention & promoting wellbeing*

4.5.1.1 These services, facilities or resources are for adults who have no immediate health and care needs and are generally universal (available to all). The aim is to help a person to avoid the need for care and support or a Carer to avoid developing support needs. Some example services would include:

- Providing universal access to good quality information;
- Safer neighbourhoods;
- Promote healthy active lifestyles (exercise classes);
- Reduce social isolation through befriending schemes and community activities
- Encourage discussions in families or groups around future planning should a family member become ill or disabled

4.5.1.2 Additional support on offer at this level generally involves providing or directing them (signposting) to some form of support available either locally or nationally. Local examples are:

- Support from the local community through organisations and neighbourhood schemes;
- Benefits advice to make people more aware of what benefits are available and how to access them;
- Hot meals deliver to a person's home
- Telecare monitors and alarms to help people feel safe and supported all the time;
- Provide support and advice for carers;
- Sheltered accommodation with a support worker providing help to manage the property, budget and maximise the person's independence;
- Lifestyle related including social activities, improving diet, levels of exercise and wellbeing.

4.5.2 **2. Reduce:** *Secondary prevention or early intervention*

4.5.2.1 The aim of the provision of targeted services is to slow down or reduce any further deterioration and prevent other needs from developing. Such individuals may need only a little extra help to get on with their everyday life and avoid a crisis. This can involve helping them at home to recover from a bout of illness to prevent their conditioning from worsening. This form of help is preventative and aimed at reducing the need for a hospital admission. Prevention can also involve Reablement to help people recover at home

after a period of hospitalisation.

4.5.2.2 Support is provided when there is some risk to a person's independence, either currently or in the near future. This may be:

- Planned support to equip or adapt a person's home;
- Housing related to enable a person to manage their property, budget and their entitlement to benefits;
- A small grant to fix a short-term problem that would keep a person healthy, safe and well at home;
- Care management will work closely with housing and other partners to expand the support available for people to adapt their home or make positive choices over their housing options.
- Support for carers
- Support to help people to volunteer or access paid employment or training;
- Intermediate Care and Reablement
- Extra care housing with appropriate levels of care and support available on site

4.5.2.3 Support is given when there are significant risks to a person's independence and safety. This support is to reduce the likelihood of a hospital admission or increase in severity of the condition.

- Provide a community care package after a period of Reablement has been completed;
- Personal budgets;
- Support for carers;
- Focus on community support including maximum use of telecare equipment;
- Intermediate care crisis response services (RARS);
- Short breaks for the person with support needs and their carer.

4.5.3 3. **Delay:** *Tertiary prevention, minimising decline*

4.5.3.1 Support is given when there are immediate risks to a person's safety and independence. This support could include:

- End of Life care to enable the person to die with dignity in the place of their choice;
- Enhanced residential or nursing care;
- Short stay crisis housing services such as refuge from domestic violence.

4.5.3.2 This form of prevention supports people to regain skills and manage or reduce need where possible. It could include the rehabilitation of people who are severely sight impaired. Halton will provide or arrange services, resources or

facilities that maximise independence for those already with such needs (community equipment services, rehabilitation/ Reablement, adaptations and joint case management for those with complex needs.

4.5.3.3 Another important aspect of tertiary prevention is improving the life of Carers by enabling them to have a life of their own alongside their caring role. This could involve respite care, peer support groups like dementia cafes, emotional support and stress management classes. The latter provide opportunities for shared learning and coping tips from other Carers. The aim being to help the Carer to cope with the stress associated with the role and help them develop an awareness of their own physical and mental health needs.

4.5.3.4 Examples of services, facilities and resources that could contribute to preventing, reducing or delaying the needs of Carers could include the following which help Carers to:

- Care effectively and safely
- Look after their own physical and mental health, wellbeing and coping mechanisms
- Making use of adaptations, equipment, IT and assistive technology
- Making choices for themselves – managing care and paid employment
- Locating local support and services
- Accessing the information and support they need. This could include welfare benefits, financial information and making use of their entitlement to a Carers assessment.

PROCEDURE

Practice

5.0 Principles of Assessment

Appendix 1 outlines the assessment and eligibility process. this stresses the importance of ensuring that at each stage of the process the following need to be borne in mind:

- mental capacity
- advocacy and participation support
- impact on person's family and their carer(s)
- safeguarding
- approach based on the individual's strengths
- ensuring the assessment is appropriate/ proportional

5.0.1 Individual procedural steps are described below

5.1. Mental capacity

The council has a duty under the mental capacity act 2005 to ensure that individuals who may lack capacity either to ask for or contribute to a needs assessment are fully supported and that the process is person-centred and compliant with the act. From the start of the process the LA must give the person as much information as possible about the steps involved in the assessment and about the different ways in which they can engage that might be relevant to the person. If at any point during the assessment process there is reason to think the individual involved may lack capacity.

5.2 Advocacy and participation support

5.2.1 This step covers what the authority must consider to ensure the individual is fully involved in the needs and carer's assessment and facilitate the person's involvement (when appropriate). The LA must ensure that:

- The person is able to be involved as far as possible/ support the person to be involved where appropriate;
- Consider reasonable adjustments under the equality act;
- Consider whether the person would have 'substantial difficulty' being involved in the assessment;
- Provide access to independent advocacy (see definition on p.7) for those who have substantial difficulty and have no appropriate individual who can support their involvement;

Always assume a person has capacity unless it is shown they lack capacity. A person is not to be treated as unable to make a decision unless all practicable steps to help them to do so have been taken.

Link to Care Act Guidance:
Sections 6.11; 6.32

Link to the Care Act:
Section 9(5); Section 13

- Seek to establish the total extent of needs through the assessment, before considering the person's eligibility for care and support.

5.2.2 The local authority must be confident at all times that the person involved in the assessment is fully supported to be at the centre of the process. From the point of first contact the la will need to consider whether the person requiring care or support or their carer have 'substantial difficulty' in being involved in the assessment. This is based on the capacity test:

- Ability to understand relevant information;
- Retaining information;
- Using or weighing the information as part of engagement
- Ability to communicate wishes or feelings.

5.2.3 An individual who has difficulty with any of these will require assistance. If the la determines there is no one available or capable of representing the individual (a carer family member or friend) it must appoint an independent advocate to provide support and representation. It must also consider any needs for such advocacy the person's carer may have and ensure such needs are met.

5.2.4 An appropriate individual must be able to support the person's active involvement with the local authority processes. Individuals unlikely to fulfil this role would include:

- A family member living at a distance and who has only occasional contact with the person;
- A partner (husband, wife) who also finds it difficult to understand the la processes;
- A friend or family member who expresses strong opinions of their own before finding out those of the person concerned;
- A housebound individual.

5.2.5 A person would be excluded from the role if they have been implicated in any enquiry of abuse or neglect or have been judged by a safeguarding adults review (SAR) to have failed to prevent abuse or neglect.

5.3 Impact on the family and Carers (whole family approach).

- The LA must have regard for the needs of the family of the adult receiving the assessment.
- Consider the impact of the person's need for care and support on family members or other appropriate people. To achieve this, individuals who are part of the person's wider network of care and support will

need to be identified.

- Consider in terms of the impact of the person's needs on those around them, whether or not the provision of any information and advice would benefit those individuals identified. This could be signposting to any local support services.

5.3.1 Throughout the assessment process the assessor must take into account the impact of the adult's needs on the whole family network and identify those adults and children who are providing care. This may require the identification of other adults in need of care and support, who are part of the support network. For example, the assessor may find that an adult has a carer who in turn has parenting and caring responsibilities in addition to the adult with care needs. Such a situation would constitute an 'appearance of need' and the assessor should then offer both a carer's assessment and an assessment for the elderly relative in addition to the assessment of the adult with care and support needs.

5.3.2 In considering the impact on the wellbeing of carers and others in the adults support network and how the assessor can help the following are important:

- Where Carers or others are identified as being affected by their caring role, the assessor must consider whether the provision of information or signposting to relevant services or a Carer's assessment, would be of benefit;
- Where a child is identified as being involved in the provision of care, the needs of the child must be considered, the impact of their role as carer on their wellbeing and whether it is inappropriate for them to be in this role. Inappropriate tasks could include: lifting and handling; personal care (bathing and toilet needs), handling cash transactions, looking after the family budget and providing emotional support. For example it may be necessary to refer the child or young person for a young carer's assessment under the Children Act 1989.
- Any decisions made should include the young people's views.

5.4. Safeguarding

5.4.1 Where necessary the safeguarding process should run in parallel to the assessment process and is not subject to any eligibility considerations. This ensures the LA can address safeguarding concerns effectively without disrupting the assessment process and meet its duty to meet eligible needs. The safeguarding duties apply to an adult who: has

needs for care and support (whether or not the LA is meeting those needs); is experiencing or is at risk of abuse or neglect and as a result of their needs cannot protect themselves from such abuse or neglect.

- 5.4.2 The objectives of an enquiry into abuse and neglect are to:
- Establish facts
 - Ascertain the adult's views and wishes
 - Assess the needs of the adult for protection, support and redress and how they can be met;
 - Protect the adult from abuse and neglect according to their wishes;
 - Decide on what follow-up action needs to be taken to achieve resolution and recovery;
 - LAs must cooperate with their relevant partners and those must cooperate with the authority in all functions relevant to the Care Act including those to protect adults;

Section 6 (7) of the Care Act.

- 5.4.3 Conducting a safeguarding enquiry and any action which needs to be taken as a result, is entirely independent of the person's eligibility.

5.5 Strengths-based approach

- 5.5.1 This considers the individual's strengths and capability as well as any support which may be available as a result of their wider network and in their community. It is important to consider whether such networks have the capacity to continue to meet the adult's needs on a regular basis. What is important here is this helps to ensure the assessment is person-centred and focuses on individual and wider network strengths, rather than on their condition. The central feature is how the support network and wider community can contribute towards meeting the outcomes the person wants to achieve.

- 5.5.2 The strengths-based approach values the capacity, skills and knowledge of an individual and their immediate family/carer network, as well as the existing connections to the person's community. This is not about imposing more on Carers! In some cases a person's eligible needs may be met through support from their own networks or the wider community and the local authority retains responsibility for ensuring that eligible needs are met and will review the situation if the person's circumstance changes.

- 5.5.3 The strengths-based approach creates a full picture of the person's current and past situation. This focuses on the problems the person is experiencing (deficit-based) and their

history (likes, dislikes, hobbies, occupation, social network...) to produce a picture of their skills and abilities (strength based). Through subsequent discussion, the assessor and the person may identify potential sources of support not previously mentioned. This form of confidence building helps upskilling and independence and contributes overall to their wellbeing.

5.6 *Ensuring assessment is both proportionate and appropriate.*

5.6.1 The assessment has to be appropriate to support the person's involvement. Hence it must be as extensive as required to support the person's needs, will be person-centred and will be based on their individual circumstances.

5.6.2 Proportionate and appropriate are concepts that must be applied to all assessments and are not in themselves a form of care assessment.

5.6.3 The local authority must:

- seek to establish the total extent of needs through the assessment before considering the person's eligibility for care and support;
- consider whether the individual's needs impact upon their wellbeing in any way, including those areas of wellbeing that the person hasn't identified, and must establish the impact of this on the adult's desired outcomes;
- carry out an assessment in a manner which is appropriate and proportionate to the needs and circumstances of the individual to whom it relates and ensure it has regard to the:
 - Wishes and preferences of the individual to whom it relates;
 - Outcome the individual seeks from the assessment;
 - Severity and overall extent of the individual's needs.

5.6.4 The assessment process must have the needs of the person at its centre. That means the process must be suitable to the individual's capacity and capabilities, and any difficulties they may face in communication. The process must be proportionate to the extent and severity of the person's needs, which will have been identified at the stage of initial information gathering and subsequent contact.

5.6.5 Needs and carer's assessments must be carried out appropriately and proportionately – this may be applied in a

range of ways. To ensure the method of assessment is **appropriate** local authorities must take into account the ability and situation of the individual being assessed; establish how much they want to be involved in the assessment and meet that wish as far as is possible. Formats of assessment include but are not limited to:

- face-to-face assessment between the person and an assessor;
- supported self-assessment, where the person leads on the completion of the assessment material and the local authority assures itself that it is an accurate reflection of the person's needs;
- online or phone assessment;
- Joint assessment, where relevant agencies work together to avoid the person undergoing multiple assessments;
- Combined assessment, where an adult's assessment is combined with a carer's assessment and/or an assessment relating to a child. It is, of course, important to recognise that where there is a young carer, their assessment will be conducted by children's services by an appropriately qualified assessor;
 - If both the adult with support needs and the carer have substantial difficulty in being involved in the assessment process, and do not have an appropriate individual to support them, an independent advocate must be arranged;
 - The local authority may be carrying out assessments of two people in the same household. If both people agree to have the same advocate, and if the local authority consider there is no conflict of interest between the individuals or either of the individuals and the advocate, then the same advocate may support and represent the two people.

- 5.6.6 For the assessment to be **proportionate** this will involve:
- Both hearing and understanding the initial presenting problem;
 - Not taking this at 'face value'; and
 - Ensuring any underlying needs are also explored and understood.

- 5.6.7 To address proportionality the assessor will be required to take into account that needs may differ in their breadth and depth, meaning it may be necessary to:
- explore underlying needs
 - consider that an individual or carer may have needs

only in relation to some aspects of their lives

- consider that individuals with a clear understanding of their own needs may require less intensive assessment than someone who is approaching the local authority for the first time and does not know what care or support they require.

5.6.8 These considerations will ensure the extent of the assessment is proportionate, is not overly burdensome and recognises both the individual's and their carer's own knowledge and capacity.

5.7 Duties Around Initial Information-Gathering

5.7.1 This step provides an overview of the responsibilities of the local authority from first contact with a person who appears to have a need for care and support. The first contact sees the local authority providing as much information as possible on the assessment process and where possible taking action to prevent or delay the need for care and support.

5.7.2 First contact is important, particularly as it may be the only contact some people will have with their local authority.

5.7.3 **Core duties** - The local authority must:

- Seek to establish the total extent of needs through the assessment before considering the person's eligibility for care and support;
- Ensure that staff are appropriately trained to carry out an assessment, be able to identify a person who may lack capacity and be able to steer people seeking support to appropriate information and advice;
- Undertake proportionate and appropriate assessments of any adult or carer with an appearance of need, irrespective of any presumptions of the eligibility of the person's needs or financial situation;
- Give the person, from their first contact with the local authority, as much information as possible about the assessment process, in a format that is accessible to the person.

5.7.4 Information gathered at first contact at this stage might usefully establish the basic facts about:

- Whether the person has the capacity to understand and articulate their own needs;
- Whether the person has difficulty communicating their needs (e.g. due to autism or profound and multiple learning disabilities, mental health needs or

Appendix 2 shows Halton's Referral and Signposting process from the point of the initial contact. Contact is made by a call to the Contact Centre and a triage form completed (Initial Assessment and Screening – **Appendix 3**). Once completed this can be referred in two directions:

1. The person can be signposted and the details of when and where recorded on the form. After a period of 4 weeks a reminder is triggered to Halton Direct Link (HDL). An HDL advisor will then telephone the person and complete a Signposting Follow-up Review (**Appendix 4**). As a result of this, further signposting may be required or no further action taken if the person has met their outcome.

2. They can be directed to the Initial Assessment Team (IAT). Here they will have an assessment and/ or be signposted to an appropriate service. As above a signposting review will be carried out by an HDL Advisor after 4 weeks.

First contact acts as a form of triage which can direct people to information about available services of interest to them, or to IAT where they can arrange to have a comprehensive assessment of their needs. The Mental Health Wellbeing Form (Appendix 5) gives an initial

dementia) (see Appendix 5, Mental Health Wellbeing Form);

- Whether the person faces any safeguarding issues;
- The person, their needs, expected outcomes in day-to-day life and the overall impact of the current circumstances on their wellbeing.

picture of how relaxed, optimistic and useful the person feels. It also allows the person to self-assess their ability to deal with problems, think clearly, consider their feelings of closeness to others and whether they can make a decision about things.

5.7.5 The local authority could also consider whether the person has an immediate network of support and how this network contributes to the individual achieving their desired outcomes.

5.7.6 It is important for the local authority to consider that many of the people who qualify for independent advocacy under the Care Act may also qualify for a mental capacity advocate (MCA). The same advocate can therefore provide support as an advocate under the Care Act and the Mental Capacity Act. This ensures that the person receives seamless advocacy support and also avoids them having to repeat their stories for support under different legislation to different advocates.

5.8 Identifying An Urgent need

5.8.1 This step enables an urgent need to be identified quickly for those who require immediate care and support. The local authority can then act on such a need without the necessity for assessment or eligibility checks.

See Appendix 1. Clearly such an urgent need would have a significant effect on wellbeing.

5.8.2 The Care Act 2014 provides the local authority with the power to meet urgent need without undertaking an assessment or making a determination of eligibility, regardless of the person's ordinary residence.

5.8.3 There will be instances where it is obvious that immediate action is required, and in such cases it is likely that the assessment will be paused to be resumed later so a fuller assessment can be conducted.

5.8.4 Circumstances under which needs could be classified as urgent include, for example:

- people who are terminally ill
- rapid deterioration in an adult's condition
- the occurrence of an accident
- a specific issue such as a stroke
- evidence of a safeguarding issue
- unsafe living quarters.

5.8.5 This applies equally to adults with care and support needs and to carers with support needs.

5.9 Meet urgent care need

5.9.1 The local authority can act on such a need without the need for assessment or eligibility determination. Having established that the individual faces an urgent need, the local authority can and should choose to provide support without first conducting an assessment or eligibility determination.

5.9.2 Under these circumstances the local authority should meet the identified urgent care needs immediately. It should also inform the individual that a more detailed needs assessment, an eligibility determination, establishment of ordinary residence and a financial assessment will follow the intervention.

5.9.3 This applies equally to adults with care and support needs and to carers with support needs.

5.10 Duties Around Signposting and Prevention

5.10.1 Following the provision of initial information to the individual on the assessment process, this step provides an overview of the requirements for the local authority to conduct initial information-gathering and assessing the appearance of needs. This builds on the provision of initial information provided at first contact (initial information-gathering and signposting) and may run concurrently, particularly in cases where there is no urgent need identified.

5.10.2 This also provides a narrative on the importance of the provision of advice and guidance to all who seek support from the local authority, irrespective of any existing care or determination of eligibility. This step also provides the first opportunity for the local authority to prevent or delay the development of needs for care and support which remains an important consideration throughout the process.

5.10.3 *Core duties* -The local authority must:

- seek to establish the total extent of needs through the assessment before considering the individual's eligibility for care and support;
- consider whether the individual's needs impact upon their wellbeing in any way, including those areas of wellbeing that the person hasn't identified, and establish the impact of this on the adult's desired outcomes;
- consider how the adult, their support network and the

wider community can contribute towards meeting the outcomes the individual wants to achieve;

- ensure that the individual is able to be involved as far as possible, for example by providing an interpreter where they have a particular condition affecting communication – such as autism or deafblindness;
- offer an assessment where an individual previously refused an assessment and the local authority establishes that the adult's or carer's needs or circumstances have changed, unless the person continues to refuse;
- ensure the assessor is appropriately trained and has the right skills, knowledge and competence to carry out the assessment in question, whichever method is used;
- ensure that support is available to the assessor where the assessment relates to a specific condition or circumstances requiring expert insight (e.g. autism, learning disabilities, mental health needs or dementia).

5.10.4 This is a two stage process involving:

- a. offer information and advice/refer to preventative services;
- b. proceed to the next step or pause the assessment process.

5.10.5 The objective is to ensure the individual receives a personalised approach to assessment. Staff must be appropriately trained to be able to carry out an assessment, and should have access to professional support to assist in the identification of more complex needs or underlying conditions.

5.10.6 If the initial information gathered suggests that the person would benefit from targeted interventions or preventative services, the local authority can pause the assessment, while the person receives such services. When resumed, the assessment can focus on the remaining needs that have not been met by the intervention. If the local authority pauses the assessment, it should inform the person that they are doing so.

5.10.7 When the local authority provides information, it must be in an accessible format to support the individual's involvement in the process. A further and important part of this and every subsequent stage of the assessment process is the prevention, delay or reduction in the escalation of care and support needs. This will involve the local authority providing or arranging services that either:

- help keep people well and independent;
- aim to reduce needs and help people regain skills.

5.10.8 It is important to note that prevention may be considered at different levels and may be utilised at any appropriate point in the assessment process:

- Primary prevention/promoting wellbeing (e.g. by supporting access to universal services);
- Secondary prevention/early intervention (e.g. targeted support to provide a few hours of support to a Carer, or adaptations at home to reduce the likelihood of falls);
- Tertiary prevention /intermediate care and reablement (e.g. support to regain specific skills or provide support to improve a carer's life).

5.10.9 This is an important step in ensuring the assessment is centred on the needs of the person and is appropriate and proportionate to the individual's circumstances. Establishing the correct initial information as well as enabling people to access preventative services will also save time and costs later.

5.10.10 Following the completion of the initial information-gathering and provision, the local authority will be in a position to decide which format of assessment may be appropriate to the person's needs, circumstances and preferences or, if the process should stop or be paused, to test the effect of preventative services or other interventions as appropriate.

5.10.11 Relevant protection is built into the process to ensure adults do not exit the assessment process too early, and suitable preventative interventions are put in place.

5.10.12 The actions for the local authority in terms of the decision about appropriateness and proportionality are:

- If yes, the local authority should progress the assessment, including establishing if any carer might benefit from assessment as well.
- If no, If the local authority decides not to proceed with assessment it should consider:
 - Pause: the local authority should consider if there is a need to pause the assessment process to establish the benefit of identified preventative interventions and the extent to which these prevent the adult's needs from progressing. Making use of the opportunity to pause the assessment enables the appropriate point to be reached at which the assessment can be

continued appropriately;

- Prevention: if a full needs or carer's assessment is not taken forward the local authority must ensure appropriate steps are taken to prevent, delay or reduce the escalation of care and support needs. Whatever level of prevention is implemented it is important that this is reviewed and the person returns to the assessment process if and when appropriate;
- Signposting: the local authority must not let the person exit the assessment process without offering information and advice on coping with their condition or referring them to preventative services or to organisations in the community who can provide relevant support. The local authority must provide the person with information and advice on how to reduce or meet their needs and how to prevent, reduce or delay the development of needs.

5.11 Adult Or Carer with care and support needs

- 5.11.1 Often the immediate focus might be on the adult who requires care and support, however, the needs of any carer the individual has may require a separate assessment.
- 5.11.2 This step describes the process of identifying the person's needs and in particular whether it is just the individual who has care needs or if there are additional support needs for their carer caused by their responsibilities.
- 5.11.3 This requires the local assessor to consider how these impact on the individual's wellbeing and to explore who else might be affected by the person's situation.
- 5.11.4 Core duties - The local authority must:
- seek to establish the total extent of needs through the assessment before considering the person's eligibility for care and support;
 - consider whether the individual's needs impact upon their wellbeing in any way, including those areas of wellbeing that the person hasn't identified and establish the impact of this on the adult's desired outcomes.
- 5.11.5 The assessment must seek to establish a complete picture of the individual's needs, what outcomes they want to achieve in their day-to-day life and what impact this has on

their wellbeing. In the case of a needs assessment of an adult with care and support needs, the assessment must discount the care currently provided by any carer to ensure that a full picture of the overall needs is established. It is important to understand what impact the provision of care may have on any carer's wellbeing.

5.11.6 If the information provided indicates that the carer might have needs for support due to their caring responsibilities, then the local authority must offer to undertake a carer's assessment for that individual.

5.12 Refusal of assessment

5.12.1 There is no absolute requirement for an individual – either a person with care needs or a Carer with support needs – to have a needs or carers assessment. If an individual refuses an assessment, the local authority is not required to undertake one. People may choose not to have an assessment if they do not feel they need care or do not want local authority support.

5.12.2 However, if the local authority believes that the person either lacks capacity or is at risk of abuse and neglect, then it is required to carry out an assessment regardless of the person's refusal.

N.B.

Local authorities must assess a person who previously refused an assessment, but has changed their mind.

5.13 Duty To Assess Carers

5.13.1 The authority must provide an assessment for any carer who appears to have any level of need for support.

5.13.2 *Core duties* - The local authority must:

- offer an assessment to any carer with an appearance of need for support;
- ensure the carer is involved in their assessment along with anyone else they might want involved;
- seek to establish the total extent of needs through the assessment before considering the person's eligibility for support;
- establish whether the carer is willing and able to continue to provide care;
- establish whether the carer has substantial difficulty in being involved in the assessment process and, if there is no appropriate person to support them, appoint an independent advocate.

Carers Assessment & Eligibility Policy, HBC, April 2015 - 17

- 5.13.2 The local authority must ensure that any carer who may have support needs is offered a carer's assessment. This must happen irrespective of any future determination of eligibility and is important in establishing the fullest picture of the carer's needs and, importantly, the sustainability of the current arrangements.
- 5.13.3 The carer's assessment must seek to establish:
- the carer's needs for support
 - the practical and emotional sustainability of the caring role
 - the willingness and ability of the carer to continue to provide this support.
- 5.13.4 It must also consider:
- the impact of their support needs on their wellbeing;
 - the outcomes the carer desires from daily life;
 - the impact of their caring responsibilities on their ability to work, access education, training or recreation;
 - whether support could help achieve these outcomes;
 - whether the adult, their support network and the wider community can contribute towards meeting the outcomes the person wants to achieve;
 - whether the carer would benefit from preventative support or information and advice.
- 5.13.5 The outcome of the carer's assessment will provide an understanding of the sustainability of the carer's input in the short, medium and long term. The general principles of assessment still govern a carer's assessment. For instance, the format of assessment must be appropriate to the carer's circumstances.

5.14 Needs and carers assessment

- 5.14.1 This step outlines the various approaches to conducting a needs or carer's assessment. It also considers the requirement for the local authority to ensure that any assessment is appropriate and proportionate to the needs and circumstances of the individual and remains so for the duration of the assessment process.
- 5.14.2 Core duties - The local authority must:
- seek to establish the total extent of needs through the assessment before considering the person's eligibility for care and support
 - consider whether the individual's needs impact upon their wellbeing in any way, including those areas of wellbeing that the person hasn't identified, and must establish the impact of this on the adult's desired outcomes
 - consider how the adult, their support network and the wider community can contribute towards meeting the outcomes the person wants to achieve
 - ensure that the person is able to be involved as far as possible, for example by providing an interpreter where a person has a particular condition affecting communication – such as autism or deafblind, or an independent advocate in cases of substantial difficulty
 - ensure that where the assessor does not have the necessary knowledge of a particular condition or circumstance, they must consult someone who has relevant expertise
 - carry out an assessment in a manner which is appropriate and proportionate to the needs and the circumstances of the individual to whom it relates, and ensure that the individual is able to participate in the process as effectively as possible.
- 5.14.3 Having determined the type of assessment, the local authority must identify the person's needs and how these impact on their wellbeing, and the outcomes that the person wishes to achieve in their day-to-day life.
- 5.14.4 The principle of proportionality means that an assessment goes as far as is necessary to establish a complete picture of the person's needs. The principle of appropriateness means that an assessment must be carried out in a manner that has regard to the person's wishes, preferences and outcomes, the complexity of the person's needs and any potential fluctuations of those needs.

- 5.14.5 Additional support may need to be provided (e.g. understanding may be aided through the provision of accessible information or independent advocacy).
- 5.14.6 Assessments can be undertaken via telephone or online, provided that the local authority has made sure it has fulfilled its duties in relation to the assessment and the need for safeguarding, independent advocacy and assessing mental capacity.
- 5.14.7 The local authority must ensure the assessment is person-centred, which may include provision of support in circumstances where there are capacity issues or specific difficulties in communication.
- 5.14.8 What constitutes an appropriate and proportionate assessment needs to be kept under constant review throughout the assessment and eligibility process to ensure the process fits the person's overall needs.
- 5.14.9 The SCIE Care Act hub provides practice examples of good practice in ensuring assessment is proportionate and appropriate. This is at: <http://www.scie.org.uk/care-act-2014/>.
- 5.14.10 In considering the specific assessment to be applied, the following checklist is a guide to choose which format to use:
- Where can the assessment take place?
 - Who will conduct the assessment?
 - Are there any specific communication needs to be addressed?
 - When will the assessment take place?
 - What is the mental capacity of the adult with care needs?
 - Who has been consulted?
 - Who will be involved?
- 5.14.11 During assessment it is important to ensure the process remains person-centred, the impact of preventative services is considered in maintaining or improving the individual's wellbeing and the outcomes that the person sets for themselves are considered at all times.
- 5.14.12 It is also important to establish the needs of any carers in the process as an ongoing part of the assessment of an individual's needs and the impact these have on those around them.
- 5.14.13 Depending on the answers to these questions, any of the following forms of assessment may be deemed appropriate. They do not constitute an exhaustive list.

5.15 Types of Assessment

- 5.15.1 Face-to-face assessment - A face-to-face assessment is conducted between the person requiring care and support and an assessor, whose qualification and job title may vary depending on the circumstances, and who must always be appropriately trained, with the right skills and knowledge to conduct the relevant assessment. There may be other circumstances in which the local authority should ensure that the assessor has access to relevant expert knowledge.
- 5.15.2 Supported self-assessment - A supported self-assessment is where the same assessment materials are used as in a face-to-face assessment, but the person requiring care and support completes the assessment on their own and leads the assessment process, with appropriate help from a carer or advocate. The local authority must assure itself that the assessment is an accurate reflection of the person's needs (e.g. by consulting with other relevant professionals and people who know the person).
- 5.15.3 Online or phone assessment - An online or telephone assessment may be an appropriate way of carrying out an assessment if, for example, the person who needs care and support has less complex needs, or is already known to the local authority and it is carrying out an assessment following a change in the person's needs or circumstances.
- 5.15.4 Joint assessment - A joint assessment, where relevant agencies work together to avoid the person undergoing multiple assessments (including assessments in a prison, where local authorities may need to put particular emphasis on cross-agency cooperation and sharing of expertise) is a good way to fit around the needs of an individual. Doing joint assessments with more than one agency or local authority requires good practice in sharing information and working together to ensure needs are accounted for and provided for in a coordinated way.
- 5.15.4.1 This should include transition assessments to reflect the changes in circumstances and desired outcomes on a young person's transition to adult care and support – which applies equally for people in need of care and young carers, which should be conducted as joint assessments.
- 5.15.5 Combined assessment - A combined assessment is when an adult's assessment is combined with a carer's assessment and/or an assessment relating to a child so that interrelated needs are properly captured and the process is as efficient as possible. If either of the individuals to be

assessed disagrees with the proposal to combine assessments, the assessments must be carried out separately.

5.16 *Needs, outcomes and impact on wellbeing*

5.16.1 The step provides a summary of the individual's care needs, their desired personal outcomes and the impact of their condition and circumstances on their wellbeing.

5.16.2 Core duties - The local authority must:

- Seek to establish the total extent of needs through the assessment before considering the person's eligibility for care and support
- Consider whether the individual's needs impact upon their wellbeing in any way, including those areas of wellbeing that the person hasn't identified, and establish the impact of this on the adult's desired outcomes
- Consider how the adult, their support network and the wider community can contribute towards meeting the outcomes the person wants to achieve.

5.16.3 The assessment must provide sufficient information for the assessor to be able to establish what the person's needs are and how they impact on the person's wellbeing, what outcomes they are seeking to achieve in their day-to-day life, and how care and support, or in the case of a Carer, support, can contribute to the achievement of those outcomes. In order to make an eligibility determination, the assessor ought also to establish how the person's desired outcomes fit with the specified outcomes in the eligibility criteria.

5.16.4 Following the assessment the individual must be given a written record of their needs or carer's assessment. If the person asks the local authority to share the record with anyone, the local authority must do so. If an independent advocate has been involved in the process, the local authority should also inform them of the outcome of the assessment in order for the advocate to help the person understand the implications of the assessment.

5.16.5 As a minimum this must record:

- the adult's care needs – including any supporting information from any combined or joint assessment;
- the carer's support needs – including any support information from any combined or joint assessment;
- the individual's outcomes – which in this context refer to the outcomes set by the person for themselves and

- not those associated with the eligibility determination;
- the impact on the individual's wellbeing of their care needs;
- any care being provided by a carer (this should still be recorded for the care planning process, if the person has eligible needs).

5.17 Consider if needs are likely to fluctuate

- 5.17.1 This step considers the action required by the local authority to identify those needs of an adult with care and support needs which may not be apparent at the time of the assessment but which have been an issue in the past and which are likely to arise again in the future.
- 5.17.2 Core duties - The local authority must:
- Seek to establish the total extent of needs through the assessment before considering the person's eligibility for care and support;
 - Consider whether the individual's needs impact upon their wellbeing in any way, including those areas of wellbeing that the person hasn't identified, and establish the impact of this on the adult's desired outcomes;
 - Consider whether the individual's current level of need is likely to fluctuate and what their ongoing needs for care and support are likely to be.
- 5.17.3 The local authority must consider the needs of an individual over an appropriate period of time to understand the full implications of their condition.
- 5.17.4 The point at which the local authority assesses the individual's needs may not be a true reflection of their condition over time. Where a condition is likely to present fluctuating need – which may mean that the individual is coping with a condition in which they have good and bad days, or parts of a day, or are well for weeks or months at a time – the local authority must assess the impact of this in order to reach the right eligibility decision and build a care and support plan that is suitable to the person's real needs.
- 5.17.4 The local authority should also consider that needs may not fluctuate because of a condition but may fluctuate because of changing circumstances such as changes in employment or education, or the transition to adult services, which may be the case for young carers entering adulthood. Carers' needs might fluctuate, for example because of school holidays or changes in employment.

- 5.17.5 This requires the local authority to consider the person's care and support history over a period of time which captures the fluctuating need the person or their representative reports, in terms of frequency and degree of fluctuation. It is vital to ensure that the impact of these varying needs on any carer is also considered as part of a carer's assessment.
- 5.17.6 If the individual's needs are likely to fluctuate, the local authority must make an accurate record of fluctuating needs to ensure they are effectively factored into the person's care plan, assuming their needs are eligible for support.
- 5.17.7 This could be done – for example – by the provision of flexible services resulting in a more responsive care plan that can save time if/when the person with care and support needs comes back into the system.
- 5.17.8 The local authority must also consider the impact the fluctuation in the adult's needs may have on their Carers.
- 5.17.9 The SCIE Care Act hub provides practice examples of good practice associated with fluctuating need and can be found at: <http://www.scie.org.uk/care-act-2014/>
- 5.18 *Meeting The National Eligibility Threshold*
- 5.18.1 This section considers the local authority's duty to establish eligibility in relation to the minimum threshold set out in regulations for adults and carers. The use of the word 'eligible' here refers only to the needs of adults with care needs and carers with support needs, not to their financial resources or other circumstances.
- 5.18.2 Core duties - The local authority must:
- Determine whether the individual has eligible needs as described in the national eligibility criteria;
 - Establish whether there are needs which the local authority must ensure are met – everyone will receive a written record of that decision, whether their needs are eligible or not;
 - In cases where the adult with care needs or their carer does have eligible needs – establish the adult's ordinary residence and carry out a financial assessment, as well as considering what support, in whatever form, could be provided to meet those needs;
 - Meet the minimum level of needs as prescribed in the regulations, however, local authorities can also decide to arrange services to meet needs at a lower

level.

5.18.3 The minimum threshold for eligibility has been set to ensure that all local authorities meet the same minimum level of needs. This does not mean that local authorities cannot choose to meet needs that fall below this threshold, but that they must provide for needs that meet the following three conditions:

- The needs arise from or are related to a physical or mental impairment or illness
- As a result of those needs the adult is unable to achieve two or more of the specified outcomes:
 - a. managing and maintaining nutrition
 - b. maintaining personal hygiene
 - c. managing toilet needs
 - d. being appropriately clothed
 - e. being able to make use of the home safely
 - f. maintaining a habitable home environment
 - g. developing and maintaining family or other personal relationships
 - h. accessing and engaging in work, training, education or volunteering
 - i. making use of necessary facilities or services in the local community, including public transport and recreational facilities or services
 - j. carrying out any caring responsibilities the adult has for a child

As a consequence of being unable to achieve these outcomes there is, or there is likely to be, a significant impact on the adult's wellbeing.

5.18.4 For an adult's needs to be considered eligible for support by the local authority they must meet all three criteria.

5.18.5 An adult is to be regarded as being unable to achieve an outcome if they:

- a. Are unable to achieve it without assistance
- b. Are able to achieve it without assistance but doing so causes the adult significant pain, distress or anxiety
- c. Are able to achieve it without assistance but doing so endangers or is likely to endanger the health or safety of the adult, or of others
- d. Are able to achieve it without assistance but take significantly longer than would normally be expected.

5.18.6 Similarly, a carer's needs are eligible where they meet three conditions:

1. The needs arise as a consequence of providing necessary care for an adult
2. The effect of the needs is that any of the

For further information on Carer's assessment and eligibility see: Carers Assessment and Eligibility, Adult Social Care Services, HBC, April 2015-16

circumstances specified in the Care and Support (Eligibility) Regulations 2014 apply to the carer, namely:

3.
 - a. The carer's physical or mental health is, or is at risk of, deteriorating
 - b. the carer is unable to achieve any of the following outcomes:
 - i. Carrying out any caring responsibilities the carer has for a child
 - ii. Providing care to other persons for whom the carer provides care
 - iii. Maintaining a habitable home environment in the carer's home, whether or not this is also the home of the adult needing care
 - iv. Managing and maintaining nutrition
 - v. Developing and maintaining family or other personal relationships
 - vi. Engaging in work, training, education or volunteering
 - vii. Making use of necessary facilities or services in the local community, including recreational facilities or services
 - viii. Engaging in recreational activities.

4. As a consequence of that fact there is, or there is likely to be, a significant impact on the carer's wellbeing.

5.18.7 For a carer's needs to be considered eligible for support by the local authority they must meet all three criteria.

5.18.8 The Care Act guidance provides examples of how these outcomes could be interpreted or be relevant in a given situation of these eligibility criteria.

5.18.9 Following the outcome of the eligibility determination the local authority must provide the person to whom the determination refers with a copy of the decision. If the needs have been deemed not eligible, the local authority has to explain how they have reached this decision.

5.19 If Needs Are Not Eligible

5.19.1 This step details the requirements on the local authority to provide information to adults who are determined as ineligible for support and care as well as providing preventative services.

5.19.2 *Core duties* - The local authority must:

- Establish and maintain a service for providing people in its area with information and advice relating to care

and support for adults and support for carers

- Ensure appropriate steps are taken to prevent, delay or reduce the escalation of care and support needs.

5.19.3 If, following completion of the assessment, the local authority deems that a person's needs are not eligible, it must provide information and advice on:

- Meeting or reducing the needs e.g.:
- The choice of types of care and support, and the choice of providers available in the community for the adult or their carer
- How to access the care and support that is available
- Planning for future care and support needs
- How to access independent financial advice on matters relevant to the meeting of needs for care and support.
- Any package of information provided to the adult or carer should be tailored to reflect the needs of the individual, to prevent future needs and delay deterioration. This will ensure people are helped to access local services, which may be provided by the local authority or by another organisation.

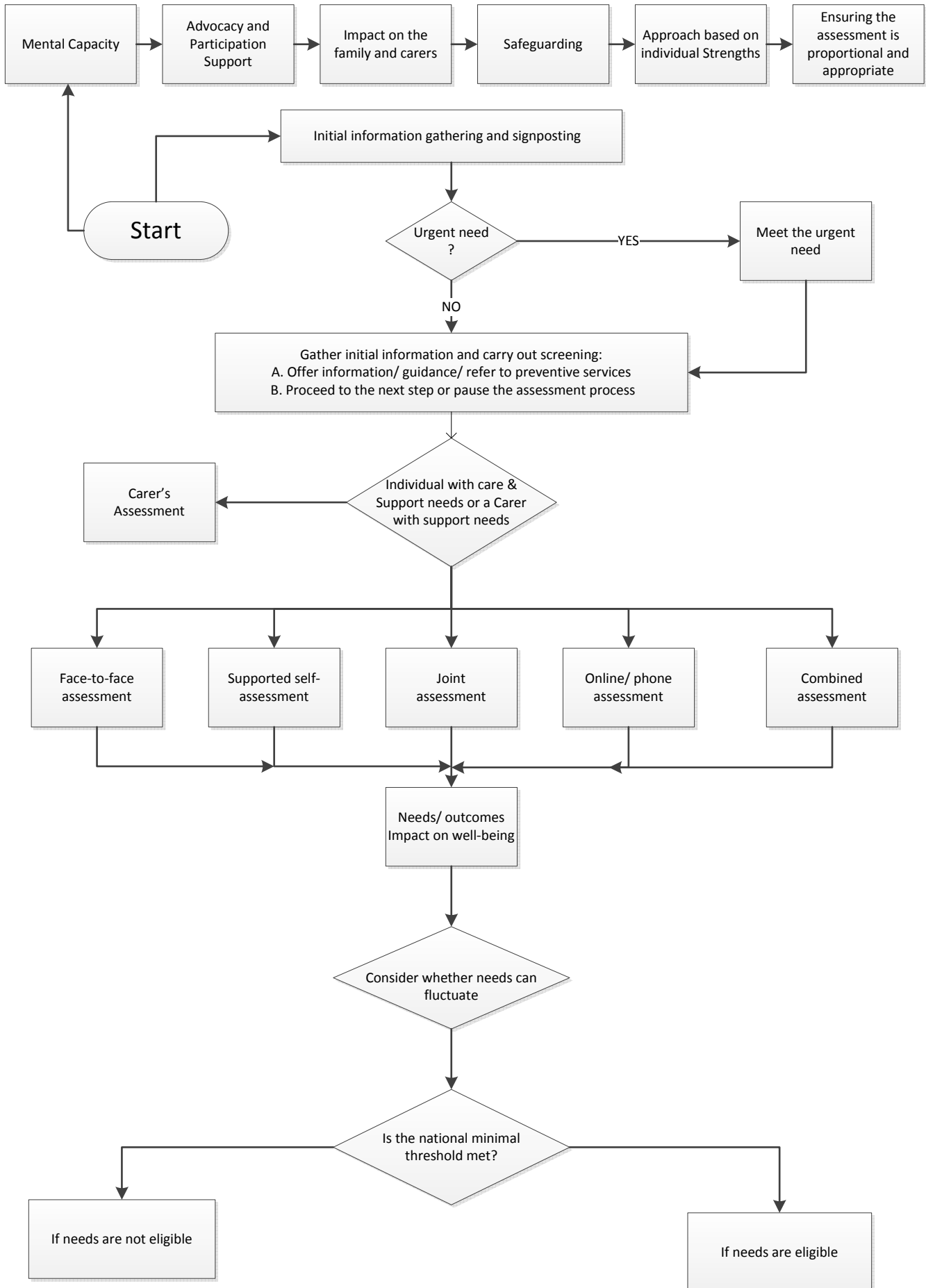
5.19.4 The local authority must also take action to prevent or delay the development of needs, considered at different levels:

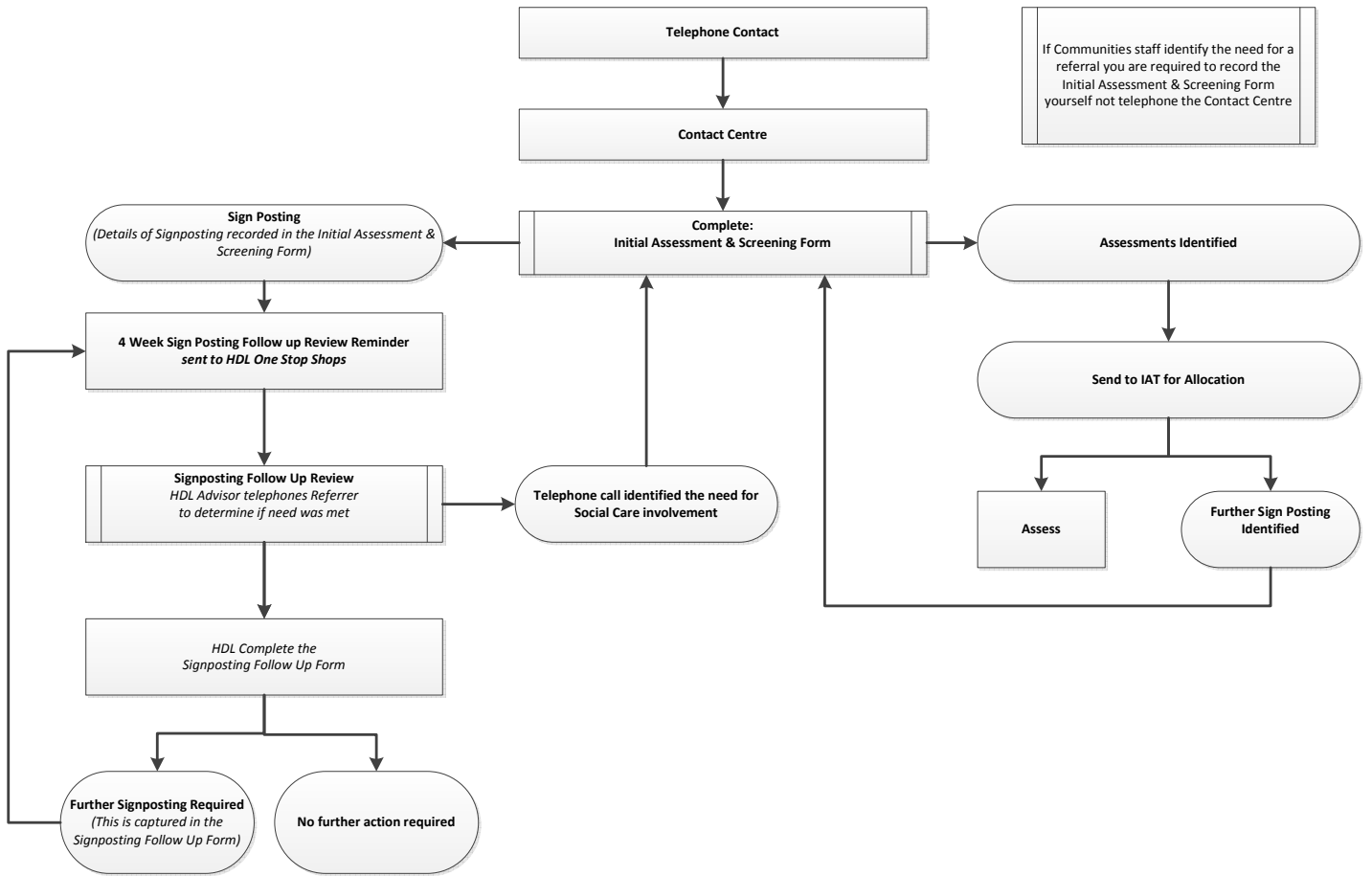
- primary prevention/promoting wellbeing (e.g. by supporting access to universal services);
- secondary prevention/early intervention (e.g. targeted support to provide a few hours of support to a Carer, or adaptations at home to reduce the likelihood of falls);
- tertiary prevention/intermediate care and reablement (e.g. support to regain specific skills or provide support to improve a carer's life).

5.19.5 The process of assessment ends for people with needs that have been deemed ineligible.

5.19.6 The local authority should maintain a record of the person's need to be able to provide support in the future if their circumstances change.

Consider these at every stage





Initial Assessment Screening Form

Worker Name		Assessment Date	
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Person Details

Name		CareFirst ID	
DOB		Gender	
Address		Tel No	

NHS Number			
Ethnicity			
Religion			
Name and Address of Doctor			
Marital Status			
Civil Partnership		Separated	
Married		Single	
Divorced		Widow/Widower	
Partnered			
Accommodation Type			
Tenure Type			
Household Composition			
Do you have any communication needs?			
Not applicable		Needs Interpreter	
B.S.L. Signer		Other Sign Language	
Makaton Signer		Specialised Equipment Required (specify)	
How would you like to be contacted (add actual number / email)			
Day time phone number		Emergency Phone Number	
Email		Minicom	
Fax		Mobile Phone Number	
Home Phone Number		Work Phone number	
Letter		Other (please specify)	
Next of Kin (<i>Name and Address</i>)			
Is Next of Kin a Keyholder?			

Emergency Contacts (<i>Name and Address</i>)
Main Carer (Name and Address)
Is Main Carer a Keyholder?
Other Professional Relationships e.g Health contacts (district nurse / community psychiatric nurse, consultant)
Current Services the individual is receiving

Referral Details				
Please enter date of request for support				
Time of Request				
Is the Client Aware of this Referral	Yes		No	
Have you had a discussion with the client	Yes		No	
What does the client want from the referral?				
Route of Access (Tick)				
Planned Entry (Transition) – Clients moving from children’s social care to adults services				
Discharge from Hospital -- Clients being referred following a planned or emergency hospital admission				
Diversion from Hospital --Clients referred in order to prevent hospital admissions. For example, falls prevention and falls response services				
Community / Other route -- Requests from clients or on their behalf based in the community, residential/nursing care or any other route of access				
Contact Method				
Event		Home Visit		
Internal Correspondence		Letter / External Correspondence		
Personal Caller		Secure Email		
Telephone		Web Entry		
Contacted By – Caller information (Name / Organisation & telephone number)				
Referral Topic				
Referral Presenting Issue				
Referral Notes				

Assessments Required				
What is the impact on the whole family?				
THE FOLLOWING QUESTIONS ARE MANDATORY				
Are there any Safeguarding Concerns?	Yes		No	
Does this person require an assessment of their self-care? (SAQ)	Yes		No	
If yes, which team would you send to for allocation				
Is an Outcome Focused Review required?	Yes		No	
If yes, which team would you send to for allocation				
Is a Carers Assessment Required?	Yes		No	
If yes, which team would you send to for allocation				
Is an online Carers Self-Assessment Required?	Yes		No	
Is a Visual Impairment Assessment Required?	Yes		No	
If yes, which team would you send to for allocation				
Is a Mental Capacity Assessment required?	Yes		No	
If yes, which team would you send to for allocation				
Is a Deprivation of Liberty Safeguards (DoLS) required?	Yes		No	
If yes, which team would you send to for allocation				
Is an Accessible Homes Service Assessment Required?	Yes		No	
Is an Equipment Assessment required? (SAMME)	Yes		No	
If yes, which team would you send to for allocation				
Is a Deafness Resource Assessment required?	Yes		No	
Is a Learning Disability Nurse Assessment required?	Yes		No	
Does this person require a Meals on Wheels Assessment?	Yes		No	
If yes, which team would you send to for allocation				
Is a referral to Universal Services Required?				
Carers Centre		Community Bridge Building		
Independent Advocacy		Sure Start to Later Life		
Welfare Rights		Young Carers Referral		
Is a referral required to the GP?				
Wheelchair Assessment		Physio		
Walking Aids				
Is a referral required to the Health Improvement Team Required?				
Weight Management		Smoking		
Substance Support		Alcohol Support		
Breastfeeding Support Group		Exercise Programme		
Falls		Weight Management		
Record details of signposting				
Is a Signposting Review Follow Up required by HDL?	Yes		No	

Follow-Up Review Form (in CF6)

Worker Name		Assessment Date	
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Personal Information			
Name		CareFirst ID	
DOB		Gender	
Address		Tel No	

NHS Number			
Ethnicity			
Religion			
Name and Address of Doctor			
Marital Status			
Civil Partnership		Separated	
Married		Single	
Divorced		Widow/Widower	
Partnered			
Accommodation Type			
Tenure Type			
Household Composition			
Do you have any communication needs?			
Not applicable		Needs Interpreter	
B.S.L. Signer		Other Sign Language	
Makaton Signer		Specialised Equipment Required (specify)	
How would you like to be contacted (add actual number / email)			
Day time phone number		Emergency Phone Number	
Email		Minicom	
Fax		Mobile Phone Number	
Home Phone Number		Work Phone number	
Letter		Other (please specify)	
Next of Kin (<i>Name and Address</i>)			
Is Next of Kin a Keyholder?			

Emergency Contacts (<i>Name and Address</i>)
Main Carer (Name and Address)
Is Main Carer a Keyholder?
Other Professional Relationships e.g Health contacts (district nurse / community psychiatric nurse, consultant)
Current Services the individual is receiving

Follow up for Signposting
Date followed up signposting
Record details in relation to the follow up for signposting

Further Signposting			
Is a referral to Universal Services Required?			
Carers Centre		Community Bridge Building	
Independent Advocacy		Sure Start to Later Life	
Welfare Rights		Young Carers Referral	
Is a referral required to the GP?			
Wheelchair Assessment		Physio	
Walking Aids			
Is a referral required to the Health Improvement Team Required?			
Weight Management		Smoking	
Substance Support		Alcohol Support	
Breastfeeding Support Group		Exercise Programme	
Falls		Weight Management	
Record details of signposting			
Is a Signposting Review Follow Up required by HDL?	Yes		No
Has another Referral been identified?	Yes		No

Mental Well-Being Form

Worker Name		Assessment Date	
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Personal Information			
Name		CareFirst ID	
DOB		Gender	
Address		Tel No	

NHS Number			
Ethnicity			
Religion			
Name and Address of Doctor			
Marital Status			
Civil Partnership		Separated	
Married		Single	
Divorced		Widow/Widower	
Partnered			
Accommodation Type			
Tenure Type			
Household Composition			
Do you have any communication needs?			
Not applicable		Needs Interpreter	
B.S.L. Signer		Other Sign Language	
Makaton Signer		Specialised Equipment Required (specify)	
How would you like to be contacted (add actual number / email)			
Day time phone number		Emergency Phone Number	
Email		Minicom	
Fax		Mobile Phone Number	
Home Phone Number		Work Phone number	
Letter		Other (please specify)	
Next of Kin (Name and Address)			
Is Next of Kin a Keyholder?			

Emergency Contacts (Name and Address)
Main Carer (Name and Address)
Is Main Carer a Keyholder?
Other Professional Relationships e.g Health contacts (district nurse / community psychiatric nurse, consultant)
Current Services the individual is receiving

Worker & Team Allocation
Allocated Worker
Allocated Team

Mental Well Being Scale					
	None of the time	Rarely	Some of the time	Often	All of the time
I've been feeling optimistic about the future					
I've been feeling useful					
I've been feeling relaxed					
I've been dealing with problems well					
I've been thinking clearly					
I've been feeling close to other people					
I've been able to make up my own mind about things					



**Carer's
Assessment and Eligibility**

Adult Social Care Services

Policy

April 2015 - 2017

DRAFT

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INFORMATION SHEET

Service area	Adult Services
Date effective from	01/April 2015
Responsible officer(s)	DM Care Management DM Mental Health Policy Officer P&P Communities
Date of review(s)	01/April 2017
Status: <ul style="list-style-type: none"> • Mandatory (all named staff must adhere to guidance) <ul style="list-style-type: none"> • Optional (procedures and practice can vary between teams) 	Mandatory
Target audience	All Adult Services Staff
Date of committee/SMT decision	xx/March 2015
Related document(s)	Care Management Manual 2014
Equality Impact Assessment Completed	March 2015
Safeguarding Audit Tool	March 2015
Superseded document(s)	FACS Policy May 2014
File reference	CAE/GGC/APR/2015

POLICY**Practice****1.0 Introduction - Carer's and the Care Act**

- 1.1 This policy needs to be read in conjunction with the *Assessment and Eligibility Policy for Adults* which details eligibility and assessment within a national and local context. It also discusses the changes introduced by the Care Act 2014 which emphasises needs, outcomes and wellbeing within an overall context of prevention and information sharing.
- 1.2 A carer is an individual who helps another person, frequently a relative or friend in their day-to-day-life. This is quite different from someone who provides care professionally or through a voluntary organisation. There are 7 million unpaid Carers in the UK which translates into 10% of the population. The person they are caring for may be:
- Elderly, ill or frail;
 - Have a long-term health issue;
 - Be dependent on or have problems with drug or alcohol abuse;
 - Have mental health issues;
 - Have learning difficulties;
 - Have an eating disorder.
- 1.3 Carers provide a wide range of support which may include:
- Practical help, cooking, cleaning, washing shopping;
 - Arranging and taking people to and from appointments;
 - Keeping close watch on the cared for to ensure their safety;
 - Assist with finances and paperwork;
 - Physical support such as assisting with bathing, washing, dressing, lifting and mobility.
- 1.4 For the first time Carers will be given the same legal recognition as those they care for. This policy details a Carer's legal rights to assessment, eligibility and support. The Act gives local authorities a responsibility to assess a Carer's needs for support, where the Carer appears to have such needs.
- 1.5 In essence, Halton has the responsibility for undertaking Carer's assessments and meeting eligible needs. The aim is to determine whether the Carer has support needs and what those needs may be. This assessment will consider the impact of caring on the Carer. It will also look at what Carers want to achieve for themselves. In this context the Carer's assessment will focus on important issues such as whether

Assessment & Eligibility Policy, Adult Social Care Services (April 2015).

they are still able or willing to continue in the role as Carer, whether they work or want to work and whether they would want to study, or be more involved in social activities that have particular appeal.

1.6 Overlap with Children and Families Act

The Children and Families Act 2014 introduced a system of support which extends from birth to 25 and the Care Act 2014 deals with adult social care for anyone 18 and over. This means there is a group of young people aged 18-25 who are entitled to support from both pieces of legislation. Both Acts have the same emphasis on outcomes, personalisation and integration of services. The following table summarises what both Acts have to say about Assessment and Planning. Areas relating specifically to Carers are shown in bold:

1.7

Children and Families Act 2014	Care Act 2014
Single coordinated assessment process;	Duty to carry out an assessment for young people over 18;
Single education, health and care plan for young people with SEN, that can potentially continue to age 25;	Duty to produce a Care and Support Plan for anyone over 18 where eligible needs are identified;
Emphasises person-centred practice;	Duty to carry out a Child's Needs Assessment (CNA) if there is likely to be care and support post 18;
Children and young people are engaged, empowered and supported to participate in planning for their future;	Duty to carry out a CNA at a time during transition when it is of significant benefit to the young person's preparation for adulthood;
Focus on preparation for adulthood from year 9 at the latest;	A CNA can be requested by young people or parents at any age;
Duty to assess a parent carer or a young carer if it appears they may have needs for support, or if they request an assessment where the local authority are satisfied that they may provide or arrange for the provision of services under section 17 of the children's Act 1989.	Adult Needs Assessments carried out for individuals over the age of 18 must include a personal budget; Duty to carry out a Child's Carer's Needs Assessment and Young Carer's Needs Assessment where there is 'likely need' for support post 18 and when there is 'significant benefit';
Parent Carers' needs assessment must have regard to: the wellbeing of the parent carer; the need to safeguard and promote the welfare of the disabled child for whom the parent carer has parental responsibility.	A Carer's Assessment must include an assessment of: <ul style="list-style-type: none"> ➤ Whether the Carer is able and is likely to continue to be able to provide care and whether the Carer is willing to do so;
Young Carers' needs assessment must have regard to: the extent to which the young carer is participating in or wishes to participate in: education, training or recreation and the extent to which the young Carer works or wishes to work	<ul style="list-style-type: none"> ➤ The outcomes that the Carer wishes to achieve in daily life; ➤ Whether and if so to what extent, the provision of support could contribute to the achievement of those outcomes.

See also Transition Assessment 3.10

1.8 An adult caring for a disabled child can get support through children's services. This is usually the best way to meet their needs. In the Care Act however, there is provision for an adult Carer of a disabled child to ask for an assessment of their caring needs in advance of the child reaching 18. When Halton carries out such an assessment, it has the power to provide support to the Carer even though they are caring for a child not an adult. Typically this kind of support would be made available through an Adult Carer's Centre.

1.9 Transition Assessment

The Care Act by means of a Transition Assessment contains provisions to help the following three particular groups of people to prepare for adulthood: children, young Carers and child Carers. Each group has their own specific transition assessment. Respectively these are: a child's needs assessment; a young carer's assessment; and a child carer's assessment.

1.10 A transition assessment must be conducted for all those who have likely needs. It should be carried out when it is most likely to be of significant benefit to the young person or Carer. A young person or Carer or someone acting on their behalf has the right to request a transition assessment. Halton B.C. must consider such requests and whether the likely need and significant benefit conditions apply - if so they must undertake a transition assessment. If it refuses an assessment it must document why and in a timely manner.

The guidance to the Act uses the term 'transition assessment' to refer to all three. (see 3.10).

PROCEDURE

2.0 Assessment –

- 2.1 An overview of the Adult Assessment process is given in Appendix 1 and the process specific to a Carer in Appendix 2. To be eligible for a Carer's Assessment, the cared for must be ordinarily resident in Halton.
- 2.2 Often the immediate focus might be on the individual who requires care and support, however, the needs of any carer that the person has may require a separate assessment. The situation is not always clear cut. For example, a person providing care either under contract or through voluntary work, may also be providing care to the same adult outside of those arrangements. In such a situation the assessor would have to consider whether to carry out an assessment for that portion of care that is not being provided on a contractual or voluntary basis.
- 2.3 Throughout the assessment process the assessor must take into account the impact of the adult's needs on the whole family network and identify those adults and children who are providing care. This may require the identification of other adults in need of care and support, who are part of the support network. For example, the assessor may find that an adult has a carer who in turn has parenting and caring responsibilities in addition to the adult with care needs. Such a situation would constitute an 'appearance of need.'
- 2.4 In considering the impact on the wellbeing of carers and others in the adults support network and how the assessor can help the following are important:
- Where Carers or others are identified as being affected by their caring role, the assessor must consider whether the provision of information or signposting to relevant services or a Carer's assessment, would be of benefit;
 - Where a child is identified as being involved in the provision of care, the needs of the child must be considered, the impact of their role as carer on their wellbeing and whether it is inappropriate for them to be in this role. Inappropriate tasks could include: lifting and handling; personal care (bathing and toilet needs), handling cash transactions, looking after the family budget and providing emotional support. For example it may be necessary to refer the child or young person for a young carer's assessment under the Children Act 1989.
 - Any decisions made should include the young

A cross-border protocol for the assessment of Carers who live in a different authority is currently under review by the NW ADASS group for Carers.

people's views.

2.5 Duty To Assess Carers - The authority must provide an assessment for any carer who appears to have any level of need for support.

2.6 The local authority must:

- Offer an assessment to any carer with an appearance of need for support;
- Ensure the carer is involved in their assessment along with anyone else they might want involved;
- Seek to establish the total extent of needs through the assessment before considering the person's eligibility for support;
- Consider whether the Carer's needs impact upon their wellbeing in any way, including those areas of wellbeing that the person hasn't identified and must establish the impact of this on the Carer's desired outcomes;
- Establish whether the carer is willing and able to continue to provide care;
- Establish whether the carer has substantial difficulty in being involved in the assessment process and, if there is no appropriate person to support them, appoint an independent advocate.

2.7 The local authority must ensure that any carer who may have support needs is offered a carer's assessment. This must happen irrespective of any future determination of eligibility and is important in establishing the fullest picture of the carer's needs and, importantly, the sustainability of the individual's current arrangements as a Carer.

2.8 Purpose of the Carer's Assessment -The assessment must seek to establish:

- The carer's needs for support
- The practical and emotional sustainability of the caring role
- The willingness and ability of the carer to continue to provide this support.

2.8.1 It must also consider:

- The impact of their support needs on their wellbeing
- The outcomes the carer desires from daily life
- The impact of their caring responsibilities on their ability to work, access education, training or recreation
- Whether support could help achieve these outcomes
- Whether the adult, their support network and the

wider community can contribute towards meeting the outcomes the person wants to achieve

- Whether the carer would benefit from preventative support or information and advice;

2.9 Needs and Carer's Assessment

2.9.1 The requirement for Halton is to ensure that any assessment is appropriate and proportionate to the needs and circumstances of the individual and remains so for the duration of the assessment process. To achieve this, the assessment must be conducted in a manner which is appropriate and proportionate to the needs and the circumstances of the individual to whom it relates. It must also ensure the individual is able to participate in the process as effectively as possible (Appendix 4 is an example of the Carer's assessment form on CF6 and Appendix 5 is a copy of the Support Plan/ Finance form which is linked to it).

2.9.2 The principle of proportionality means that an assessment goes as far as is necessary to establish a complete picture of the person's needs. The principle of appropriateness means that an assessment must be carried out in a manner that has regard to the person's wishes, preferences and outcomes, the complexity of the person's needs and any potential fluctuations of those needs.

2.9.3 Additional support may need to be provided (e.g. understanding may be aided through the provision of accessible information or independent advocacy).

2.9.4 Assessments can be undertaken via telephone or online, provided that the local authority has made sure it has fulfilled its duties in relation to the assessment and the need for safeguarding, independent advocacy and assessing mental capacity (see 2.9.10).

2.9.5 The local authority must ensure the assessment is person-centred, which may include provision of support in circumstances where there are capacity issues or specific difficulties in communication.

2.9.6 What constitutes an appropriate and proportionate assessment needs to be kept under constant review throughout the assessment and eligibility process to ensure the process fits the person's overall needs.

2.9.7 The SCIE Care Act hub provides practice examples of good practice to ensure the assessment is proportionate and

In practice the assessor will determine such needs from the dialogue with the Carer, observations of their home situation (if the assessment is being carried out in their home) and further discussion with any other relevant person, including the individual being cared for. A specific type of assessment may be appropriate (e.g. face-to-face, supported self-assessment, online or phone assessment, joint assessment or combined assessment. All of these are defined in Halton's Assessment and Eligibility (Adult Social Care Services) Policy April 2015-16.

See Appendix 4. For the Carer's Assessment Form.

appropriate. This is at: <http://www.scie.org.uk/care-act-2014/>.

- 2.9.8 In considering the specific assessment to be applied, the following checklist is a guide to choose which format to use:
- Where can the assessment take place?
 - Who will conduct the assessment?
 - Are there any specific communication needs to be addressed?
 - When will the assessment take place?
 - What is the mental capacity of the adult with care needs?
 - Who has been consulted?
 - Who will be involved?
- 2.9.9 During assessment it is important to ensure the process remains person-centred, the impact of preventative services is considered in maintaining or improving the individual's wellbeing and the outcomes that the person sets for themselves are considered at all times.
- 2.9.10 It is also important to establish the needs of any carers in the process as an ongoing part of the assessment of an individual's needs and the impact these have on those around them.
- 2.9.11 Depending on the answers to these questions, any of the following forms of assessment may be deemed appropriate. They do not constitute an exhaustive list:
- Face-to-face
 - Supported self-assessment
 - Online or phone assessment
 - Online or phone assessment
 - Joint assessment
 - Combined assessment
- 2.12 Having determined the type of assessment, the local authority must identify the person's needs, how these impact on their wellbeing, and the outcomes that the person wishes to achieve in their day-to-day life.
- 2.13 The Importance of Outcomes - The outcome of the carer's assessment will provide an understanding of the sustainability of the carer's input in the short, medium and long term. The general principles of assessment still govern a carer's assessment. For instance, the format of assessment must be appropriate to the carer's circumstances.

For details on each see Adult Assessment and Eligibility Policy 2015-16.

- 2.14 Refusal – In common with any individual with care needs, there is no absolute requirement for a Carer with support needs to have a Carer's Assessment. If an individual refuses to have an assessment, the assessor on behalf of Halton is not required to conduct one. People for example, may choose not to have an assessment if they do not feel they have a need of care or do not want local authority support.
- 2.14.1 However, if the assessor believes that the Carer lacks capacity, or is at risk of abuse and neglect, then it is required to carry out an assessment regardless of the person's refusal.
- 2.14.2 A Carer who has previously refused can also change their mind and in such a case the local authority would have to assess the person.
- 2.15 Needs, outcomes and impact on wellbeing
- 2.15.1 The assessor must provide summary of the individual's care needs, their desired personal outcomes and the impact of their condition and circumstances on their wellbeing.
- 2.15.2 Core duties - The local authority must:
- Seek to establish the total extent of needs through the assessment before considering the person's eligibility for care and support
 - Consider whether the individual's needs impact upon their wellbeing in any way, including those areas of wellbeing that the person hasn't identified, and establish the impact of this on the adult's desired outcomes
 - Consider how the adult, their support network and the wider community can contribute towards meeting the outcomes the person wants to achieve.
- 2.15.3 The assessment must provide sufficient information for the assessor to be able to establish what the person's needs are and how they impact on the person's wellbeing, what outcomes they are seeking to achieve in their day-to-day life, and how care and support, or in the case of a Carer, support, can contribute to the achievement of those outcomes.
- 2.15.4 Following the assessment the carer must be given a written record of their needs and assessment. If the person asks the local authority to share the record with anyone, the local authority must do so. If an independent advocate has been involved in the process, the local authority should also inform them of the outcome of the assessment in order for

the advocate to help the person understand the implications of the assessment.

2.15.5 As a minimum this must record:

- The person’s care needs – including any supporting information from any combined or joint assessment;
- The carer’s support needs – including any support information from any combined or joint assessment;
- The individual’s outcomes – which in this context refer to the outcomes set by the person for themselves and not those associated with the eligibility determination;
- The impact on the individual’s wellbeing of their care needs;
- Any care being provided by a carer (this should still be recorded for the care planning process, if the person has eligible needs.

2.16 Indicative Personal Budget

2.16.1 In addition, on Completion of the Assessment, the Carer will be given an ‘*Indicative Personal Budget.*’ This is not a final amount but an indication of it that is used as a basis for discussing how the Carer’s support needs will be met. After completion of the care and support plan the actual personal; budget will be confirmed. This will be the final agreed amount of money the Carer will have to help them meet their own care and support needs. This actual budget may be the same as, lower, or higher than the indicative budget.

2.16.2 Most commonly, it will be in the form of a Direct Payment held and managed by the Carer with support if necessary from a provider such as a user led organisation.

See 3.4 Direct Payment.

3.0 Eligibility

3.1 Meeting The National Eligibility Threshold

3.1.1 This section considers the local authority’s duty to establish eligibility in relation to the minimum threshold set out in regulations for adults and carers. The use of the word ‘eligible’ here refers only to the needs of adults with care needs and carers with support needs, not to their financial resources or other circumstances. In order to make an eligibility determination, the assessor ought also to establish how the person’s desired outcomes fit with the specified outcomes in the eligibility criteria.

3.1.2 A carer’s needs are eligible where they meet all of the following three conditions:

For a carer’s needs to be considered eligible for support by the local authority

1. Needs arise as a consequence of providing necessary care for an adult
2. The effect of the needs is that any of the circumstances specified in the Care and Support (Eligibility) Regulations 2014 apply to the carer, namely:
3.
 - a. The carer's physical or mental health is, or is at risk of, deteriorating
 - b. The carer is unable to achieve any of the following outcomes:
 - I. Carrying out any caring responsibilities the carer has for a child;
 - II. Providing care to other persons for whom the carer provides care;
 - III. Maintaining a habitable home environment in the carer's home, whether or not this is also the home of the adult needing care;
 - IV. Managing and maintaining nutrition;
 - V. Developing and maintaining family or other personal relationships;
 - VI. Engaging in work, training, education or volunteering;
 - VII. Making use of necessary facilities or services in the local community, including recreational facilities or services;
 - VIII. Engaging in recreational activities.

they must meet all three criteria.

3.1.3 As a consequence of meeting these conditions local authorities must consider whether, as a consequence of caring there is, or there is likely to be, a significant impact on the carer's wellbeing. They need to determine whether:

- The Carer's needs impact on an area of wellbeing in a 'significant way'; or,
- The cumulative effect of the needs impact on a number of the areas of wellbeing to such an extent they have a 'significant impact' on the Carer's overall wellbeing.

3.1.4 The Care Act guidance provides examples of how these outcomes could be interpreted or be relevant in a given situation.

3.1.5 Following the outcome of the eligibility determination the local authority must provide the person to whom the determination refers with a copy of the decision (in the form of a letter). If the needs have been deemed not eligible, the local authority has to explain how they have reached this decision.

Assessing 'significant impact' on a Carer's wellbeing is determined through the use of the shortened Warwick Edinburgh Mental Wellbeing Scale (SWEMWBS). This is a standardised and validated tool for assessing a person's wellbeing. It is being used locally by the Wellbeing Project and Liverpool Carer's Centre, while regionally it is supported by Public Health.

3.2 If Needs Are Not Eligible

- 3.2.1 This step details the requirements on the local authority to provide information to adults who are determined as ineligible for support and care as well as providing preventative services.
- 3.2.2 *Core duties* - The local authority must:
- Establish and maintain a service for providing people in its area with information and advice relating to care and support for adults and support for carers
 - Ensure appropriate steps are taken to prevent, delay or reduce the escalation of care and support needs.
- 3.2.3 If, following completion of the assessment, the local authority deems that a person's needs are not eligible, it must provide information and advice on:
- Meeting or reducing the needs e.g.:
 - the choice of types of care and support, and the choice of providers available in the community for the adult or their carer
 - how to access the care and support that is available
 - planning for future care and support needs
 - how to access independent financial advice on matters relevant to the meeting of needs for care and support.
 - Any package of information provided to the adult or carer should be tailored to reflect the needs of the individual, to prevent future needs and delay deterioration. This will ensure people are helped to access local services, which may be provided by the local authority or by another organisation.
- 3.2.4 The local authority must also take action to prevent or delay the development of needs, considered at different levels:
- primary prevention/promoting wellbeing (e.g. by supporting access to universal services);
 - secondary prevention/early intervention (e.g. targeted support to provide a few hours of support to a Carer, or adaptations at home to reduce the likelihood of falls);
 - tertiary prevention/intermediate care and reablement (e.g. support to regain specific skills or provide support to improve a carer's life).
- 3.2.5 The process of assessment ends for people with needs that have been deemed ineligible.
- 3.2.6 The local authority should maintain a record of the person's need to be able to provide support in the future if their

circumstances change.

3.3 Support Planning

3.3.1 Following assessment, Care Act guidance prescribes that the local authority and the carer will agree a support plan. The support plan should include;

- a) The needs that have been identified and how they are going to be met.
- b) The outcomes the carer wishes to achieve
- c) The needs that will be met by a Direct Payment, and the amount and frequency of that payment.

3.3.2 In Halton's approach to support planning it is proposed that wherever possible, the needs identified through the assessment process should be met through existing service provision, for example, Halton Carers Centre, Primary Care, the Wellbeing Project, the Health Improvement Team, Telecare, Counselling etc.

3.3.3 It may be the case that the best way to meet a carer's needs is to provide care and support directly to the person that they care for. So for example, by providing replacement care to allow the carer to take a break. However, where that is not possible, then the carer, subject to meeting the eligibility criteria, could receive a Direct Payment.

3.4 Direct Payment

3.4.1 The level of Direct Payment will be determined by the degree of impact of caring on the carer. The Short Warwick-Edinburgh Mental Wellbeing Survey will be used to support the assessment of impact on a carer's wellbeing.

Levels of payment are set using local data and are broadly in line with other local authorities across the North West. However, in exceptional circumstances, where the support plan identifies needs that require a Direct Payment in excess an upper limit, it is proposed that these cases are taken to the weekly panel meetings for consideration.

3.5 Reviews

3.5.1 Reviews of carers support plans will be carried out 6 to 9 weeks after the assessment. Where there has been a subsequent improvement in a Carers circumstance, the case will be closed and the carer advised to contact the local authority with a view to a further assessment if their situation changes and/or deteriorates.

- 3.5.2 Where the review indicates that the impact of caring is still having a significant impact on a carers wellbeing, a further support plan will be agreed. If it is also identified that there is a risk of likely 'Carer breakdown', then additional support to prevent that breakdown will be provided by Halton Carers Centre.
- 3.5.3 Where a Carer and/or their advocate disagree with any aspect of the outcome of their assessment, then this should be taken through the complaints process.
- 3.6 Charging Carers
- 3.6.1 The Care Act provides a single legal framework for charging for care and support under sections 14 and 17. It enables a local authority to decide whether or not to charge a person when it is arranging to meet a person's care and support needs or a carer's support needs.
- 3.6.2 Where a Carer has eligible support needs of their own, the local authority has a duty, or in some cases a power, to arrange support to meet their needs. Where a local authority is meeting the needs of a Carer by providing a service directly to a Carer, it has the power to charge the carer. However, a local authority must not charge a carer for care and support provided directly to the person they care for under any circumstances.
- 3.6.3 If a local authority takes the decision to charge a Carer, it must do so in accordance with the non-residential charging rules. In doing so, it should usually carry out a financial assessment to ensure that any charges are affordable.
- 3.6.4 In undertaking a financial assessment, the guidance indicates that for a Carer, a 'light touch' assessment may be most appropriate, although the carer does have the right to a full financial assessment if they so wish.
- 3.6.5 Department of Health Guidance is clear about the charging issue and the Act stresses that local authorities are not required to charge a carer for support.
- 3.6.6 *"Local authorities should consider carefully the likely impact of any charges on carers, particularly in terms of their willingness and ability to continue their caring responsibilities (Department of Health: Care & Support Statutory Guidance)."*
- 3.7 As a consequence, Halton has decided that Carers should not be subject to financial assessment and charging for

2015-2016 and that this decision will be reviewed in six months when further information on the level of demand will be available.

3.8 Transition for Children to Adult Care and Support Services

3.8.1 Young people and Carers of children have the legal right under the Act to request an assessment before they turn 18. The council will need to undertake this assessment if there is 'significant benefit' in doing so. This is regardless of whether the person currently receives Children's services.

3.8.2 The Act also states that the LA must assess the needs of a child's carer where that child is already receiving support and can provide services to them.

3.8.3 The actual age of when someone can request an assessment is not clear, but the LA must determine 'significant benefit'. The important principle is continuity. No one reaching the age of 18 who is already receiving support of some kind, under the relevant legislation that relates to children, will suddenly find themselves without care and support.

3.9 Complaints

3.9.1 Halton has a well-established complaints system and anyone wishing to query their assessment or who feels it is not representative of their needs should in the first instance discuss this at the time of the assessment. The entire assessment process and individual outcomes stemming from it result from a constructive dialogue between the person and the assessor. In addition any decisions taken will be thoroughly documented and signed by the individual assessed. If the person feels they must make a formal complaint about some aspect of the process, they can do so by ringing **0151 511 6941**.

3.9.2 If they subsequently feel their complaint has not been dealt with appropriately or they disagree with the outcome they have the option to approach the local Ombudsman for Adult Social Care. This is a free service and a person has access to the same independent Ombudsman service regardless of how the service is funded. The Ombudsman can be contacted via **0300 061 0614**. They can also complete an online form.

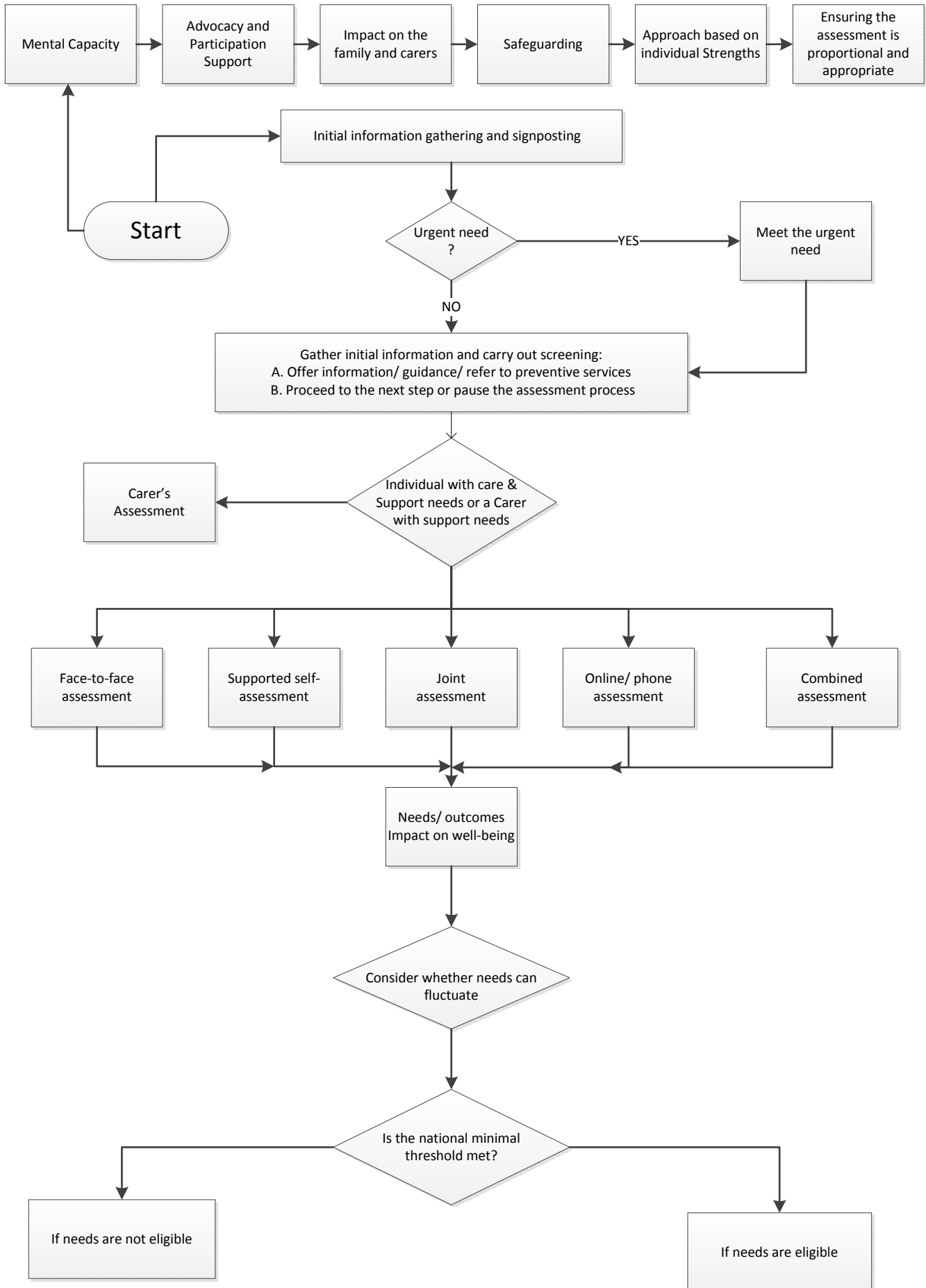
3.10 Information Sharing

3.10.1 There are many advantages to sharing information between professional organisations and individuals. This is particularly important as the Care Act typically involves a wide range of health and social care services and professionals. All too often these work independently of each other with the result that the individual receiving care can be asked the same information many times as they are passed around from one professional to another.

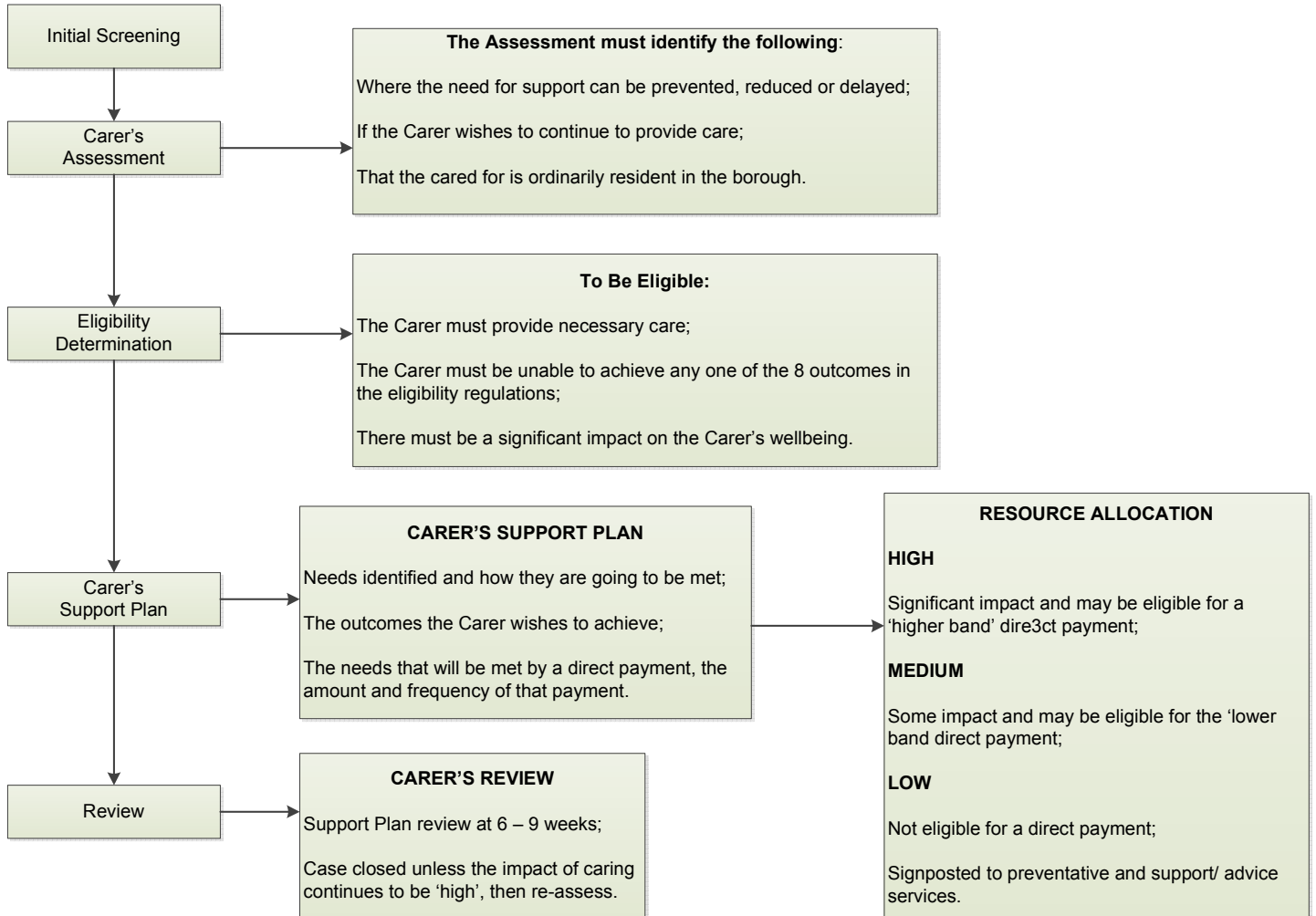
3.10.2

Halton health and social care teams are working closely with its IT department to develop an information sharing protocol. This will greatly reduce repetition and duplication of information, enabling the individual's records (with their permission) to be transferred. **Appendix 3** is a letter to Carers outlining the importance of information sharing and asking for their consent to do so.

Consider these at every stage



Carer's Assessment (Adult Social Care) Flow Chart



Letter to Carers for Consent to Share Information.

Dear CARER

Privacy Notice - Data Protection Act 1998

As providers of care and support to people in Halton we recognise that carers are typically involved with a wide range of health and social care services – not just their GP but also hospital specialists, early help and support services, social care and the carers centre. Too often, these services work independently of each other. This means that people can often feel that they are being sent from pillar to post.

One of the ways in which we can improve this situation is by those services being able to share your personal information, allowing them to work together more effectively.

Over the coming months you will be asked if you would like your personal information shared between your GP, Halton Borough Council's social care services and Halton Carers Centre. We believe that there are many benefits in sharing information, both for you personally and ourselves as the providers of services to carers. However, this is a decision only you can make. To help you come to your decision we have provided you with some additional information, outlining some of the advantages of sharing information, your legal rights and protections.

If you would like to discuss this issue further, and how it affects your own, personal circumstances then please contact HALTON CARERS CENTRE (insert contact details).

Cliff Richards

Paul McWade

Carl Harris

Marie Wright

C&YP OD

Sharing Your Information with Health, Social Care & Carer Services

Whenever you go to seek help from your GP, the council's social care services, or Halton Carers Centre, you tell them about yourself so that they can treat you or meet your care needs. In turn they make sure this important information is included in your notes. This makes perfect sense – after all, if you don't tell them what's wrong or what you think you need help with, they can't support you.

You rightfully expect these organisations to protect this personal and clinical information and maintain your privacy. But you also probably expect anyone involved in your care to have access to this information so that they can give you the treatment and support that you need.

You might not think much more about what happens to your information beyond this. The idea then of these different organisations sharing your personal information can sound worrying. However, there are real benefits to both yourself and these organisations, in being able to share information about you.

So when would it be helpful to both you, and these organisations, to share information about you?

- When there are a number of different health and social care professionals working with you, being able to share your information should reduce the need for you to repeat the same information over and over again.
- It should also mean that the different services can provide a much more joined up response to supporting you. This approach means that the people working with you can often prevent problems happening, rather than reacting to them.
- This joined up approach to your care between your GP, Social Care and Halton Carers Centre also helps to improve the planning and delivery of these services. At a time when budgets are tight, improved planning means that we can make the money we invest in services to support you go further, and importantly, reach even more carers.

Your personal information, as well as how it is used and who it is shared with, is protected under law by the Data Protection Act 1998, the Common Law Duty of Confidentiality and your right to privacy under the Human Rights Act 1998. Your GP, Halton Borough Council and Halton Carers Centre all have a legal duty to comply with these laws.

Under the Data Protection Act 1998, Halton Borough Council is a 'data controller'. This means that the council must exercise control over the processing of personal data and carry the responsibility for protecting that data. In effect, any records we hold on you, both paper and electronic, we must always make sure that they are held securely.

In order to share your personal information we must obtain your consent. If you agree that we can share your personal information we will make sure that it is only seen by those who are directly involved in your care.

You also have the right to refuse to have your personal information shared. Bear in mind though that limiting the information we can share may make it more difficult for us to provide you with the best possible care.

For further information on protecting your confidential information see

<http://systems.hscic.gov.uk/infogov/caldicott>

Carer's Assessment Form

Worker Name		Assessment Date	
-------------	--	-----------------	--

Personal Information

Name		CareFirst ID	
DOB		Gender	
Address		Tel No	

NHS Number			
Ethnicity			
Religion			
Name and Address of Doctor			
Marital Status			
Civil Partnership		Separated	
Married		Single	
Divorced		Widow/Widower	
Partnered			
Accommodation Type			
Tenure Type			
Household Composition			
Do you have any communication needs?			
Not applicable		Needs Interpreter	
B.S.L. Signer		Other Sign Language	
Makaton Signer		Specialised Equipment Required (specify)	
How would you like to be contacted (add actual number / email)			
Day time phone number		Emergency Phone Number	
Email		Minicom	
Fax		Mobile Phone Number	
Home Phone Number		Work Phone number	
Letter		Other (please specify)	
Next of Kin (<i>Name and Address</i>)			
Is Next of Kin a Keyholder?			

Emergency Contacts (Name and Address)	
Main Carer (Name and Address)	
Is Main Carer a Keyholder?	
Other Professional Relationships e.g Health contacts (district nurse / community psychiatric nurse, consultant)	
Current Services the individual is receiving	

Carer's Personal Info			
Is the cared for an ordinary residence of Halton?		Yes	No
Details of the adult in your care			
CareFirst Number			
Name			
Address			
Telephone			
Relationship to person cared for			
Son / Daughter		Sibling	
Son / Daughter in Law		Friend / Neighbour	
Spouse / Partner		Other family	
Adult Long Term Support			
Sts – Social Support – Support for Carer			
Reported Health Conditions			
<i>Guidance Note: Reported Health Condition - an illness, disability or condition affecting the client and diagnosed by a healthcare professional and are not related to the request for support should not be recorded.</i>			
Please specify any Medical Conditions / Allergies			
L.D – Aspergers Syndrome/High Functioning Autism		Neurological - Stroke	
L.D – Autism Excl Aspergers Syn/High Functioning		No Relevant Lt Reported Health Conditions	
L.D – Learning Disability		Physical – Acquired Physical Injury	
L.D – Other Learning/Development/Intellectual		Physical - Cancer	
Mental Health - Dementia		Physical – Chronic Obstructive Pulmonary Disease	
Mental Health – other Mental Health Condition		Physical – HIV / Aids	
Neurological – Acquired Brain Injury		Physical – Other Long Term Health Condition	
Neurological – Motor Neurone Disease		Sensory Impairment – Hearing Impaired	
Neurological – Other Long Term Health Condition		Sensory Impairment – Other Sensory Impaired	
Neurological - Parkinsons		Sensory Impairment – Visually Impaired	
Accommodation Status			
<i>This question is in relation to Learning Disability Clients Only. If the individual is not a LD Client enter N/A</i>			

Employment Status			
<i>This question is in relation to Learning Disability Clients Only.</i>			
Unknown		N/A – Non Ld Client	
Not in Employment (Not Seeking Work / Retired)		Paid (16 Hours or More a Week)	
Not in Employment (Seeking Work)		Paid (Less than 16 Hours a Week)	
Allocated Worker			
Allocated Team			

Carer's Views			
Summary of the person cared for circumstances			
Reason for Referral – What do you feel you need help with?			
Carer's View of Present Situation			
Carer's Tasks Undertaken			
	Task carried out – Yes / No	Are you able to continue to provide care – Yes / no / Assistance Required	Any additional / relevant information
Washing			
Dressing			
Bathing			
Feeding			
Food Preparation			
Medication			
Mobility			
Finances			
Social			
Emotional			
Shopping			
Cleaning			
Doing Washing			
Helping them to get up / go to bed			

Translating / Interpreting			
Other (please give details)			
Support with agencies / voluntary sector			
Do you have lifeline installed?	Yes	No	
Are there any other people that support you with your caring e.g. neighbour? Provide details			

GP Registration and Referrals			
Would you like your Doctor's surgery to know that you are a carer and the information to be added to your patient records?	Yes	No	
Would you like a health check?	Yes	No	
Would you like a flu vaccination?	Yes	No	
Would you like a referral to the Carer's Centre for you and the person you care for?	Yes	No	
Would you like the Financial Assessment Team to complete a benefit check to ensure that you are maximising your income?	Yes	No	

About Me
Information about me
About where I live
What works well for me
What does not work well for me

Support for Child			
Do you have caring responsibilities for a child?	Yes	No	
What are you able to do?			
What would you like to be able to do in this area?			
Are you able to carry out this caring responsibility?			
Yes	Yes – with support	Rarely	

If you are unable to carry out the caring responsibilities you have for a child, please tell us how this affects you and makes you feel			
Please describe the support you need to carry out this responsibility, in addition to your caring role for the adult			

Support for Other cared for people			
Do you provide care to anybody else?		Yes	No
Other people cared for details			
What are you able to do?			
What would you like to be able to do in this area?			
Are you able to carry out this caring responsibility?			
Yes	Yes – with support	Rarely	
If you are unable to carry out the caring responsibilities you have for other people, please tell us how this affects you and makes you feel			
Please describe the support you need to carry out this responsibility, in addition to your caring role for the adult			

Support for maintaining home			
What are you able to do?			
What would you like to be able to do in this area?			
Are you able to keep your home habitable?			
Yes	Yes – with support	No	
If you are unable to carry out the caring responsibilities you have for maintaining your home, please tell us how this affects you and makes you feel			
Please describe the support you need to keep your home safe and an appropriate environment to live in			

Support with Nutrition

What are you able to do?			
What would you like to be able to do in this area?			
Are you able to manage and maintain your nutrition?			
Yes		Yes – with support	No
If you are unable to manage and maintain your nutrition, please tell us how this affects you and makes you feel			
Please describe the support you need to do essential shopping, tell us how this affects you and makes you feel			

Support with Relationships			
What are you able to do?			
What would you like to be able to do in this area?			
Are you able to develop and maintain your family or other significant personal relationships?			
Yes		Yes – with support	No
If you are unable to keep the relationships you have, please tell us how this affects you and makes you feel			
Please describe the support you need to avoid feeling lonely or isolated			

Support with Work, Training, Education or volunteering			
What are you able to do?			
What would you like to be able to do in this area?			
Do you feel you have the opportunity to access work, training, education or volunteering?			
Yes		Yes – with support	Rarely
If you are unable to work, learn or volunteer, please tell us how this affects you and makes you feel			
Please describe the support you need to work, learn or volunteer			

Support for Involvement in Local Community

What are you able to do?			
What would you like to be able to do in this area?			
Are you able to make use of necessary facilities or services in the local community?			
Yes		Yes – with support	Rarely
If you are unable to access services in your local community please tell us how this affects you and makes you feel			
Please describe the support you need to have an opportunity to make use of the local community's services and facilities			

Support with Recreational Activities			
What are you able to do?			
What would you like to be able to do in this area?			
Are you able to have leisure time?			
Yes		Yes – with support	Rarely
If you are unable to engage in recreational activities, please tell us how this affects you and makes you feel			
Please describe the support you need to engage in recreational activities			

Summary and Outcomes			
Assessor's Summary of Carers needs			
Is the care provided to the cared for necessary by the Carer			Yes
			No
Outcome of Assessment			
Completed – Carers Emergency Card Scheme only		Terminated – Declined Assessment	
Completed – GP Referral		Terminated – Cared for person admitted to hospital	
Completed – Information and Advice only		Terminated – Cared for person deceased	
Completed – Mental Well Being Check		Terminated - Carer admitted to hospital	
Completed – Referred to Adults Services		Terminated – Carer deceased	
Completed – Referred to Universal Services / Carer		Terminated – Carer withdrew	
Completed – Welfare benefits check only			

Emergencies and Alternative Arrangements
If you were suddenly ill, what would happen to the person you care for
Who would need to be contacted in an emergency?
What networks are there to support you in an emergency?
Can an emergency / contingency plan be made?

Emergency / Contingency Plan
<p>This Emergency / Contingency Plan will be used to access the Emergency Respite Service provided by the Council's Home Care Service. If this is not completed, and an emergency occurs out of normal working hours, then the Emergency Duty Team will be called on to do an assessment. This may result in a delay in providing the service, which could be avoided if the plan is completed.</p> <p>Agreement of Actions; If it is identified that carers will need contingency planning put into place then details will be written into the Care Plan - Copy of matrix of Care Plan to be attached detailing all services/care currently provided. At the very least, the matrix should include consideration of:</p> <ul style="list-style-type: none"> • Personal Care Needs • Food / Eating requirements • Specific medication, including timing and location of where medication is kept <p>Carers are responsible for informing Social Services of any changes within the Contingency Plan</p>

Carers Emergency / Contingency Plan	
Identified need of person cared for (including any associated risks identified through assessment - and how these are to be managed)	How your needs will be met

Risk Assessment / Management	
Areas of Risks Identified	Options to Minimise Risk (must be included in Matrix)

Is a separate risk assessment required, give details?

Does the cared for person have the capacity (as described in national and local guidance), to agree to the contingency plan?	Yes		No	
If no, has a capacity assessment been completed and / or a best interest meeting been undertaken?	Yes		No	
If no, give details				

Signatures				
Confirm carer offered separate Support Plan	Yes		No	
If no, give details				
Separate Support Plan completed?	Yes		No	
If no, give details				
If 'yes' will a copy of the Support Plan be sent to the carer and / or other relevant individuals (not the provider)?				
Which Administration Team will distribute the copies of Support Plan?				
If yes, please provide details of who this information will and will not be sent out to <i>It is important that the details of any information that needs restricting / details of who this form should not be sent to and details of any changes to addresses are provided in the box below</i>				
Have you completed a SWEMWBS	Yes		No	
Do you require a copy of the Support Plan to be sent to the service provider?	Yes		No	
Has the carer signed the separate signature document?	Yes		No	
If no, give details				
Has the person cared for signed the separate signature document?	Yes		No	
If no, give details				
Will a copy of the Carer's Assessment be sent out?	Yes		No	
If Yes, which Administration Team will distribute the copies of Support Plan?				
If yes, who do you want to send the assessment/review to?				
Is a Carers Finance form required?	Yes		No	
If you are not completing the Carers Finance form, is a short term carers review required	Yes		No	
If yes, in how many weeks and which team will be completing it?				

Carer's Support Plan/ Finance Form

Worker Name		Assessment Date	
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Personal Information			
Name		CareFirst ID	
DOB		Gender	
Address		Tel No	

NHS Number			
Ethnicity			
Religion			
Name and Address of Doctor			
Marital Status			
Civil Partnership		Separated	
Married		Single	
Divorced		Widow/Widower	
Partnered			
Accommodation Type			
Tenure Type			
Household Composition			
Do you have any communication needs?			
Not applicable		Needs Interpreter	
B.S.L. Signer		Other Sign Language	
Makaton Signer		Specialised Equipment Required (specify)	
How would you like to be contacted (add actual number / email)			
Day time phone number		Emergency Phone Number	
Email		Minicom	
Fax		Mobile Phone Number	
Home Phone Number		Work Phone number	
Letter		Other (please specify)	
Next of Kin (Name and Address)			
Is Next of Kin a Keyholder?			

Emergency Contacts (<i>Name and Address</i>)
Main Carer (Name and Address)
Is Main Carer a Keyholder?
Other Professional Relationships e.g Health contacts (district nurse / community psychiatric nurse, consultant)
Current Services the individual is receiving

Worker & Team Allocation
Allocated Worker
Allocated Team

REFER TO CARING RESPONSIBILITIES FROM THE CARERS ASSESSMENT FORM FOR FURTHER INFORMATION

About Me & Assessed Area			
Information about me			
About where I live			
What works well for me			
What does not work well for me			
To complete this table - Refer to the Assessment Section of the Assessment to see what was documented			
	Areas I need support in	What support I need or I am already getting	How will this improve my life (my outcome)
Carrying out any caring responsibilities you have for a child			
Providing care to other persons for whom you provide care			
Maintaining a habitable home environment			
Managing and maintaining nutrition			
Developing and			

maintaining family or other significant personal relationships			
Engaging in work, training, education or volunteering			
Making use of necessary facilities or services in the local community			
Engaging in recreational activities			

Carers Break Funding

This includes:				
<ul style="list-style-type: none"> • Sitting Service; • Carers Personal Budget On-going; • Carers Personal Budget One Off; • Information / advice for carer • Universal Services • Other 				
Details of the person cared for				
CareFirst Number				
Name				
Address				
Telephone				
Will the carer receive a break from their caring role?			Yes	No
Please select which Cost Centre the service agreement is funded by				
Aiming Higher for Disabled Children	Runcorn Care Management - PSD			
Mental Health	Widnes Care Management – Older People			
Runcorn Care Management – Older People	Widnes Care Management – ALD			
Runcorn Care Management - ALD	Widnes Care Management - ALD			
Do you want to notify Direct Payments			Yes	No
Do you want to notify Care Arrangers			Yes	No
Total weekly cost of Carers Funding if agreed				
Total cost of any one-off payments that will be made as part of Carers Funding				
Information / advice for carer can only be provided for the carer and the information / advice given must be person centred and specifically tailored to the individual needs of the carer.				
Will information / Advice be provided / ended for the carer?			Yes	No
Which Administration Team will Load Service Agreement				
Details of any services that are being ended / suspended				
Stop or suspend? Date effective from (if known)	Description of service inc. details of the provider (where known)	Expected end date of suspension? (if known)	If this is a suspension what date will the service be resumed?	Total cost of the service per week

Details of the service(s) requested

Provide full details of each service requested in the 'Description of service' column.

One service provision basis MUST BE SPECIFIED for each service a client receives. There are five types: (1) Long Term Support, (2) End of Life, (3) Short-term Support, (4) Ongoing Low-level Support, (5) Reablement Support. It is the responsibility of Care Management staff to complete the provision basis so that the Care Arrangers will know what basis to specify when loading the service

If the service is not being funded from Carers Break Funding (CBF) please state where the money will be paid from in the 'Funding stream' column.

This is a request to? and start date (if known)	Description of service	Reablement Support	Expected end date of service (if known)	Weekly cost	One-off cost	Frequency of payment (if not 4 weekly)	Funding stream (if not from CBF)

Please use the below text box if either of the above matrices are full

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Is a short term review required?	Yes	No
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If Yes, how many weeks and who will conduct the review?

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Is an End of Worker form required?	Yes	No
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If you are competing this form for the Short Term Review please provide the date of the review

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If you are competing this form for the three / six / nine / twelve month Review please provide the date of the review

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REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director – Policy & Resources

PORTFOLIO: Transportation

SUBJECT: Street Lighting Energy Procurement

WARDS: Borough Wide

1.0 PURPOSE OF THE REPORT

- 1.1 To report the acceptance by the Operational Director – Policy, Planning and Transportation of the entering into of a new electricity supply contract with British Gas for the Council's un-metered electricity supply for street lighting as outlined in the report. To get the Board's approval to the waiving of standing orders and to record that the anticipated expenditure is likely to be over £1.0M per annum.

2.0 RECOMMENDATION: That

- 1) the new supply contract for un-metered electricity with British Gas be endorsed;**
- 2) the Board endorse the waiving of Procurement Standing Orders 2.2 to 2.11 for the purchase of un-metered electricity;**
- 3) it be recorded that the expenditure is anticipated to be in excess of £1.0M per annum; and**
- 4) Utilities Procurement Group (UPG) continue to be used to manage our street lighting energy provision**

3.0 SUPPORTING INFORMATION

- 3.1 Since October 2001, the Council's un-metered electricity (energy for street lighting and other highway electrical equipment) has been procured through UPG (Utilities Procurement Group), who are an energy procurement specialist to the public sector. Prior to using UPG, un-metered electricity was purchased from Scottish Power using a former Cheshire County Council contract, which was negotiated with a sole supplier, as was the procedure prior to the market being opened up to competition. When UPG commenced our energy procurement, they included us in a tender with other local authorities and tenders were received from six companies; this has happened each time the supplier has changed. UPG use their knowledge of the market to determine the best time to seek tenders, as the energy market is very

volatile and rates change due to worldwide events such as elections in America or turmoil in the Middle East plus economic data in the UK. The first contract through UPG commenced in April 2002 and initially was awarded to Eon (previously Powergen), and then in April 2007 it was awarded to Scottish and Southern Energy for a period of two years, which was extended until 31 March 2011 (as per report to Executive Board Sub-committee on 12 February 2009). From 1 April 2011, it was awarded to Haven Power for a period of two years with an option to extend for up to two years (as per report to Executive Board Sub-committee on 10 February 2011). This was subsequently extended for one year from 1 April 2013 (as per report to Executive Board on 28 February 2013) and a further year from 1 April 2014 (as per report to Executive Board on 11 July 2013).

- 3.2 The current contract with Haven Power expires on 31st March 2015 having been extended up to the maximum duration of 4 years; therefore tenders were invited by UPG on our behalf. The lowest tender was submitted by British Gas initially for the period 1st April 2015 to 31st March 2016, and subsequently rates were received for the period 1st April 2016 to 31st March 2017.
- 3.3 The rates from 1st April 2015 are 11.212p/kwh for Dusk to Dawn equipment (on during the hours of darkness) and 10.751p/kwh for continuous equipment (on 24 hours a day) (including Climate Change Levy (CCL) exempt option (as we purchase green energy and therefore do not need to pay the levy)), which equates to an annual cost of about £1,193,438. The new rate from 1st April 2016 is 11.875p/kwh (an increase of 13.84% on the 2015/16 rates) for Dusk to Dawn equipment (on during the hours of darkness) and 11.435p/kwh (an increase of 9.57%) for continuous equipment (on 24 hours a day) and is also 100% CCL exempt) which equates to an annual cost of about £1,264,338.
- 3.4 The annual revenue budget for energy supply is £1,216,250. The new rates for 2015/16 represent a decrease of £67,961 (or 5.39%) on the current cost of energy supply and a slight increase for 2016/17 of £2,939 (or 0.23%) on the current cost. The increase in unit charges for 2016/17 is due to increases in regulated charges, which are levied to cover the Distribution Network Operator's costs for operating the network. The current contract expires on 31 March 2017 with an Option To Extend (OTE) for a further two years and UPG will be monitoring the situation and recommend whether to re-tender or take up the OTE if the market is volatile for the same or similar reasons as are mentioned above.
- 3.5 If any electrical equipment is installed or removed, then the total amount payable will be adjusted accordingly. The total amount payable is determined from an itemised listing of our equipment which is determined from our inventory and converted into the required format and submitted by UPG, on our behalf, to Scottish Power (the Distribution Network Operator (DNO)), who in turn issue a Certificate of

Estimated Annual Consumption (EAC). The certificate will be passed to Haven Power who will then invoice us. The certificate is updated every month; therefore any equipment removed/added is included within a relatively short period of time.

- 3.6 The Street Lighting Energy contract needs to be accepted within a very short timescale, in this case the offer was received at 2.30pm on one day and had to be accepted by 2.30pm the following day. This is because of the rapid changes in the prices charged for electricity, which can result in an offer being withdrawn at short notice. Hence, the need to waive standing orders to enable the offer to be accepted. This was done after consultation with the Council's Finance and Internal Audit Sections who supported the Operational Director's acceptance of it. The process has been reviewed by Internal Audit, who are satisfied that the system represents good value for money for the Council.

4.0 POLICY IMPLICATIONS

- 4.1 None

5.0 OTHER IMPLICATIONS

5.1 Resource Implications

Funding for these energy costs is provided through the Street Lighting Revenue Budget.

5.2 Sustainability

The energy is from renewable sources and is therefore exempt from the Climate Change Levy (CCL)

5.3 Value for Money

The use of an energy procurement specialist provides good value for money as it advises on the most appropriate time to purchase electricity.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 Children and Young People in Halton

There are no direct implications on this priority

6.2 Employment, Learning and Skills in Halton

There are no direct implications on this priority

6.3 A Healthy Halton

There are no direct implications on this priority

6.4 A Safer Halton

This contract provides electricity for the operation of all highway electrical equipment, which includes street lighting and CCTV, and both can contribute to the feeling of a safe environment.

6.5 Halton's Urban Renewal

There are no direct implications on this priority

7.0 RISK ANALYSIS

7.1 There are no risks associated with this report as the supply of electricity to operate all highway electrical equipment has been secured for the next financial year and therefore a risk assessment is not required.

8.0 EQUALITY AND DIVERSITY ISSUES

8.1 There are no Equality and Diversity implications arising as a result of the proposed action.

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

9.1 Report to Executive Board Sub-committee on 12 February 2009;
Report to Executive Board Sub-Committee on 10 February 2011;
Report to Executive Board on 29th March 2012;
Report to Executive Board on 28th February 2013;
Report to Executive Board on 11th July 2013.

REPORT TO:	Executive Board
DATE:	26th March 2015
REPORTING OFFICER:	Strategic Director Policy and Resources
PORTFOLIO:	Transportation
SUBJECT:	Halton Local Flood Risk Management Strategy
WARDS:	Borough wide

1.0 PURPOSE OF THE REPORT

- 1.1** To report to the Board the development of Halton's Local Flood Risk Management Strategy (LFRMS), which is a Statutory Document required under the Flood and Water Management Act 2010 (F&WMA).

2.0 RECOMMENDATION: That the Local Flood Risk Management Strategy for Halton be approved and adopted in accordance with the Flood and Water Management Act 2010 Section 9.

3.0 SUPPORTING INFORMATION

- 3.1** Under the Local Flood and Water Management Act, as Lead Local Flood Authority (LLFA), Halton must produce a Local Flood Risk Management Strategy. At its meeting of 28th January, the Environment and Urban Renewal Policy and Performance Board considered a report on the development of a Local Strategy for Halton and resolved that the Executive Board be requested to approve the Strategy for adoption
- 3.2** The Strategy, included as Appendix 1 to this report, has been prepared in accordance with informal guidance published by the Local Government Association, and using a common template that has been developed and agreed in conjunction with our neighbouring LLFA members of the Cheshire Mid-Mersey Regional Sub Group, to ensure a consistent approach to flood risk management across the sub-regional catchment areas.
- 3.3** The aim of Halton's LFRMS is to provide a coherent plan to demonstrate how Halton will work with partners and others to manage flood risk in a holistic and sustainable way. It brings together information from:
- Strategic Flood Risk Assessments;
 - Preliminary Flood Risk Assessment;
 - Surface Water Management Plan; and
 - Procedures and policies for managing flood risk in Halton;

set out under five themed objectives, and supported by relevant graphical information, funding and work programmes contained within appendices to the Strategy document.

- 3.4 In accordance with the legislation, a formal consultation on the draft LFRMS was undertaken during November and December 2014. Comments received by the consultation closing date of 22nd December have been considered and where appropriate, incorporated into the LFRMS which is now proposed for adoption.

4.0 POLICY IMPLICATIONS

- 4.1 There are no direct policy implications arising from this report, however, once the Local Strategy has been adopted, it can inform specific policies, for example in relation to use of enforcement powers or the provision of flood protection measures etc.

5.0 OTHER IMPLICATIONS

5.1 Resource Implications.

Defra currently provide funding to LLFAs to prepare for their flood risk management duties. For 2015/16, the illustrative settlement funding assessment for Halton is £114,000, of which £13,000 is via direct grant allocation. Section 4 of the LFRMS describes the revenue funds which have typically been allocated to FRM and land drainage in Halton's budget.

- 5.2 Halton has the ability to bid for capital funding from Defra to assist with managing and improving flood risk across the Borough, including for schemes and interventions identified within the plan and works programmes appendix. The success of any bid is dependent upon evidence of past flooding, and the potential reduction in risk of flooding. The LFRMS will help to demonstrate Halton's ability to prioritise and manage flood risk and thereby assist in future bids for capital funding.

- 5.3 Securing capital funds is also dependent upon the availability of locally found contributions to enable the delivery of schemes collaboratively in accordance with Defra's 'Partnership Approach', as outlined in section 4.3 of the LFRMS. Relatively modest sums have been used in the past to secure funding for works and investigations through Defra's FDGiA budget and from Local Levy. It is vital that financial resources continue to be made available if delivery of programmed and prospective FRM schemes is to be maintained.

5.4 Sustainability

The sustainability themes of economy, community and the environment are all key factors in developing a successful local strategy for flood risk management and they are considered in the relevant sections of the document which is proposed for approval.

5.5 Legal Implications

There are no legal implications arising from this report. The preparation and adoption of the Local Strategy by LLFAs is a requirement under the F&WMA and its development must take account of a framework of related legislation which is outlined within the LGA Guidance.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 Children and Young People in Halton

There are no specific implications for children and young people in relation to this report.

6.2 Employment, Learning and Skills in Halton

There are no specific implications for employment, learning and skills in relation to this report.

6.3 A Healthy Halton

The Local Strategy will help to manage flood risk through the adoption of prevention and protection measures and help mitigate the impacts of flooding when it does occur, which should contribute to the health and well-being of communities that may be affected.

6.4 A Safer Halton

The Local Strategy will help to manage flood risk through the adoption of prevention and protection measures and help mitigate the impacts of flooding when it does occur, which should contribute to the safety of the community and potential users of affected land areas.

6.5 Halton's Urban Renewal

The Local Strategy will help to manage flood risk through the adoption of prevention and protection measures. The Strategy deals with land use considerations and the environmental aspects of sustainable development contained within the Strategy will help contribute to the creation of attractive, safe places and amenities and enhance Halton's physical and natural environment.

7.0 RISK ANALYSIS

7.1 The Council, as LLFA, regularly reports to the Environment Agency on the progress being made to deliver the range of functions and legislative requirements under the F&WMA. Progress on the preparation and adoption of the Local Strategy is one of the areas covered in the report and whilst no date was set within the legislation for the adoption of a Local Strategy, Government's expectation was that local strategies would be adopted within a reasonable period of time following the introduction of the Act.

7.2 Dan Rogerson, under Secretary of State at Defra, recently wrote to the Leaders of LLFAs who had yet to publish their Local Strategy, stressing

the importance of having this in place to target future investment and to demonstrate to other risk management authorities and the public that FRM is being taken seriously. There is a clear reputational risk to the Council if adoption of the Strategy is delayed unduly.

- 7.3** Elements of Halton's LFRMS will be referenced in the EA's Flood Risk Management Plan (FRMP) covering the whole of the North West river basin area and, therefore, it is essential that the Strategy is approved and adopted in time for the publication of the FRMP.

8.0 EQUALITY AND DIVERSITY ISSUES

- 8.1** There are no equality and diversity issues in relation to this report.

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

Document	Place of Inspection	Contact Officer
Preliminary framework to assist the development of the Local Strategy for Flood Risk Management. (LGA Feb 2011)	Municipal Building, Highway Development Division	D.A.Cunliffe
Draft Halton's Local Flood Risk Management Strategy (and Appendices)	Municipal Building, Highway Development Division	D.A.Cunliffe
SEA screening opinion, Letter and analysis. (URS, December 2014)	Municipal Building, Highway Development Division	D.A.Cunliffe



HALTON BOROUGH COUNCIL

Local Flood Risk Management Strategy

Produced By:

Halton Borough Council
Policy and Resources Directorate
Municipal Building
Kingsway
Widnes
WA8 7QF
Tel: 0303 333 4300

March 2015

Foreword



This is the first Strategy for Flood Risk Management in Halton and it is a key step in making sure that the risk of flooding in our borough is dealt with as a whole, joining up the work done by the Council, the Environment Agency and United Utilities with that of our community and individual households. It will consider how all sorts of activities can be deployed to help manage flood risk, from better planning which makes sure new developments decrease rather than increase flood risk, to ensuring that emergency responders have a good understanding of where flood risk is greatest.

However, the activities identified in this strategy can only help manage flood risk. It would not be possible, even if we were not in an era of austerity, to protect all households from any flood risk. Instead, efforts need to be made by all involved, organisations and householders alike to reduce flood risk in practical ways. Sometimes, this involves focussing not just on decreasing the probability of flooding but also on addressing the impacts of flooding, making sure that properties and households can cope in the event of a serious flood.

We recognise that, in the past, the different organisations involved in risk management have not always worked together effectively enough in tackling the difficult problems that flood risk often creates. We have a strong and long tradition of partnership working in Halton and we intend to extend this to managing flood risk. It is vital that organisations work better not just with each other but crucially with the public. This is why this strategy details the roles and responsibilities of all major stakeholders, including households and community groups, so that there is better clarity and understanding about when different stakeholders should be involved.

This strategy focuses on 'local flood risk', that is, flooding caused by surface runoff, groundwater and ordinary watercourses (streams, ditches etc.) However, it is not the source of flooding but the effects that matter and we are keen to make sure that all forms are managed together and tackled according to level of risk rather than by what caused it.

Assessing levels of risk from flooding is a difficult task. With more development and increasingly uncertain weather patterns, houses and businesses that have never been flooded in living memory may be at risk, as Halton experienced in the Summer of 2012, when the country experienced the second wettest year on record.

This strategy is our statement of intent as to what needs to be done to tackle flooding in Halton. We hope it will help you become better informed of everyone's responsibilities, how to find out your flood risk and what we can do to help you become safer.

Councillor Tom McInerney
Portfolio Holder for Transportation
Halton

Borough

Council

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Local Strategy: Context, Aims and Objectives

Section 9 of the Flood and Water Management Act 2010 (FWMA) requires lead local flood authorities to develop, maintain, apply and monitor a strategy for local flood risk management.

The strategy covers flood risk from surface runoff, groundwater and ordinary watercourses (i.e. non-main river). It must be consistent with the National Strategy published by the Environment Agency in 2011, and Halton must consult all risk management authorities and the public on its Local Strategy.

Introduction

Under statutory responsibilities as a Lead Local Flood Authority (LLFA), Halton Borough Council has developed this Local Flood Risk Management Strategy (LFRMS) to help understand and manage flood risk within the Borough. Halton Borough Council is well placed to co-ordinate flood risk management through its other statutory functions including Local Highway Authority, Local Planning Authority and Civil Contingencies Act 2004 Category 1 Responder. There is a well-developed network of partners by virtue of our historical operational and strategic practices. Halton, along with Cheshire East, Cheshire West, St Helens and Warrington Borough Councils, form the Cheshire Mid-Mersey Flood Management Group. All are LLFAs for their respective areas and this, and the wider North West England partnerships are outlined in more detail in section 1.4.

Catchment Approach

This strategy will set out a framework for managing flood risk in a holistic and sustainable way and will help Halton Borough Council as a Lead Local Flood Authority decide what we and our partners need to do to manage local risks. The Cheshire Mid-Mersey group of Lead Local Flood Risk Authorities have developed Local Flood Risk Management Strategies on a catchment-wide basis together, with local measures and flood risk assessments.

Who is this Strategy for?

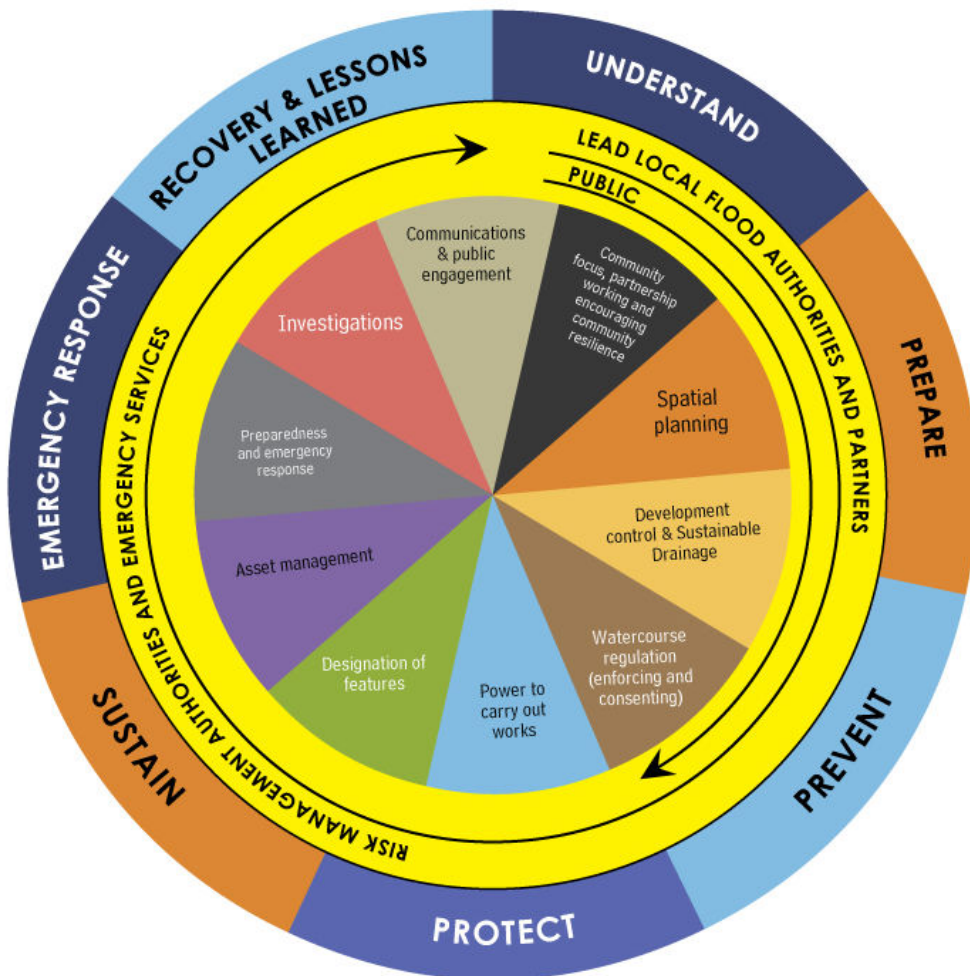
Who	Details
Our Community	There may be areas that are at risk of flooding
Infrastructure Providers	Community providers, Highway Authority, Network Rail, United Utilities, Scottish Power and Transco etc.
Organisations responsible for managing land	Property, cultural heritage and the natural environment, land areas where the responsibility lies with people such as landowners, farmers and the Forestry Commission.
Non-Government organisations	Royal Society for the Protection of Birds, Country Land and Business Association, National Farmers Union, Wildlife Trusts, National Flood Forum, Association of British Insurers and economic development organisations.

Objectives

Aim		Objectives	Measures
To produce a coherent plan to demonstrate how the Council will work with individuals, the community, partners and other organisations to holistically manage flood risk in a sustainable manner.	1	To clearly set out the different types of flooding, who is responsible for managing risk and governance arrangements.	<ul style="list-style-type: none"> • Legislation • Roles and Responsibilities • Governance Arrangements
	2	To assess the total risk of flooding from all sources in Halton.	<ul style="list-style-type: none"> • Assessment of Halton Area • Sources of Data & Availability • Map flooding from all sources and its potential impact • Assess potential effects of Climate Change

3	To manage flood risk and where appropriate reduce the risk and consequences of flooding through a range of activities and by effective management.	Achieve through: <ul style="list-style-type: none"> Partnerships Spatial planning Development control Sustainable drainage systems Enforcement and consenting powers Works powers Asset management Reservoirs Designating features Investigations Communications Emergency response
4	To develop actions and interventions to reduce flood risk where appropriate	<ul style="list-style-type: none"> Our approach to maintenance regimes and works Works programmes and maintenance schedules Improving information provision Funding improvements
5	To undertake flood risk management in a sustainable manner.	<ul style="list-style-type: none"> Integrating sustainable practices through all flood risk duties and actions

Figure: Halton’s step-by-step measures:



Powers and Duties

The Flood and Water Management Act 2010 (FWMA) places a number of new duties on the Council through either amendments to existing Acts such as the Land Drainage Act 1991 or through the FWMA itself. The key powers and duties in the Act are summarised below:

Responsibility	Details
Preparation of an Asset Register (s.21)	The Council has a duty to maintain a register of structures or features, which are considered to have an effect on flood risk, including details on ownership and condition as a minimum.
Power to designate flood risk management structures (schedule 1)	The Council, as well other flood management authorities have powers to designate structures and features that affect flooding or coastal erosion in order to safeguard assets that are relied upon for flood or coastal erosion risk management.
Investigation of flood incidents (s.19)	The Council has a duty to co-ordinate the investigation and recording of significant flood events within its area. This duty includes identifying which authorities have flood risk management functions and what they have done or intend to do with respect to the incident, notifying risk management authorities where necessary and publishing the results of any investigation carried out.
Prepare a Local Strategy for Flood Risk Management (s.9)	The Council is required to develop, maintain, apply and monitor a local strategy for flood risk management in its area. The local strategy will build upon information such as national risk assessment and will use consistent risk based approaches across different local authority areas and catchments.
SuDS Approval Body** (schedule 3)	The Council is designated the SuDS Approval Body (SAB) for any new drainage system, and therefore must approve, adopt and maintain any new sustainable drainage systems (SuDS) within its area.
Works powers and enforcement (amendment to Land Drainage Act 1991, s.14)	The Council has powers to undertake works to manage flood risk from surface runoff and groundwater, consistent with the local flood risk management strategy for its area.
Consenting changes to Ordinary Watercourses (s.21)	If riparian owners wish to culvert an ordinary watercourse or insert any obstructions, consent is required from an LLFA (Note: In areas of special drainage need (mainly in the east of the country and Severn / Avon catchments), cross-boundary Internal Drainage Boards (IDBs) undertake this function).
Powers to create Byelaws (amendment to Land Drainage Act 1991, s.66)	The Council may make such byelaws as it considers necessary for securing the efficient working of the drainage system in its district or area. Bye-laws are being progressed by the partners within the Cheshire Mid-Mersey group.

**At the time of writing, the SuDS aspects of the FWMA have not been fully implemented. Section 7 sets out how the Council will develop these duties to manage flood risk.

Documents that Contribute to this Strategy

There are a number of existing documents relating to flood risk and planning policy that form the basis of this strategy:

- Halton BC Surface Water Management Plan
- Halton BC Preliminary Flood Risk Assessment
- Halton BC Flood Incident Response Plan
- Halton BC Level Two Strategic Flood Risk Assessment
- Halton BC Unitary Development Plan
- Halton BC Local Core Strategy
- Cheshire Multi Agency Flood Plan
- Mid Mersey Water Cycle Study
- Mersey Catchment Flood Management Plan
- Weaver Goway Flood Management Plan

Objective 1: Risk Management Authorities and Responsibilities

Under Section 9(4) of the Flood and Water management Act 2010 Local Strategies must specify the risk management authorities operating in the Lead Local Flood Authorities' areas and the functions that may be exercised by them.

1.1 National Context

The Flood and Water Management Act 2010 identified certain organisations as 'Risk management authorities', which have responsibilities around flooding, both new ones from the Flood and Water Management Act 2010 and longstanding ones from previous legislation.

1.1.1 Background Legislation

The development and responsibility for flood risk management has evolved in recent years. Prior to 1989, it was the responsibility of the Local River Authorities, however the 1989 Water Act established the National Rivers Authority (NRA) and the privatisation of the Water and Sewerage sectors. Subsequently, in 1991, the following five Acts of Parliament were passed to consolidate existing water related legislation: The Water Industry Act, setting out the powers and duties of the water and sewerage companies; The Water Resources Act setting out the functions of the National Rivers Authority; The Statutory Water Companies Act, which applied specifically to the former statutory water companies; The Land Drainage Act, which transferred the functions of previous internal drainage powers of local authorities to the National Rivers Authority; and The Water Consolidation (Consequential Provisions) Act, which dealt with various consequential amendments, transitional arrangements and repeals arising from the introduction of the new legislation.

The Environment Agency (EA) was established in 1995, in place of the National Rivers Authority and took over the flood warning duties from the Police. Halton Borough Council is based within the EA's North West Region; with the head office based in Warrington. The release of the Planning Policy Guidance 25 (PPG25) in 2001 was in response to major flood events in 1998 and 2000, and designed to strengthen flood risk planning. This was superseded by the Planning Policy Statement 25 (PPS25) in 2006 for sustainable surface water management, which was in turn recently superseded again by the current National Planning Policy Framework, which intends to rationalise development legislation and processes.

1.1.2 Current Legislation

Following the 2007 Floods, the Pitt Review (2008) led to the overhaul of flood risk legislation within England and Wales. Greater responsibility particularly for surface water issues was assigned to upper tier Authorities such as Halton Borough Council. These responsibilities were formalised through the Flood and Water Management Act 2010. Summaries of these documents are as follows:

Legislation	Details
The Pitt Review (2008)	Sir Michael Pitt carried out a review of flood risk management practices after the widespread floods of 2007, in which over 50,000 households were affected and damages exceeded £4billion. The Pitt Review called for urgent and fundamental changes to the way flood risk was being managed. The report contained 92 recommendations for the Government, which were based around the concept of local authorities playing a major role in the management of local flood risk.
The Flood Risk Regulations (2009)	The Flood Risk Regulations transposes the EU Floods Directive into law for England and Wales. The Flood Risk Regulations require three main pieces of work: <ul style="list-style-type: none"> • The collecting of information on past and future floods from surface water, groundwater and small watercourses, assembling the information into a Preliminary Flood Risk Assessment (PFRA) report and identifying Indicative Flood Risk Areas. The PFRA for Halton Borough Council has been completed and is available on the Council website. • Following the identification of Flood Risk Areas, the Environment Agency was required to produce hazard and risk maps. As the Borough of Halton lies outside the Liverpool Flood Risk Area these maps were not required for Halton's 2011 PFRA. • The final stage is for Halton Borough Council to produce a Flood Risk Management Plan for the Indicative Flood Risk Areas. The Halton Borough Council Local Flood Response Plan 2012 and Merseyside Multi Agency Flood Plan (Merseyside Resilience Forum) will contribute significantly to the preparation of Flood Risk Management.
The Flood and Water Management Act 2010	The Flood and Water Management Act 2010 (FWMA) provides legislation for the management of risks associated with flooding and coastal erosion. Many of the recommendations contained in the Pitt Review have been enacted through the Flood and Water Management Act. The Act places a number of roles and responsibilities on councils such as Halton Borough Council, designating it a Lead Local Flood Authority, and on other risk management authorities with flood risk management functions. The preparation of this Local Flood Risk Management Strategy is brought about by this piece of legislation.

National Planning Policy Framework (2012)	The National Planning Policy Framework is a new document developed by the Department for Communities and Local Government (CLG). It is designed to streamline planning policy by substantially reducing the amount of planning guidance by bringing it all together in one coherent document.
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1.1.3 National Flood and Coastal Erosion Risk Management Strategy

Section 11 of the Flood and Water management Act 2010 requires English risk management authorities to act in a manner that is consistent with the National Strategy and any published guidance.

In exercising its flood and coastal erosion risk management functions, an English risk management authority must act in a manner which is consistent with the national strategy and guidance, and, except in the case of a water company, act in a manner which is consistent with the local strategies and guidance. (Note: water companies must 'have regard' to Local Strategies).

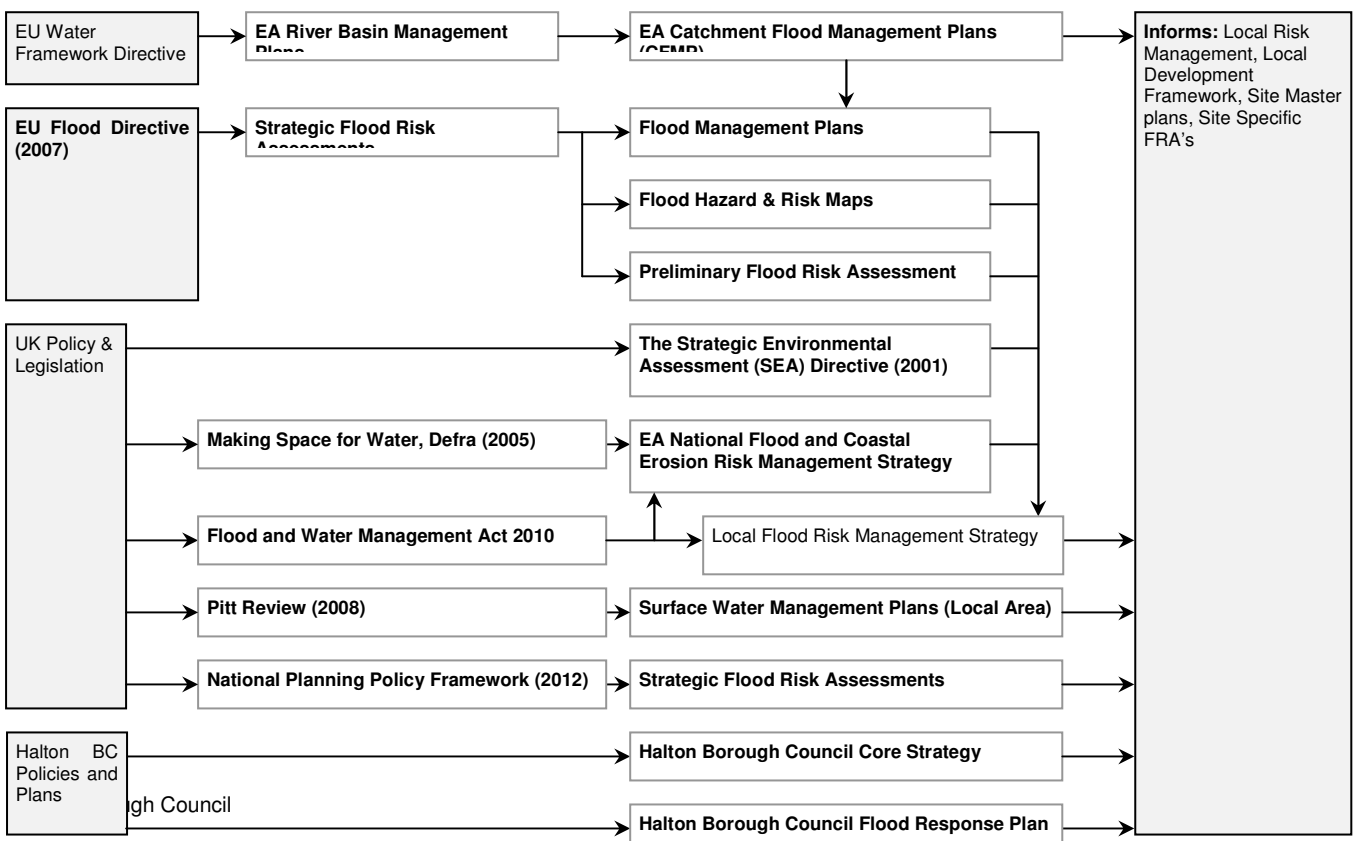
The Environment Agency and the Department for Environment, Food and Rural Affairs (Defra) have published a National Flood and Coastal Erosion Risk Management Strategy for England to ensure that the government, Environment Agency, local authorities, water companies, internal drainage boards and other organisations that have a role in Flood and Coastal Erosion Risk Management (FCERM) understand each other's roles and coordinate how they manage these risks. This fulfils a requirement of the Flood and Water Management Act 2010.

The Act gives the Environment Agency a 'strategic overview' of Flood and Coastal Erosion Risk Management, and in turn takes forward recommendations from Sir Michael Pitt's inquiry into the 2007 floods.

The National Strategy sets out what needs to be done to manage these risks by improving our understanding of them, reducing the likelihood of incidents happening, as well as managing the potential consequences for people, businesses, infrastructure and services. The National Strategy addresses these aims and shares them with LLFAs at a local level to:

- Respond better to flood incidents and recovery;
- Encourage local innovations and solutions;
- Help households, businesses and communities better understand and manage the flood risks they face;
- Manage the risk of flooding to people and their property and where possible, to improve standards of protection;
- Invest in actions that benefit public who face the greatest risk, but who are least able to afford to help themselves.
- Put sustainability at the heart of the actions we take, work with nature to benefit the environment, people and the economy.
- Move the focus from national government funded activities towards an approach that gives more power to local people, at individual, community or local authority level.

Figure: Overview of legislation contributing to current flood risk management



1.2 Types of Flooding and those Responsible:

Flood water is something that can affect all of us. This means that everyone has the responsibility to protect their properties from flooding. Whatever steps an individual takes to protect property from flooding must be carried out with due care. A property owner must ensure that they do not cause harm to their neighbours or their properties.

This Strategy sets out a framework for managing flood risk in a holistic way and will help Halton Borough Council as the Lead Local Flood Authority decide what we and our partners need to do to manage local risks. Halton Borough Council, as part of the Cheshire and Mersey group of authorities, has defined a flood of 'significant harmful consequences' as having one or more of the following characteristics:

- Resulted in major disruption to the flow of traffic for 12 hours or more;
- Posed, or could have posed, a risk to human health;
- Adversely affected the functioning of critical infrastructure;
- Caused harmful impacts to environmentally and socially important assets;
- Caused internal flooding to a property used for residential or commercial purposes.

The table below shows which organisations are responsible for the different types of flooding. Although these organisations may be responsible this does not mean that they are liable for damage caused by flooding. Property owners who own land bounding a river, lake, or other water course are defined as 'Riparian Owners' and they have the responsibility of protecting their property and for maintaining the section of adjacent watercourse.

Risk Management Authority for each Type of Flooding

	Flooding Type	Details	Risk Management Authority	Responsibility for Flood Protection
Natural	River flooding (Fluvial)	This occurs when a river or stream cannot cope with the water draining into it from the surrounding land – for example, when heavy rain falls on ground that is already water logged.	Main River – Environment Agency Ordinary Watercourse – Halton Borough Council	Riparian land owner
	Tidal flooding	This can occur at high spring tides. High water levels in the Mersey Estuary cause water to surcharge back up tributaries and flood surrounding land and highways.	Environment Agency	Environment Agency, Halton Council, Riparian land owner
	Surface water flooding (Pluvial)	This occurs, for example, when rainwater does not drain away through the normal drainage system or soak into the ground, but lies on or flows over the ground instead rather than from a channel. This type of flooding can be difficult to predict and pinpoint much more so than river or coastal flooding.	Halton Borough Council	Land Owner
	Groundwater Flooding	This occurs when levels of water in the ground rise above the surface. It is most likely to happen in areas where the ground contains aquifers which become saturated following periods of persistent rainfall. These are permeable rocks that water can soak into or pass through.	Halton Borough Council	Land Owner
Joined	Highway Flooding	Flooding is caused by heavy rainfall or by water overflowing from blocked drains and gullies causing water to pond within the highway network.	Halton Borough Council	Halton Borough Council, Highways Agency, Merseylink Ltd (in respect of the Mersey Gateway project roads)

Man made	Sewer Flooding	This can happen when sewers are overwhelmed by heavy rainfall or when they become blocked. The chance of flooding depends on the capacity of the local sewage system and amount of rain that falls. Land and property can be flooded with water contaminated with raw sewage as a result. Sewers that overflow can also pollute rivers.	United Utilities	United Utilities
	Water Supply Flooding	When flooding occurs from a manmade water supply, for example when a burst water main results in flooding in a residential area.	United Utilities	United Utilities, asset owners (if in private ownership)
	Reservoir flooding	Reservoirs hold large volumes of water above ground level, contained by walls or dams. Although the safety record for reservoirs in England is excellent, it is still possible that a dam could fail.	Canal and River Trust, Environment Agency, United Utilities, Halton Borough Council	Reservoir Owner
	Canal	Canals are rivers or manmade channels that have been developed for use in industry. Canal flooding occurs when the canal cannot cope with the water draining into it from the surrounding land.	Canal and Rivers Trust, Peel Holdings (not a Risk Management Authority)	Canal Owner – Peel Holdings, Bridgewater Canal Company Ltd.

Other Relevant Legislation

There is a wide range of other relevant legislation and guidance contributing to Flood Risk Management including:

- The Reservoirs Act 1975
- The Ancient Monuments & Archaeological Areas Act 1979
- The Highways Act 1980
- The Wildlife & Countryside Act 1981
- The Building Act 1984
- The Environmental Protection Act 1990
- The Town and County Planning Act 1990
- The Planning (Listed Buildings & Conservation Areas) Act 1990
- The Land Drainage Act 1991
- The Water Resources Act 1991
- The Water Industry Act 1991
- The Environment Act 1995
- The Countryside & Rights of Way Act 2000
- The Water Act 2003
- The Planning and Compulsory Purchase Act 2004
- The Civil Contingencies Act 2004
- The Climate Change Act 2008
- The Planning Act 2008
- The Local Democracy, Economic Development & Construction Act 2009
- The Localism Act 2011
- The EU Wild Birds Directive (1979/409/EEC & 2009/147/EC)
- The EU Environmental Impact Assessment Directive (1985/337/EEC & 1997/11/EC)
- The EU Habitats Directive (1992/43/EEC)
- The EU Strategic Environmental Assessment Directive (2001/42/EC)
- The EU Water Framework Directive (2000/60/EC)
- The EU Floods Directive (2007/60/EC)

1.3 Risk Management Authorities and Others and their Responsibilities

Authority	Responsible For	Activity
Government (Defra)	Defra develops FCERM policy and is the lead Government department for flood risk management in England.	New or revised policies are prepared with other parts of government such as the Treasury, the Cabinet Office (for emergency response planning) and the Department for Communities and Local Government (land-use and planning policy). These national policies form the basis of the Environment Agency's work.
Environment Agency (RMA)	<p>As national co-coordinator, the Environment Agency has a strategic overview of all sources of flooding (as defined in the Flood and Water Management Act 2010).</p> <p>It is also responsible for regulating reservoir safety, and working in partnership with the Met Office to provide flood forecasts and warnings.</p> <ul style="list-style-type: none"> • Main rivers • Reservoirs over 10,000m³ 	<p>Developing long-term approaches to FCERM. This includes working with others to prepare and carry out sustainable Flood Risk Management Plans at a regional level, (formerly Catchment Flood Management Plans (CFMPs)) to address flood risk in river basins.</p> <p>Shoreline Management Plans (SMPs) assess the risks of coastal flooding and erosion and propose ways to manage them. The Environment Agency also collates and reviews assessments, maps and plans for local flood risk management (normally undertaken by Lead Local Flood Authorities).</p> <p>Providing evidence and advice to support others. This includes national flood risk information, data and tools to help other risk management authorities and inform government policy, and advice on planning and development issues.</p> <p>Working with others to share knowledge and the best ways of working. This includes work to develop FCERM skills and resources. Monitoring and reporting on flood and coastal erosion risk management. This includes reporting on how the national FCERM strategy is having an impact across the country.</p> <p>The Environment Agency brings together local authorities and communities to share our combined knowledge, and develop a sustainable framework so that the right actions are decided for each community.</p>
Halton Borough Council (LLFA RMA)	<p>As local coordinators, the Flood and Water Management Act directs responsibility for the following types of flooding to LLFAs to:</p> <ul style="list-style-type: none"> • Surface Water • Highway Drainage • Groundwater • Ordinary Watercourses <p>Providing and managing highway drainage and roadside ditches under the Highways Act 1980.</p>	<p>Prepare and maintain a strategy for local flood risk management in their areas, coordinating views and activity with other local bodies and communities through public consultation and scrutiny, and planning. Maintain a register of assets – these are physical features that have a significant effect on flooding in their area, Issue consents for altering, removing or replacing certain structures or features on ordinary watercourses;</p> <p>Establish approval bodies for design, building and operation of SuDS. Play a lead role in emergency planning and recovery after a flood event. Set land use policy and manage development in relation to policy</p> <p>The owners of land adjoining a highway also have a common-law duty to maintain ditches to prevent them causing a nuisance to road users. To manage these risks as set out in the national strategy, authorities will need to work effectively with the Environment Agency.</p>
United Utilities (RMA)	Work with flood authorities to co-ordinate the management of water supply and sewage systems.	<p>Make sure their systems have the appropriate level of resilience to flooding, and maintain essential services during emergencies. Maintain and manage their water supply and sewage systems to manage the impact of flooding and pollution to the environment.</p> <p>Provide advice to LLFAs on how water and sewage company assets impact on local flood risk. Work with developers, landowners and LLFAs to understand and manage risks.</p>
Private Sewer Ownership	Since 1 October, 2011 property owners have no longer been responsible for certain sewer pipes that connect their homes to public sewers	<p>New legislation will transfer responsibility for these pipes, called private sewers and lateral drains, to United Utilities. After the private sewer transfer there will be public sewers which will be owned and maintained by United Utilities, and private drains</p> <p>This will remove confusion for responsibility and aid flood management. The deadline for the transfer of private pumping stations to United Utilities is October 2016.</p>
Manchester Ship Canal Company (Not a RMA)	Managing the Manchester Ship Canal primarily for navigation and secondarily for flood risk purposes.	Manchester Ship Canal Company is the statutory navigation authority for the canal and as such is responsible for managing the shipping movements along the entire length of the canal. Manchester Ship Canal Company is also responsible for managing flood risk directly from the canal and can do this by managing water levels through the operation of key assets and undertaking dredging where necessary.
Bridgewater Canal Company Ltd (Not a RMA)	Managing the Bridgewater Canal primarily for navigation and secondarily for flood risk purposes.	The Bridgewater Canal Company is the statutory navigation authority for the canal and as such is responsible for managing the shipping movements along the entire length of the canal. The Bridgewater Canal Company is also responsible for managing flood risk directly from the canal and can do this by managing water levels through the operation of key assets and undertaking dredging where necessary.
Residents and Business (Not RMAs)	Riparian Land Owners are responsible for the maintenance and upkeep of the watercourse if it is part of their land. Householders and businesses are responsible for the protection of their own properties.	

1.4 LLFA Structure (including governance and local partnerships)

Section 13 of FWMA 2010 requires risk management authorities to co-operate with each other in exercising their flood risk management functions.

This also enables the sharing of information between them. Sub section 13(4) allows for functions to be delegated to other risk management authorities (except for those in connection with national and local strategies).

Much of the local knowledge and technical expertise necessary for Halton Borough Council to fulfil duties as a LLFA lies with the Council and other partner organisations. The Flood and Water Management Act 2010 pre-dated the Localism Act and NPPF of 2012 but includes the same principle of the need for relevant authorities to cooperate. They create a duty on local planning authorities and other bodies to cooperate with each other to address issues relevant to their areas. The duty requires ongoing constructive and active engagement on the preparation of development plan documents and other activities relating to the sustainable development and use of land, in particular in connection with strategic infrastructure.

It is therefore crucial that the Council works alongside these partners as they undertake their responsibilities to ensure effective and consistent management of local flood risk. These working arrangements have been formalised to ensure clear lines of communication. In assuming its new statutory responsibilities as the Lead Local Flood Authority, Halton Borough Council is well placed to co-ordinate flood risk management through its other statutory functions including: Local Highway Authority, Local Planning Authority and Civil Contingencies Act Category 1 Responder. The Council has a centralised network of partners by virtue of its historical operational and strategic innovative practices. This strategy formalises and develops our partnerships.

Halton Borough Council has taken a “whole catchment” view of flood risk management. By doing so it ensures we appreciate our actions over the whole area rather than simply within political boundaries. Halton Borough Council’s administrative area is situated within both the Mersey catchment and the Weaver Gowy catchment area. The Council has established a strong liaison link with Warrington Borough Council due to the general topography and drainage characteristics and the interplay between Halton and Warrington. Other influences are from watercourses in Knowsley BC, St. Helens BC and Warrington BC administrative areas of the catchment.

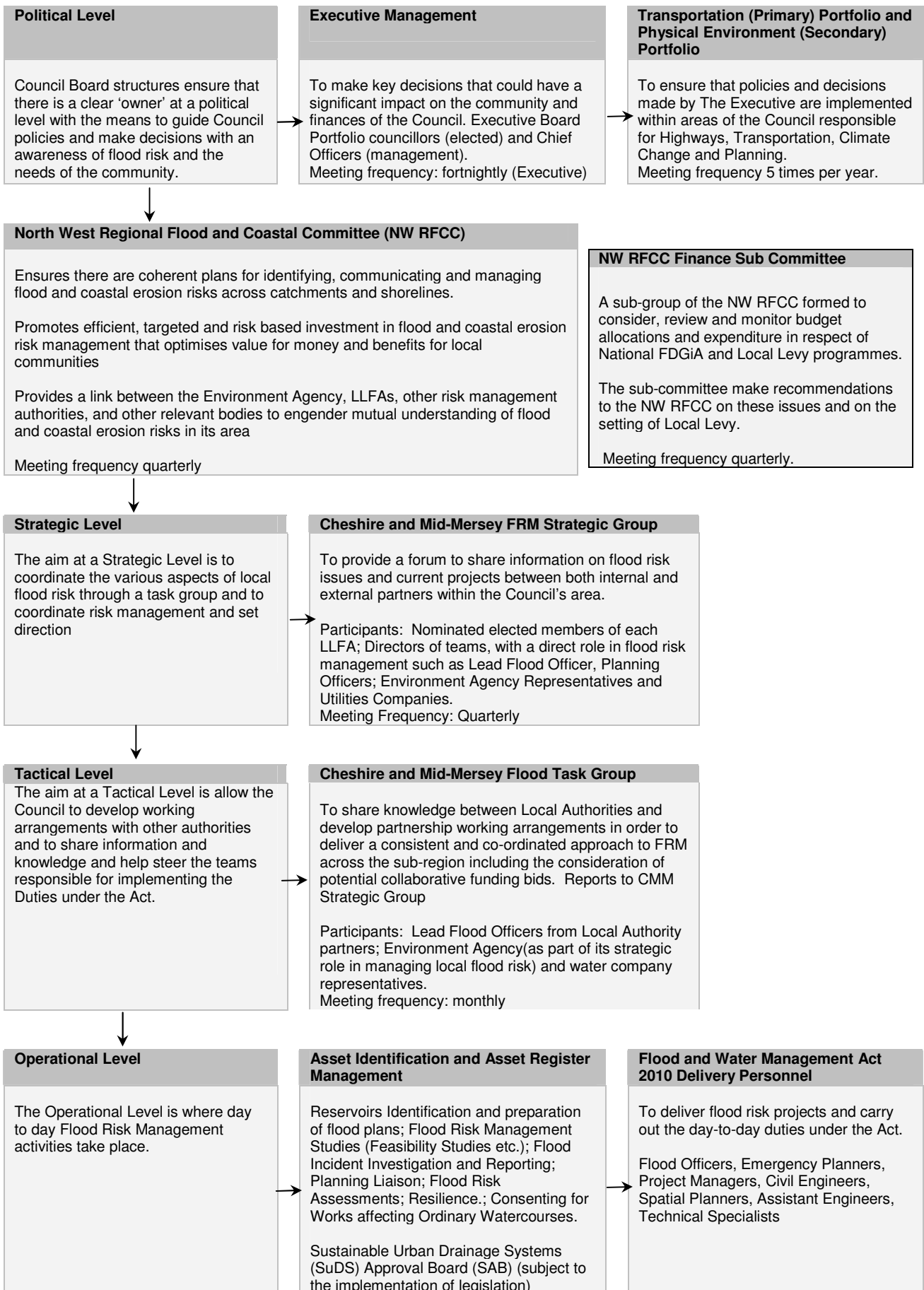
Halton Borough Council is part of the wider Cheshire and Mid-Mersey sub-regional LLFA working group, where best practice and lessons learned are shared in relation to the management of flood risk. There is liaison with the Merseyside Group of Drainage Authorities as a result of established transportation and economic partnership working, and ultimately to the whole Mersey Estuary Catchment through contacts at a regional level with Manchester Authorities (AGMA).

Authorities within the Cheshire Mid Mersey Flood Management group are:

- Halton Borough Council
- St. Helens Borough Council
- Cheshire East Council
- Cheshire West and Chester Council and
- Warrington Borough Council

Additionally, the Merseyside Environmental Advisory Service (MEAS) is a sub-regional service that serves Halton, Knowsley, Liverpool, Sefton, St Helens and Wirral Councils. MEAS provides environmental advice and sustainable solutions. The service comprises professional technical staff and its role is to assist the Liverpool City Region (LCR) Districts by providing technical advice on a wide range of environmental matters. It assists the LCR Districts by providing a ‘one-stop-shop’ for a broad range of environmental, nature conservation and sustainable development and waste management issues.

Figure: Structure Responsibilities





Objective 2: Assessment of Flood Risk in Halton

Section 9 (4) of the FWMA 2010 requires the Local Strategy to include an assessment of local flood risk in the LLFA's area.

2.1 The Area

The administrative area of Halton Borough lies within two catchments. These are the Mersey Estuary and the Weaver Goway catchments, which form the southern part of the North West River Basin District.

Area Overview:

The Borough of Halton has a population of 125,700 and covers an area of 79 square Kilometres (30.5 sq. miles). It is situated in the North West of England, to the east of Liverpool and north of Cheshire and straddles the River Mersey tidal estuary.

Approximately two thirds of the Borough is built-up urban area, chiefly comprising the towns of Widnes and Runcorn, with six parishes, largely comprising the remaining one-third green belt area and situated to the west of Widnes and to the east of Runcorn.

North of the Mersey estuary, the land slopes gently upwards to a maximum elevation of around 50m AOD. This area is drained predominantly by Ditton Brook to the west and Bowers Brook to the east of Widnes. Both of these main rivers flow into the tidal Mersey Estuary. Ditton Brook is also tidal and flows in open channel. The southern section of Bowers Brook is culverted. South of the Mersey estuary, the land slopes steeply from the west and north to a general height of around 75m AOD across Higher Runcorn and Halton. The landform slopes more gently southwards to the River Weaver valley and eastwards to Keckwick Brook. The Runcorn area is drained by several ordinary watercourses which outflow to these main rivers. River catchment areas, main rivers and watercourses are detailed in Appendix 1.

Agricultural land at Halebank, Widnes Warth and Wigg Island in Runcorn is affected by River Mersey tidal flooding. In Widnes, the built-up frontage to the river estuary is protected by river walls. To the south, the Runcorn conurbation is protected by the Manchester Ship Canal walls. There are two other canals in the area, the St Helens Canal and the Bridgewater Canal. The locations of these are shown in Figure 12 appendix 1 to this document.

The underlying geology in Halton consists of a band of Helsby Sandstone with Wilmslow Sandstone to the north and Tarporley Siltstone to the south. The overlying drift geology is predominantly Boulder Clay, with Blown Sand (Shirdley Hill Sand) at Weston Point. The soils of the surrounding area are a combination of brown earths and argillic stagnogley soils. A large proportion of the Mersey Estuary catchment lies upon a significant aquifer, which, in the past, was pumped extensively for mining, water supply and other industrial purposes.

The average rainfall across Halton is 50mm, with a seasonal low of less than 40mm in spring and around 70mm in October.

Due to the general landform and proximity to the River Mersey Estuary with its tributaries, Halton generally has a low flood risk rating. However, the Environment Agency currently operate five flood risk warning areas within Halton associated with tidal and fluvial flooding and there are several local surface water flooding 'hotspots' which were identified in Halton's PFRA and SWMP study.

2.2 Availability of Data

Authority	Dataset	Description
Environment Agency	Flood Map (Rivers and the Sea) Flood Map for Surface Water	Shows the extent of flooding from rivers with a catchment of more than 3km ² and from the sea. Includes two flood events (with a 1 in 30 and a 1 in 200 chance of occurring) and two depth bandings (greater than 0.1m and greater than 0.3m). (Makes allowance for some drainage)
	Areas Susceptible to Surface Water Flooding Areas Susceptible to Groundwater Flooding	The first generation national mapping, outlining areas of risk from surface water flooding across the country with three susceptibility bandings (less, intermediate and more). (Makes no allowance for drainage) Coarse scale national mapping showing which areas are susceptible to groundwater flooding.
	National Receptors Dataset (NRD)	A national dataset of social, economic, environment and cultural receptors including residential properties, schools, hospitals, transport infrastructure and electricity substations.
	Indicative Flood Risk Areas	Nationally identified Flood Risk Areas, based on the definition of 'significant' flood risk described by Defra
	Historic Flood Map	Attributed spatial flood extent data for flooding, from all sources.
	Flood Warning Areas	Residents in Ditton and Halebank areas of Widnes receive automated flood warning messages.
	Mersey Estuary Catchment Flood Management Plan (FMP) & Weaver Goway Catchment FMP	CFMPs consider all types of inland flooding, from rivers, groundwater, and surface water and tidal flooding and are used to plan and agree the most effective way to manage flood risk in the future.
Halton Borough Council	Strategic Flood Risk Assessment (SFRA);	SFRA contains useful information on historic flooding, including local sources of flooding from surface water, groundwater and flooding from canals. SFRA applies a sequential analysis in respect of development
	Level 2 Strategic Flood Risk Assessment (JBA, 2011)	SFRA contains useful information on historic flooding, including local sources of flooding from surface water, groundwater and flooding from canals.
	Preliminary Flood Risk Assessment PFRA	Preliminary Flood Risk Assessment (PFRA), Details on historical past flooding records and possible future flooding areas. The document also contains the level of significant flooding
	Historical flooding records	Historical records of flooding from surface water, groundwater and Ordinary Watercourses.
	Anecdotal information relating to local flood history and risk; Basic Anecdotal information	Anecdotal information from authority members regarding areas known to be susceptible to flooding from excessive surface water, groundwater or flooding from Ordinary Watercourses. Anecdotal information: flood risk, flood history and local flood hotspots.
	Highways Flooding Reports	Highways Flooding Reports for a number of locations within Halton Borough Council, including analysis of the flood risk at each location.
	Asset register	Register of assets that are part of private and public flood defences in the borough.
	Surface Water Management Plan	Details of a SWMP Study that was carried out for the whole of the Borough in 2011 and which identifies surface water flooding 'hotspots' and proposed actions for further development.
	Mid-Mersey Water Cycle Study (Outline Phase) 2011	Strategy on the Water Cycle for the Mid-Mersey Catchment, which Halton Borough Council is a part of.
	Desk Top Culvert Inundation Study Surface Water Study	A desk top study to provide initial culvert locations and inundation flood model (JBA 2012) Study of surface water mapping (Jacobs 2012)
Cheshire Fire & Rescue Service	Incident response register	Issue logs of all events recorded by Cheshire Fire and Rescue Service. This includes flooding incidents.
United Utilities	Wastewater Incident register	Extracts from United Utilities Sewerage incident database and register of properties / areas that have flooded as a result of under capacity of the sewerage system.
	DG5 Register	

2.3 Summary of Recorded Flooding

2.3.1 Flooding from Ordinary Watercourses (Fluvial)

Ordinary Watercourses are any watercourses that are not designated a 'Main River' by the Environment Agency and therefore come under the land drainage remit of Halton Borough Council. These watercourses can vary in size considerably and can range from drains and open ditches, to streams, brooks and small rivers. There are gaps due to currently unavailable information. Like many urban watercourse systems, the network through the Borough has many culverts particularly on Bowers Brook, which flows through Widnes Town Centre.

The locations of known ordinary watercourses have been identified in the Halton SFRA. Flooding of watercourses is associated with the exceedance of channel capacity during higher flows. The process of flooding on watercourses depends on a number of characteristics associated with the catchment including; geographical location and variation in rainfall, steepness of the channel and surrounding floodplain and infiltration and rate of runoff associated with urban and rural catchments.

2.3.2 Surface Water Flooding (Pluvial)

Surface water flooding in this context is surface water runoff as a result of high intensity rainfall when water is ponding or flowing over the ground surface before entering the underground drainage network or watercourse, or cannot enter it because the network is full or at capacity, thus causing flooding. This is known as pluvial flooding. Pluvial flooding also includes overland flows from the urban/rural fringe entering a built up area. Whilst pluvial flooding from heavy rainfall can occur anywhere in the Council's area, there are certain locations where these mechanisms are more prominent due to the urban nature of the catchment, complex hydraulic interactions between watercourses and surface water and combined sewer systems.

Significant surface water flooding is a result of interacting hydraulic mechanisms. The locally significant instances that are known are in the Kingsway and Appleton Wards in Widnes.

2.3.3 Coastal Flooding (Tidal)

Coastal flooding may be described simply as the inundation of low lying coastal areas by the sea, or the overtopping or breaching of sea defences. Coastal flooding may be caused by seasonal high tides such as those driven by the spring neap tide cycle, storm surges and where increase in water level above the astronomical tide level is created by strong on shore winds or by storm driven wave action. Extreme conditions leading to coastal flooding are most commonly a result of a combination of two or more of these mechanisms. In Halton, coastal tidal flooding is a risk in low lying areas close to the Mersey Estuary and its tidal tributaries.

Flooding from coastal / tidal influences is known to affect property and highways at Hale Road, Ditton Road, St Michaels Road, and Marshgate, in Widnes and Ramsbrook Lane, Halegate Road, Hale.

2.3.4 Groundwater Flooding

Groundwater flooding is caused by the emergence of water from underground, either at point or diffuse locations. The occurrence of groundwater flooding is usually very local and unlike flooding from rivers and the sea, does not generally pose a significant risk to life due to the slow rate at which the water level rises. However, groundwater flooding can cause significant damage to property, especially in urban areas, and can pose further risks to the environment and ground stability. There are several mechanisms, which produce groundwater-flooding including: High in-bank river levels, artificial structures, prolonged rainfall and groundwater rebound (which occurs when abstraction, typically for drinking water, industrial or mine dewatering purposes, stops and water levels return to pre-abstraction levels).

A large proportion of the Mersey Estuary catchment lies upon a significant aquifer, which, in the past, was pumped extensively for mining, water supply and other industrial purposes. There is no known documented evidence of surface flooding from groundwater in the Mersey Estuary catchment. Groundwater flooding is a minor issue at catchment scale it is not considered in detail for the Weaver Goway catchment. The known possible groundwater flooding areas in the Halton Brook area of Runcorn and Barrow's Green area of Widnes did not produce any recorded incidents in the September 2012 Flooding.

2.3.5 Highway Drainage Networks and Sewers

Flooding from artificial drainage systems occurs when flow entering a system, such as an urban storm water drainage system, exceeds its discharge capacity, the system becomes blocked or it cannot discharge due to a high water level in the receiving watercourse. A sewer flood is often caused by surface water discharging into the surface water or combined sewer systems, sewer capacity is exceeded in large rainfall events causing the backing up of floodwaters within properties or discharging through manholes. The management of flood risk from public sewers is the responsibility of the sewage undertaker; the undertaker for Halton Borough Council is United Utilities (UU).

Records show that flooding has occurred mainly in areas in the Kingsway and Appleton wards of Widnes. Due to the potential link between different types of flooding and the need for understanding of past flood events, information on this source of flooding has been indicated in Halton's Surface Water Management Plan study

2.3.6 Flooding from Canals

There are four canals within the Halton Borough study area: The Manchester Ship Canal, the Bridgewater Canal, the St Helens Canal and the Weaver Navigation. The predominant cause of uncontrolled loss of water from canal systems is as a result of flooding, vandalism or structural failure causing a breach. In the event that a canal does fail resulting in a release of water, the height that the canal is elevated above surrounding land will affect to some degree the amount of flood hazard that could be caused by deep or fast flowing debris laden water, alongside the cause of failure. The amount of water that can escape depends on the pound length, which is the distance between two locks because the maximum volume of water that will outflow will be contained between the two locks or time taken for an operator to react to a failure to prevent further escape. The risk of flooding from canals is reduced by regular inspection by the owners to identify any problems with inflow and outflow structures, canal lining or embankments.

Canal flooding due to failure of the Manchester Ship Canal is considered to be unlikely. A mathematical reliability analysis has been undertaken, which looks at the probability of the sluices not operating normally, and this has informed the published MSC Water Level Operational Protocol. As a controlled water body, the Bridgewater Canal only poses a minor risk of flooding to adjacent people and property. There is a small risk associated with lower probability events such as overtopping and/or the breaching of embankments. There is anecdotal evidence of the Bridgewater Canal overtopping its banks and flooding the highway at Runcorn Road, Moore.

2.4 Future Flood Risk (from all sources)

This section aims to identify what the future flood risk is for Halton. This includes looking at current flood modelling data that has been created for Halton Borough Council by the Environment Agency and others, using both local and national datasets and considering the known historic events. In summary, flood modelling suggests the following potential risks:

Data Set	Flooding Type	People	Properties	Transport Network	Critical Infrastructure (see note *)	Community Facility
Mersey Estuary Catchment Flood Management Plan 2008	Main River	758	324	3.2km	13	-
Weaver Goway Catchment Management Plan 2008	Main River	7	3	5km	3	-
Halton Preliminary Flood Risk Assessment 2011	Surface Water	2579	373	-	20	1
JBA Culvert Analysis 2012	Ordinary Watercourses	1010	332	-	-	-

*Critical infrastructure includes major roads, railways, and power and water infrastructure.

2.4.1 Flooding from Ordinary Watercourses (Fluvial)

There are a small number of identified flood risks from Ordinary Watercourses across Halton. Flooding from ordinary watercourses can also occur during high tides, particularly in the Hale area, and at times of flash storm events. A study to locate culverts and to undertake flood model analysis of all culverts on ordinary watercourses to map inundation scenarios has been undertaken (JBA Consultants 2012). This mapping forms part of the Council's set of risk maps and asset management data. Flood risks are identified for Higher Runcorn and at Desoto Road, where there is the potential to affect a number of highways at West Bank Industrial Estate. Flooding from Ordinary Watercourses is known to affect property and highways at:

Watercourse	Location	Impact
Willow Brook	Pool Hollow	Property and highway
Marsh Brook	Desoto Road	Highway

2.4.2 Flooding from Main River

Halton Borough Council has reviewed and identified that there are flooding incidences from Main Rivers within the Borough. The main source of flood risk in Halton is associated with fluvial flooding from Ditton Brook and its tributaries and Keckwick Brook. The Mersey Estuary Catchment Flood Management Plan, produced by the Environment Agency, quantifies the following risk for a 1% annual exceedance flood event (for the whole of Halton):

- 765 people
- 327 properties
- 8.2km of Transport Network
- 16 items identified as critical infrastructure
- 0 community facilities

Flooding from Main River is known to affect property and highways at:

Watercourse	Location	Impact
Ditton Brook	Ditton Road, St. Michael's Road, Hale Road	Highway
Rams Brook	Hale Gate Road	Highway
Keckwick Brook	Glastonbury Close	Property and highway
Keckwick Brook	Eastgate Road	Property and highway

Although flooding from Main Rivers is the prime responsibility of the Environment Agency, the Council will liaise and act in partnership to solve or mitigate issues. Flood defences to protect against river flooding are in place on Ditton Brook and Keckwick Brook. The EA have 2 active Flood Warning Zones across Halton as follows:

Watercourse	Area	Number of Properties
Ditton Brook	Ditton	109
Ditton Brook	Hale Bank	278

Maps of these zones are provided at Appendix 2.

2.4.3 Culvert Study

Two phases of a staged process to develop the Council's flood risk asset register have been undertaken. In 2012, a preliminary desk-top exercise was undertaken which identified culvert locations and analysed the risk of flooding to land critical infrastructure and properties through hydraulic modelling of potential failure of the culverts. In 2014, a second phase of site-based culvert inspection was undertaken to create a record of individual culvert construction and condition. The culvert flood risk analysis, taken together with the condition inspection, will help to inform and prioritise future maintenance and repair works programmes.

2.4.4 Surface Water Flooding (Overland Flow)

The Environment Agency (EA) has produced a national assessment of surface water flood risk in the form of two national mapping datasets. These comprise:

- 1) the first generation national mapping; Areas Susceptible to Surface Water Flooding (AStSWF) which produces three susceptibility bandings (less, intermediate and more); and
- 2) the Flood Map for Surface Water (FMfSW), which contains two flood events: 1 in 30 annual chance and 1 in 200 annual chance, for two depth bandings: greater than 0.1m and greater than 0.3m.

The EA suggest that LLFAs should review, discuss, agree and record the surface water flood data that best represents their local conditions. The FMfSW estimates a greater number of properties to be at risk of surface water flooding and consequently, under a precautionary approach that would provide a robust analysis; this was used in the preparation of Halton's PFRA.

The Pitt Review recommended that Surface Water Management Plans (SWMPs) should form the basis for future management of all local flood risks. Mott MacDonald was commissioned by Halton Borough Council to undertake a SWMP study of the Halton Borough area including the towns of Widnes and Runcorn, which are ranked 156 and 309 respectively in the National Rank Order of Settlements Susceptible to Surface Water Flooding (DEFRA, 2009). The study included an intermediate level risk assessment of flood risk of the whole Borough to identify priority areas and the first stage of a detailed assessment of those 'hot-spot' areas susceptible to flooding, which comprised an in-field review and summary recommendations.

The outputs of the study can be summarised as follows:

- a suite of interactive surface water flood risk maps comprising four series covering 1 in 30, 1 in 100 and 1 in 200 year events and based upon a 100m x 100m cellular grid:
 - **100 Series** - flood depth, hazard and velocity;
 - **200 Series** – Flood Impact Maps for Property including impact scores for flood depth and hazard;
 - **300 Series** – Flood Impact Maps for Essential Transport Infrastructure including impact scores for flood depth only;
 - **400 Series** – Flood Risk Maps for Property comprising flood risk scores for flood depth and hazard
- A 'higher risk' cluster cell analysis based on the 100m x 100m grid and 'Hot-Spot' area mapping;
- Detailed risk assessment and Prioritised list of Actions for Hot-Spot areas.

The Halton Surface Water Flood Map that has been produced for the SWMP study shows very close correlation with the EA's second generation FMfSW and it has been agreed with the EA that the national FMfSW will be used as the definitive locally agreed surface water map.

Appendix 1 Figure 6 shows the flood Map for Surface Water for Halton Borough Council area. The following table summarises the numbers of properties potentially affected by surface water.

Properties at risk from surface water flooding in Halton

Depth	Estimated number of ALL properties at risk of surface water flooding from a 1-in-200 event	Estimated number of residential properties at risk of surface water flooding from a 1-in-200 event
0.1m	12,690	9,747
0.3m	3,061	2,293

Halton Council has completed Strategic Flood Risk Assessments (levels 1 and 2), in which, anticipated development and associated flood risks have been Sequentially Tested. It is intended that this approach to development and flood risk ensures that planned development does not increase flood risk and also that appropriate development only, in terms of flood risk, is permitted. Appendix 1 Figures 8 and 9 show future development sites in relation to the EA's Flood Risk Zones.

Evaluation of the modelling reports for the watercourses within this area indicates that many of the channels and culverts running through Halton have significant capacity, often exceeding the 1 in 100 (1%) year annual probability flood event. The surface water mapping, however, assumes deficient existing drainage capability and does not take account of potential additional capacity of watercourses. Consequently, it is likely that much of the flooding shown in these areas could in fact flow into the watercourses and be conveyed downstream, unless prevented by physical characteristics of the area (e.g. built-up defences, culverts, topography, etc.). The extent of surface water flooding could, therefore, be significantly less than the model suggests. It is also likely that the areas that are affected by surface flood risk are relatively hydraulically independent of each other. This means that an action to reduce surface water flood risk in one area is unlikely to have significant positive or negative impacts in other areas.

Surface water runoff from adjacent ground to highways and private property is highly variable and often dependant on localised agricultural land management and degree of ground saturation, which proved a particular contributing factor during the second half of 2012.

2.4.5 Groundwater Flooding

National Environment Agency datasets provide an assessment of groundwater risk in terms of percentage likelihood in given 1km national grid squares. This is the Areas Susceptible to Groundwater Flooding (ASStGWF). The Council subscribes to the new ESI National Groundwater Flood Risk Map which shows that the areas at risk from groundwater flooding are considerably less extensive than previously flagged by other providers of groundwater flood information. Figure 10 in Appendix 1 shows the distribution of groundwater flooding which includes high risk areas associated with the Keckwick Brook and Whitley Brook catchments. Reliable data on groundwater flood events is sparse, and in exchange for licence to use the maps for planning and flood risk management purposes, the Council has undertaken to provide data that will develop and further improve the map.

The Council has recorded groundwater emergence in the Stenhills area of Runcorn, although this is not classed as a significant or harmful risk. However, the Council believes that there is a general risk of groundwater flooding in subsiding areas within north Widnes, potentially relating to groundwater rebound following cessation of dewatering after the closures of mines. The extent of any groundwater flooding is likely to be limited and occupy areas similar to the fluvial floodplain. It is therefore considered that the probability of groundwater floods with significant harmful consequences is low.

2.4.6 Canal Flooding

There are four navigable canals within the Borough of Halton:

Manchester Ship Canal

The Manchester Ship Canal follows the southern bank of the Mersey Estuary around Runcorn. Water levels in the Manchester Ship Canal within Halton are affected by four factors:

- Water flowing down the River Mersey from the upper reaches of the canal, above Latchford Locks.
- Water flowing down the canal from Latchford Locks.
- Water flowing down the River Weaver.
- Tidal events.

There is significant freeboard between the surface water level and the top of bank. Though not designed specifically for flood management purposes, the canal and the operation of the eight sluices at Runcorn, which control the water level in the lower reaches of the canal as it passes through Halton, does reduce flood risk by allowing flows to pass downstream. The Council's view is that the operation of these sluices is likely to have a significant impact on flood risk.

The Manchester Ship Canal Company has developed a Water Level Control Operational Protocol for the canal, in liaison with the Environment Agency. This document sets out the operating procedures for the canal sluices, including at high flows. It also details the maintenance regime and the reliability of the sluices. The Council is satisfied that this document sets out an appropriate basis for managing the sluices on the Ship Canal and does not seek to designate these features.

Canal's Relationship with Keckwick Brook:

Keckwick Brook drains a large catchment area on the east side of Runcorn, which originally flowed into the Mersey Estuary. The Manchester Ship Canal severed this route and the Brook now outfalls into the canal via (older) brick-lined egg-shaped outfall culverts and (newer) inverted siphon outfall culverts, both with flap valves to control backflow from the canal to the brook when tidal conditions dictate high water levels in the canal.

The lower reach of Keckwick Brook north of Sandymoor has minimal gradient as it passes through the Manor Park area of Runcorn. Due to the slackening of the gradient and the sandy nature of the soils upstream, the brook is prone to silting over this section, which causes capacity problems within the channel, through culverts. Culvert blockage at Daresbury Expressway results in frequent flooding of a pedestrian subway, with consequent health and safety issues for users of the highway infrastructure in this area.

Flood attenuation reservoirs adjacent to Keckwick Brook were constructed by the Warrington & Runcorn Development Corporation in the 1980's at Wharford Farm and Oxmoor, to provide flood protection for new development in east Runcorn. The Oxmoor basins take flow from Keckwick Brook during high flows and when tidal conditions in the Mersey Estuary and water levels in Manchester Ship Canal lock-out the outfalls. At Oxmoor, water is impounded by two basins and is discharged back into the brook via gates when water levels subside. Alternative discharge from the basins is available via the United Utilities pumping station which can pump high volumes quickly into the canal to empty the basins.

The hydrology of the brook has been recently re-modelled by the Environment Agency to ensure flooding mechanisms at Sandymoor are known and risk is managed appropriately. The EA and the Council are currently considering alterations at Wharford Farm flood storage basin inlet structure that would bring the balancing lake into operation at lower frequency storm events

The drainage system of Keckwick Brook, including the attenuation / flood storage basins and the outfalls to the Ship canal are complex. The Council proposes to convene a meeting of partners: the EA, United Utilities and Peel Ports Group / Peel Holdings (the MSC owners), to share information on flood modelling, sluice control and pumping discharge options, in order to engender a better understanding between the parties, of flooding modes in the Keckwick Brook catchment and seek to reduce flood risk in the lower Keckwick Brook catchment.

Bridgewater Canal

The Bridgewater Canal is a broad, fairly shallow canal with two distinct reaches within the Borough: the mainline which runs between Moore Village and Preston Brook, and a spur that runs into Runcorn Old Town. The canal has no locks and an Act of Parliament provides rights to take any water within a half-mile of the Canal to fill the Canal or remove water from the Canal into adjacent watercourses. The Bridgewater Canal is the responsibility of the Bridge Water Canal Company, owned by the Peel Group. The canal is embanked above surrounding ground level in places and Flood risk from the canal is associated with lower probability events such as overtopping and/or the breaching of embankments.

Water levels in the Canal are controlled by several telemetry warning installations that continuously monitor water levels, both high and low levels. The continuous level monitoring and freeboard combine to give a reasonable degree of control over water levels. When circumstances dictate, the level of the Canal can be drained via a number of let-offs. There are two discharge points within Halton, the Penstock in Runcorn Old Town at the end of the spur that consists of a 600mm culvert with sluice gates that drains into the Manchester Ship Canal and a discharge into Keckwick Brook. If the sluices at Runcorn Old Town fail there are sluices at Barton and Manchester that can be used to release water into the Mersey. To date there are no records of flooding caused by the Canal in Halton. However, flooding could be caused by the Canal through:

- Collapse or blockage of the sluice in Runcorn Old Town when in use.
- Draining water into Keckwick Brook
- Collapse of the embankments supporting the Canal.
- Failure of under-bridges where the Canal passes above roads.

The infrastructure of the Canal is inspected regularly and remedial action taken to correct any problems. Stop log positions are located at Red Brow Lane Daresbury to allow repairs to be carried out should the need arise.

The main cause of potential embankment failure is unauthorised engineering and building works and the best method of managing this situation is to avoid interference with the embankments unless absolutely necessary.

St Helens Canal

St Helens Canal is a broad canal with two tidal locks into the River Mersey, which runs along the northern edge of the estuary towards Warrington and then into St Helens. The Canal is owned by Halton Borough Council. The Canal is at a lower level to the surrounding land and there are no under bridges, therefore embankment breaches do not pose a risk of flooding.

The Canal acts as a flood defence for South Widnes as it effectively forms a large 'moat' between the tidal River Mersey and the urban area. There is a substantial strip of salt marsh / open space between the River Mersey and the Canal, and as the capacity of the canal is unknown, modelling would have to be undertaken to predict the height of the tide required to cause the Canal to fill with seawater.

River Weaver Navigation

The River Weaver Navigation is owned and operated by British Waterways. At a point just to the south of the Borough boundary, the River Weaver splits to form a canalised section running into Weston Docks and a separate channel draining over sluices into a natural river section that joins the Manchester Ship Canal. Neither of these water bodies is known to cause flooding in Halton. In both cases land is above the level of the canal with substantial freeboard. During flood events water in the Weaver discharges over sluice gates on the outskirts of Frodsham into the Manchester Ship Canal where upon it discharges via sluices into the River Mersey.

2.4.7 Reservoirs

Reservoir flooding is extremely unlikely to happen. There has been no loss of life in the UK from reservoir flooding since 1925. All large reservoirs must be inspected and supervised by reservoir panel engineers. The EA are the enforcement authority for the Reservoirs Act 1975 in England and ensure that reservoirs are inspected regularly and essential safety work is carried out.

In Halton, the main areas susceptible to reservoir flooding are parts of Sandymoor and Manor Park in Runcorn, which include residential and commercial property and are at risk due to potential failure of the Wharford Farm balancing lake reservoir. This reservoir is owned by Halton Borough Council and provides floodwater storage for Keckwick Brook acting as flood defence for the developing Sandymoor residential area. The reservoir has a capacity of 25,000 cubic metres and is designed to only impound (contain) water during 1 in 50 year rainfall/flood events. The last recorded impounding was in October 2012.

The management of this reservoir is currently governed by the Reservoirs Act Legislation and it is therefore subject to the inspection and supervision regime under the Act, as indicated above. The Flood and Water Management Act 2010 updates the Reservoirs Act 1975 and adopts a more risk based approach to reservoir regulation which (inter-alia) reduces the capacity at which a reservoir will be regulated from 25,000m³ to 10,000m³ and requires only those reservoirs assessed as a higher risk to be subject to regulation. High risk reservoirs will be those reservoirs where human life would be endangered if there were an uncontrolled release of water from the reservoir. Owners of 'high risk' reservoirs will need to comply with all the requirements of the Act. Owners of reservoirs that are not designated as 'high risk' and all undertakers with reservoirs over 10,000m³ will still need to register these with the EA, but will not need to comply with the inspection and supervision requirements of the Act. Registering the reservoirs means that in case of maintenance or flood risk incidents, clear communication lines can be set up.

There are two other large reservoirs, which, if their impounding structures were to fail, could potentially affect areas of Widnes. Pex Hill reservoir which sits outside Haton's administrative boundary in Knowsley MBC, is owned and operated by United Utilities. According to the EA, worst-case scenario flooding follows watercourse flow-paths to the north of Upton Rocks. Fiddlers Ferry ash lagoons to the east of Widnes and within Warrington BC's administrative boundary, are owned and operated by Scottish and Southern Energy PLC. Failure of these structures has the potential, in a worst-case scenario, to flood industrial and commercial areas at Shell Green and Tanhouse, Widnes.

2.5 The effects of Climate Change on Future Flood Risk

Over the last few years, the frequency of flooding incidents reflecting unseasonable erratic weather patterns has increased across the area of Halton. Our approach to flood risk management reflects the impact of climate change. There is clear scientific evidence that global climate change is happening. Greenhouse gas levels in the atmosphere are likely to cause higher rainfall in future. If emissions follow a medium future scenario, the UK climate prediction (UKCP09) projected changes by the 2050s relative to the recent past are:

- Winter precipitation increases of around 14% (very likely to be between 4 and 28%)
- Precipitation on the wettest day in winter up by around 11% (very unlikely to be more than 25%)
- Relative sea level at Morecambe very likely to be up between 6 and 36cm from 1990 levels (not including extra potential rises from polar ice sheet loss)
- Peak River flows in a typical catchment likely to increase between 11 and 18%. Increases in rain are projected to be greater near the coast than inland.

Climate changes can affect local flood risk in several ways. Impacts will depend on local conditions and vulnerability. Wetter winters and high intensity rain falling in wet spells may increase river flooding especially in steep, rapidly responding catchments. More intense rainfall causes more surface runoff, increasing localised flooding and erosion. In turn, this may increase pressure on drains, sewers and water quality.

Storm intensity in summer has increased in recent years, so we need to be prepared for the unexpected. Halton Borough Council will prepare by developing an understanding of our current and future vulnerability to flooding, developing plans for increased resilience and building the capacity to adapt. Regular review and adherence to these plans is key to achieving long term, sustainable benefits. We will continue to monitor and correlate weather patterns to increase our understanding.

2.6 Improving Risk Understanding

We will continue to monitor flood events in tandem with the EA/Met Office forecasts, main river gauge records, rainfall data and actual flood extents compared to predictive mapping. This combination of analysis will over time allow us to:

- Refine risk models
- Monitor recorded flood incidents
- Implement residual risk management measures
- Improve community advice
- Seek to share EA telemetry data for analysis and improved warnings

Objective 3: Managing Local Flood Risk

Section 9 (4) of the FWMA 2010 requires the Local Strategy to specify the LLFA's objectives for managing local flood risk.

This includes details of the measures proposed to achieve the objectives and plans for implementation and funding.

Halton Borough Council as the Lead Local Flood Risk Authority will coordinate and manage flood risk through a range of activities, across internal departments and external partners.

	Measure	Contribution to Risk Management
1	Partnership Coordination	Community resilience. Localism Act 2011
2	Spatial Planning Policy	Setting policy and future land use through Halton's planning policy documents
3	Development control	Assessing planning applications in respect of flood risk
4	Sustainable Drainage Approval Board (SAB)	Assessing and approving applications (subject to final legislation)
5	Enforcement and Consenting	Enforcement and consenting in respect of ordinary watercourses. Development and enforcement of Halton's Bye Laws
6	Works Powers	Power to carry out works in respect of essential flood risk management
7	Asset Management	Identifying and managing drainage assets. Works and operations
8	Designation of Features	Identifying critical assets and designation to protect
9	Investigations and Flood Reporting	Undertaking investigations and resolution of flooding incidents. Maintaining log of flooding incidents
10	Communication and Community Engagement	Ensuring the community is aware of flood risk and is prepared.
11	Emergency Preparedness and Response	Preparing and responding to flood alerts, flood warnings and flood incidents.

3.1 Community Focus, Partnership Working and Encouraging Community Resilience

People who live and work in flood risk areas have a critical role in managing the risks they and their communities face. Halton Borough Council and other risk management authorities will support this role.

Community Resilience:

Responsibilities
Communities and individuals in areas at risk of flooding should take responsibility for understanding the risks and, where appropriate, take steps to protect themselves for example, signing up to the Environment Agency's flood warning system in the designated areas. Preparing a flood plan for their household or business, creating or joining a local flood action group, and taking steps to protect their property and others (for example, where they own land adjoining ordinary watercourses and have maintenance responsibilities).
Partnering
Halton Borough Council will work with partners together to make communities and individuals more aware of flood risks. The aim of this work is to help communities to participate as far as possible in LFRM. To do this, we will work with partners to publish up to date information on risks and liaise with those groups who may be better placed to provide links with communities.
Communities
Communities, led by Halton Borough Council, will plan for the future and take appropriate steps to adapt to changing flood risks. Defra, the Environment Agency, the Council and others will support community adaptation by working with them to develop understanding of how they can adapt to change, the costs and benefits of different approaches, and by providing practical approaches and examples that can be shared. In particular, these will focus on community adaptation planning and engagement and implementing long term multiple benefit, innovative adaptive solutions such as land use management change.
Householders
Householders and businesses at risk of flooding should take the appropriate steps to better protect their properties through property-level resistance and resilience measures. Halton will support this work by raising awareness and understanding and, in some cases, supporting wider take up of flood resistance and resilience measures to reduce damage to buildings. When flooding does occur we will work with specialist groups such as the National Flood Forum to aid recovery.
Publicity

Halton Borough Council will publicise the importance of insurance as a means of protection. Affordable and widely available flood insurance is a means of sharing the risk between individuals, businesses, and insurance companies. Flood risk has long been included as standard in most building and contents insurance policies. The Government and insurance industry agreed to support the wide availability of insurance after the Statement of Principles expired in July 2013. The agreement recognises that the terms of government policy are likely to reflect local risk. The policy should take account of any actions carried out at a property or community level to reduce flood risk.

3.1.1 Localism Act 2011

The Localism Act 2011 will give communities and local government greater powers and freedom from Whitehall. The five key measures in the Localism Act intended to decentralise power are:

- Community Rights
- Neighbourhood Planning
- Housing
- General power of competence
- Empowering cities and other local areas

The Localism Act 2011 identifies a duty to cooperate in joint planning, in particular where sustainable development or use of land that has or would have a significant impact on at least two planning areas. These planning areas could encompass land for or in connection with infrastructure that is strategic, sites of special scientific interest and Green Belt land. Linking with the Flood and Water Management Act 2010, it brings the possibility or discretion to share data and cooperate as stated by the Act to become a defined legal duty, thus strengthening the position of LLFAs in dealing with the impending SAB and SuDS duties.

3.2 Planning Policy

Planning policy is the fundamental starting point in reducing flood risk in Halton. Spatial planning is the responsibility of Halton Borough Council as the Local Planning Authority (LPA). It therefore allows close working arrangements with the Council's other statutory function as the Lead Local Flood Risk Authority.

Local Planning Authorities must prepare Local Plans which set out planning policies in a local authority area. Local Plans form the statutory development plan against which planning applications must be determined, unless material considerations indicate otherwise. The Council adopted the Halton Core Strategy Local Plan in April 2013 and work has commenced on the Delivery and Allocations Local Plan. Local Plans must be positively prepared, justified, effective and consistent with national policy in accordance with section 20 of the Planning and Compulsory Purchase Act 2004 (as amended) and the National Planning Policy Framework.

Through planning policy documents, a policy framework is created for development control within which all those engaged in the planning process can actively contribute to a more sustainable approach to managing flood risk. This will provide opportunities to:

- Adopt a catchment-wide approach, develop integrated sustainable developments, which deliver multiple benefits
- Factor flood risk into planning decisions from the outset of the spatial planning process
- Develop local authority, developer and community-led initiatives to reduce flood risk / enhance the environment
- Ensure that both the direct / cumulative impacts of development on flood risk are acknowledged and mitigated
- Ensure that these decisions fully consider the implications of climate change and provide greater clarity and certainty to developers regarding which sites are suitable for developments of different types

Policy CS23: Managing Pollution and Risk within Halton's Core Strategy contains the following measures aimed at managing flood risk:

Development should not exacerbate existing levels of flood risk nor place residents or property at risk from inundation from flood waters. This will be achieved by:

- Directing development to areas where the use is compatible with the predicted level of flood risk, both at present and taking into consideration the likely effects of climate change.
- Using Halton's Strategic Flood Risk Assessment to inform the application of the sequential approach/test and exception test in accordance with national planning policy.
- Requiring site-specific Flood Risk Assessments for proposals in areas at risk from flooding as identified in the Halton SFRA.
- Supporting proposals for sustainable flood risk management (e.g. defence / alleviation work) so long as they do not have a detrimental impact on the landscape of the Borough.

In respect of flood risk the following documents will inform the preparation of local planning documents:

- National Planning Policy Framework (CLG, 2012): This aims to ensure that inappropriate development in areas at risk of flooding is avoided.
- Halton Strategic Flood Risk Assessment (HBC, 2007): This provides a detailed and robust assessment of the extent and nature of the risk of flooding in the Borough and the implications for future development.

- Halton Level 2 Strategic Flood Risk Assessment (JBA, 2011): This builds on the technical information and methods used in Level 1 and focuses on three primary watercourses and development areas.
- Mid Mersey Water Cycle Study (Entec, 2011): This provides an overview of the water cycle and its constraints to development across the Mid Mersey area
- Mersey Estuary Catchment Management Plan
- Weaver Goway Catchment Management Plan
- North West Shoreline Management Plan

3.2.1 Surface Water Mapping and Land Use Considerations

The Environment Agency advises that LPAs and developers should carry out assessments of surface water flooding in line with Government planning policy detailed within the National Planning Policy Framework. Halton Borough Council as the lead on local flood risk has reviewed, discussed, agreed and recorded, with the Environment Agency, United Utilities and other interested parties, what surface water flood data best represents local conditions.

The Flood Map for Surface Water has been reviewed against a local scoping study, local historic data and local knowledge. This knowledge base will continue to develop through the newly established arrangements that will capture and record surface water flood information to validate assumptions made.

Surface water data may be different for different purposes, even within one location. The locally agreed surface water flood risk information will be taken into account in the preparation of Local Development Plans and may be material to decisions on individual planning applications. In land use planning, locally agreed surface water flood risk information can be used to highlight where a more detailed study of surface water flooding may be necessary, for example, within a strategic flood risk/consequence assessment.

The Environment Agency surface water flood maps are not appropriate to use as the sole evidence for any specific planning decision, at any scale, without further supporting studies or evidence. Proving the model on the ground and other available data, such as locations of historic surface water flooding, should be used alongside the Environment Agency surface water flood maps.

The locally agreed surface water flood risk information is most appropriate for use at this level of the development planning system where it will provide the greatest benefit in terms of the identification, management and avoidance of surface water flooding. This surface water flood risk information will act as a starting point to highlight areas where the potential for surface water flooding needs particular assessment and review within Strategic flood risk/consequence assessments and in Surface Water Management Plans.

The output from these assessments can then be used to inform development allocations within Local Plans and outline the requirements for site level flood risk/consequence assessments to be carried out by developers. The Local Planning Authority is required to appraise risk, manage risk and reduce risk using a partnership approach. Risk appraisal is undertaken by:

- Identifying land at risk,
- the degree of risk of flooding from river, sea and other sources;
- Preparing Strategic Flood Risk Assessments (SFRA) as freestanding assessments that contribute to the sustainability appraisals of Local Plans.

The Sequential Test advised by the National Planning Policy Framework Guidance Document is used by Halton Borough Council in allocating sites for development, or determining planning applications. In using the sequential test, sites are “zoned” in order of preference according to the flood risk probability, identified by the SFRA. Appropriate land uses for each flood zone are also listed to provide guidance for LPAs when they are considering appropriate use of sites within each zone.

Strategic development will be approached through planning, appropriate design, situation and location of future development, all of which can contribute to reducing the risk of flooding, including:

- Application of SuDS techniques with new developments (adoption subject to national legislation);
- Application of property and location-specific flood protection measures;
- Reference to the Local Flood Risk Authority developments affecting ordinary watercourses
- Planning enforcement in respect of unauthorised development undertaken in liaison with the Lead Local Flood Authority
- Identify river corridors and the natural flood plain to provide potential riverside storage and urban river corridors in built up areas.

3.3 Development Control

Details of the management of flood risk in planning and development control is contained in Halton’s Core Strategy CS23 – Managing Pollution and Risk. Guidance on the requirement for site Flood Risk Assessments, based upon the size of development and / or the risk of flooding (from rivers and the sea) in that location, is provided on the EA website. When

the FWMA SuDS legislation is enacted, the local planning and SuDS approval processes will enable those development sites not captured within the EA's flood risk zones to be assessed for other forms of flood risk.

Developments in Flood Zone 1 are at low risk of flooding from main river/ordinary watercourses and the sea, but can be at risk from surface water or groundwater flooding and can cause or exacerbate flood risk elsewhere if runoff is not attenuated. As Lead Local Flood Authorities have responsibilities for managing these 'local' sources of flood risk, from 2014, Halton as Local Planning Authority, formally consults LLFA staff on rates of runoff, drainage details and overland flood flow routes in respect of FZ1 planning applications. The Environment Agency only provides standing guidance on FZ1 applications and continues to be consulted on developments near or over watercourses.

Halton's Core Strategy also deals with sustainable development and climate change within policy CS19 which seeks to encourage the adoption of the Code for Sustainable Homes for new residential development and BREEAM standards for new non-residential development. Both of these include the adoption of practices for surface water and flood risk management through a variety of sustainable drainage techniques to reduce the amount of surface water that runs off the site into storm drains such as:

- Provision of soakaways
- Provision of areas of porous paving;
- Supplying accessible water butts;
- Rainwater harvesting and
- Property resilience to mitigate residual flood risk

The application of the range of SuDS techniques for new and redeveloped sites will be adequately considered through the Development Control and SuDS Approval planning processes.

3.4 Sustainable Drainage Systems (SuDS)

Sustainable drainage is to be introduced under Section 32 and Schedule 3 of the FWMA 2010.

Halton, in carrying out its functions both as Lead Local Flood Authority and as Highway Authority, must aim to make a contribution towards the achievement of sustainable development. Furthermore, Schedule 3 of the FWMA 2010 contains details of the requirements for Sustainable Drainage Systems that are aimed at reducing damage from flooding; improving water quality; protecting and improving the environment; protecting health and safety and ensuring the stability and durability of drainage systems.

Note: It is anticipated that this part of the legislation will be enacted in April 2015.

SuDS is a technique that manages surface water and groundwater sustainably. The primary purpose of SuDS is to mimic the natural drainage of land prior to development. This is achieved by capturing rainfall, allowing as much as possible to evaporate or soak into the ground close to where it fell, then conveying the rest to the nearest watercourse to be released at the same rate and volumes as prior to development. The key objectives are to manage the volume and rate of flow of surface runoff to reduce the risk of flooding and water pollution. SuDS can also reduce pressure on the sewerage network and can improve biodiversity and local amenity.

The use of SuDS techniques was seen as a key element of the Pitt Review and his recommendations on sustainable drainage are encompassed within the FWMA 2010 under Schedule 3. At the time of preparing this Local Strategy, this section of the Act has not been introduced. However, when it is enacted, (expected to be in April 2015), it will establish Halton Borough Council as a SuDS Approving Body (SAB), with duties to approve drainage systems in new developments and redevelopments, before construction can commence. It is envisaged that responsibilities of the SAB will be set up as follows:

Sustainable Drainage Approving Body (SAB)

Department	Key Responsibility	Elements
Planning	Lead	Lead administration aligned to Development Control system. Policy setting through the production of planning policy documents.
Building Control	Advice	Technical advice and site inspection
Open Spaces	Maintenance	Technical advice and maintenance for soft SuDS
Highway Development	Adoption and Maintenance	Technical advice; Agreements; Adoption and Asset Management

The Act amends Section 106 of Water Industry Act 1991, to make the right to connect surface water to public sewers **conditional** on the SAB approving the drainage system. It will also require that the proposed drainage system meets new National Standards for design, construction, operation and maintenance of SuDS.

Defra carried out a consultation on draft proposals for the implementation of SuDS legislation, the operation of SABs and a draft set of National Standards in 2012. However, as described above, proposals have yet to be finalised and this section of the Act has not been enacted. There will be further clarity in due course and the Local Strategy will be amended as necessary.

In the meantime, Halton BC is working with partners and neighbouring LLFAs on preparing for the new role and we want to ensure close links to the planning approval process. Until Schedule 3 of FWMA 2010 is enacted, the National Standards are adopted and funding arrangements in connection with SAB duties are confirmed, Halton BC will not be in a position to formally approve and adopt any SuDS proposals by developers.

Part VIII of Defra's consultation on the implementation of SuDS sought to deal with the issue of "Orphan" SuDS – those SuDS to which adoption does not apply because, for example, construction preceded the SAB approval requirement. If during the period prior to the enactment of the legislation, a developer does propose SuDS, then Halton BC will attempt to ensure that the SuDS design is acceptable. Until the SAB is constituted the following condition will be added to planning decisions: "All proposed SuDS features are to be designed in accordance with CIRIA document C697."

It should be noted that initial assessments of the geology and soil types across Halton Borough have indicated a generally 'LOW' suitability for the use of infiltration SuDS. The map in appendix 8 shows SuDS suitability and further information is available for Developers in Halton's SFRA2 and the Mid-Mersey Water Cycle Study.

However, the SuDS approach is not wholly dependent on infiltration but also includes attenuation techniques such as ponds, wetlands, green roofs and water recycling schemes which hold back runoff volumes and rates and allow water reuse. If proposed SuDS are compliant in terms of design and construction, and following discussions with Halton's Open Spaces Division, they **may** be accepted as part of Public Open Space, together with agreement on the payment of commuted sums for their future maintenance. Alternatively, developers will be encouraged to transfer future responsibility to a Management Company set up for the purpose of maintenance and repair of features on their development.

3.5. Watercourse Regulation: Enforcement and Consenting

No person shall obstruct the flows in a watercourse under section 23 of the Land Drainage Act 1991.

No person shall erect any obstruction or culvert in any ordinary watercourse that would be likely to affect flow of any ordinary watercourse without the written consent of the Local Authority. An application fee of £50 is required and consent will not be unreasonably withheld.

Powers to require works for maintaining flow of watercourse are contained in Section 25 of the Land Drainage Act 1991.

If the proper flow of water in an ordinary watercourse is impeded then the Local Authority concerned may, by serving a notice under section 25 require that person to remedy that condition.

Before exercising their powers under section 25 the Local Authority shall, under section 26, notify either the drainage board for that district or the Environment Agency.

The following changes in legislation give administrative powers to the Lead Local Flood Authority:

Schedule 2, paragraph 30 of the Flood and Water Management Act 2010 repeals section 17 of the Land Drainage Act 1991 and requires Local Authorities to exercise their powers in accordance with their local FRM strategy.

Schedule 2 paragraph 32 (6) of FWMA 2010 amends section 23 of the Land Drainage Act 1991 so that the Environment Agency's role as a drainage board for ordinary watercourses outside an internal drainage district is taken over by Lead Local Flood Authorities.

Schedule 2, paragraph 33 of the FWMA 2010 amends section 25 of the Land Drainage Act 1991 to give the powers of the Environment Agency to Lead Local Flood Authorities.

The Flood and Water Management Act changed the responsibility for the regulation of works on ordinary watercourses from the Environment Agency to Lead Local Flood Authorities. 'Regulation' is the management of any activity that has the potential to create obstructions to flow in watercourses and comprises two key activities:

- Consenting of works (including any temporary works) before they are constructed; and
- Enforcement actions to bring about the remediation of any unconsented or unacceptable work or the removal of obstructions.

These are very important powers, as any work that is carried out without consent has the potential to increase flood risk to people and property, including those unconnected with the works. Consenting by LLFAs is undertaken through the use of powers under sections 23, 24 and 25 of the Land Drainage Act 1991.

Activities on ordinary watercourses that require consent are generally those likely to cause an obstruction to flow or restrict storage and include culverting, bridge foundations, weirs etc. Halton Borough Council is required to ensure that all works on watercourses that it is responsible for, have the appropriate consent and that the consented works are constructed according to the agreed design. Generally, it is the more rural areas which tend to generate the most applications for consent. Historically, there have been a very low number of consent applications from within the Borough to the EA, when they were responsible for regulation on ordinary watercourses.

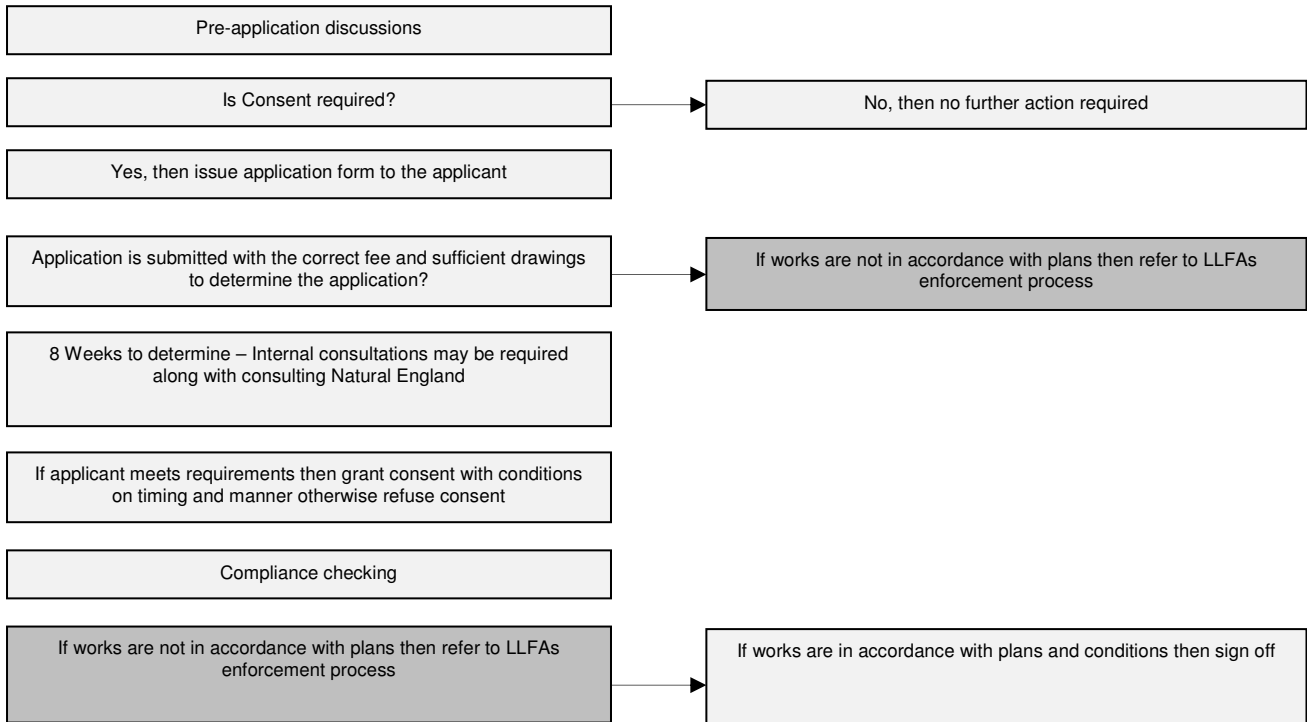
The same criteria would be used to assess works to ordinary watercourses that have been undertaken without consent, and whether the Council should consider enforcement action in those cases. Enforcement action may be taken where damaging (or potentially damaging) works have been carried out without consent, or the works are in contravention to a consent that has been issued. Some works may be sufficiently serious (or deficient) to require immediate action to mitigate the risk of flooding, others may require a more proportionate response. Where enforcement measures are deemed necessary the Environment Agency's Enforcement Concordat will be followed.

The Environment Agency will retain an overview role and LLFAs must consult the Environment Agency when they are consenting work that they are themselves proposing to minimise the potential for conflict of interest.

3.5.1 Procedure

Historically, the EA has adopted a proportionate and risk based approach in relation to watercourse regulation and it is expected that they will continue to do so in relation to Main River regulation. To assist LLFAs in the transfer of regulatory powers, the EA produced a comprehensive advice note for consenting and enforcement of works on ordinary watercourses. The EA has applied its assessment criteria over a period of time, such that land owners and developers are familiar with the 'rules' applied by the EA. Halton Council has closely aligned its processes with the EA assessment criteria and advice and has adopted a suite of documents, comprising letter and notice templates, to be used in connection with ordinary watercourse regulation.

Figure: Proposed Consenting Procedure



Formal consents will be approved and issued by the Operational Director using delegated authority. This process will work in a similar way to the established process for permitting works on a highway. Standard conditions will also be imposed to ensure that works are carried out in a satisfactory and acceptable manner. Works will be recorded onto the asset database system.

3.5.2 Local Byelaws

Halton Borough Council has approved and will formally introduce a set of Land Drainage Byelaws based on the DEFRA recommended template. The purpose of these are to apply detail to the Enforcement and Consenting powers to ensure the basic powers within the Land Drainage Act 1991 are strengthened and provide effective flood risk action at the local level.

3.6 Power to Carry out Works

Section 14A of the Land Drainage Act provides general powers to LLFAs to undertake flood risk management works for the purpose of managing a flood risk in the authority's area from surface runoff or groundwater.

General powers to undertake flood risk management works by Local Authorities are provided by Schedule 2, section 29 of the Flood and Water Management Act 2010, which adds section 14A Land Drainage Act 1991 and gives general powers to Local Authorities in relation to flood risk management works. This work has to be undertaken having regard to the Local Flood Risk Management Strategy for an authority's area. Operations to manage a flood risk include maintaining existing works, improving existing works, constructing new works and altering or removing works. A list of capital works bids for flood risk management projects made by Halton is shown in Appendix 3. Halton Borough Council will collate data, assess need and compile any information necessary to prepare bids for such FRM works through the Flood Defence Grant in Aid programme and the NWRFFC Local Levy funding.

Works powers are extended to ordinary watercourses by the Act as amended under schedule 2 paragraph 32 (6) to allow work to be undertaken to reduce flooding. To undertake works, on land owned by others, facilitating powers (powers of entry, compensation and compulsory purchase) are provided. Powers of entry are needed to get access to land. Compensation Powers are needed if damage occurs when carrying out works, for example it may be necessary to move heavy equipment across a garden damaging the lawn and flowerbeds. Sometimes it may be necessary for the risk authority to own the land in order to carry out and maintain works. If the land cannot be bought by agreement, a compulsory purchase order could be applied as a last resort.

3.6.1 Powers to acquire land and Compulsory Purchase

Powers to acquire and dispose of land, including compulsorily, are provided in section 62 of the Land Drainage Act 1991. These powers are not altered by FWMA and the powers in section 62 are available for use with the new flood risk management works powers, as section 14A is inserted into the Land Drainage Act 1991. Where such powers may be needed, for example in section 39, they are provided for within the Act. Section 39 (12) requires the Minister to apply compensation provisions, together with powers of entry and compulsory purchase provisions, to the incidental flooding or coastal erosion powers, section 39 of the Act. The Minister must use the Water Resources Act 1991 provisions but may amend them. The Water Resources Act provisions are slightly different from those found in the Land Drainage Act 1991.

3.7 Asset Management

3.7.1 Asset Register

The Lead Local Flood Authority has a duty to maintain a register and a record of information of structures or features that are likely to have a significant effect on a flood risk in its area under section 21 of the Flood and Water Management Act 2010.

The register is available for public inspection. The record will include information about ownership and state of repair.

Halton's asset register has been compiled and further development is expected to be achieved over an extended period. Halton BC will keep a record of "features" that are likely to have a significant effect on flood risk in its area. The record will include information about ownership, state of repair and where appropriate, maintenance regimes. These features will be either a structure, a natural or man-made feature of the environment, e.g. sluices, channels, culverts, walls, embankments, bridges, highway gullies, SuDS systems, grillages and screens. By collating information and mapping flood risk assets, the Council will eventually be able to:

- Develop informed maintenance regimes, which can take account of assets important for managing flood risk, particularly in high risk areas
- Establish where the entire surface water drainage and watercourse systems are, allowing for quicker identification of the responsible authority in incidences of flooding
- Produce and publish a maintenance schedule for the assets as well as providing guidance to riparian owners as to how they should maintain their assets

Collating all asset information for the register is an enormous undertaking that requires considerable resources. The initial data collection exercises to populate the register and record are risk based and related to the requirement to record structures, which have a significant effect on flood risk management and are not part of the main river system. Recording has commenced using the information contained in the Preliminary Flood Risk Assessment (PFRA), Surface Water Management Plan (SWMP) and the desk study already undertaken by JBA to identify culverts with high consequential flood risk from blocking. Halton BC will initially make the register available at the Council's offices, but in the longer term the aspiration is to make this available on the Council's website.

The register is populated with those structures or features which are most significant first and related to ordinary watercourses and surface water flooding. It is intended that the information contained within the register will build up over time as we respond to flood incidents, conduct investigations, carry out maintenance works and adopt third party developments. A substantial amount of information is readily available from a variety of sources such as:

- All the highway network road gullies, known highway drains and highway culverts
- Records of highway structures held by the Council's Bridges Section
- Contemporary records of landscape features held by the Council's Open Spaces Division
- Records relating to storm water storage at Oxmoor Wood and Wharford Farm reservoirs

The vast majority of this information is of good quality and fit for purpose. Therefore, collation and entering this information onto the register or digitising hand drawn maps will be a primary task. The detail in records will be proportionate and relate to how the register and record will be used to support the wider LLFA role. Where existing good practice approaches to recording state of repair or other information are available, these will be recorded, otherwise the record will be developed over time as resources allow and inspections or investigations are undertaken. The register will utilise templates supplied by DEFRA and substantial liaison will be made with Environment Agency Asset Database. Records will be held on GIS and on the Council's asset management system.

Unlike major assets associated with fluvial or tidal flooding, there has often been much confusion over the ownership and maintenance responsibility of local flood risk assets. This is likely to be due to local drainage infrastructure commonly being hidden underground or along land boundaries, where landowners either do not realise or acknowledge that they have any responsibility as riparian owners. The Asset Register is a way to address this problem and means that residents are aware of assets in their area and can contact the assets' owners when there are problems.

There are no defined criteria for what defines an asset as significant but the most important consideration is its location. Future flood risk mapping and the flood history at a site will be used to analyse the 'significance' of each flood risk asset. The vulnerability of the asset's surroundings will also be used to determine the consequences of its failure. Proactive collection of information regarding existing assets is required and this requires Halton BC to work with Parish Councils as well as working with the Council's Highways Maintenance team and United Utilities.

Halton's local system is a web-based, asset database containing asset data and other information hosted by JBA Ltd. It is compatible with neighbouring authorities and with the Environment Agency's National Flood and Coastal Defence Database (NFCDD) and its successor database. This contains details of Main River and Non-Main River and coastal flood risk assets, including current inspected condition. This data is continuously updated following review or inspection of assets. This information will be utilised in developing the Halton register, which will include main river assets (particularly where the Council is riparian land owner) for completeness in the efficient management of investigations.

The Environment Agency has started a project called Creating Asset Management Capacity (CAMC) to replace NFCDD with an upgraded and improved database.

3.7.2 Asset Maintenance and Improvement

The Council will work with a wide range of partner organisations and communities in order to identify sustainable measures to manage reduce or where possible, eliminate flooding. A catchment-wide approach that addresses flooding issues within green infrastructure solutions will be employed in order to maximise opportunities for wider community or environmental benefits. Where appropriate, actions may focus on identifying a range of opportunities which, cumulatively, provide significant improvement. This could range from better management of current infrastructure, such as regular blockage removal from river channels, to adoption of small areas of land along a river valley, to hold flood water.

Our approach therefore to developing maintenance and larger capital works programmes in respect of reducing flood risk will be undertaken as follows:

- Work closely with the Environment Agency to identify, fund and implement schemes in regard to fluvial flooding from main river
- Consider managing residual risk where it is not economically feasible to undertake works, through property resilience and flood warning site telemetry
- Identify as far as possible responsible riparian owners
- Consider long term sustainable solutions encompassing leisure and habitat creation in parallel to Policy 4A and B of the Mersey Estuary and Weaver Goway Catchment Flood Management Plans
- Develop risk based maintenance programmes to target reducing financial resources

3.8 Designation of Features

The Authority has the power to designate features under section 30 of the Flood and Water Management Act 2010.

The effect of designation is that a person may not alter, remove or replace a designated structure or feature without the consent of the responsible authority. Designation is classed as a local land charge.

The process of designation prohibits a person from altering, removing, or replacing a designated structure or feature without the permission of the LLFA. If a person contravenes this requirement, the LLFA may take enforcement action. Once a feature is designated, the owner must seek consent from the authority to alter, remove, or replace it. An individual may appeal against a designation notice, refusal of consent, conditions placed on consent or an enforcement notice. In addition to embankments and other structures, many sustainable drainage systems (SuDS) may be designated and will be issued with a Provisional Designation Notice Procedure. The provisional designation notice must provide important information about the provisional designation. As a minimum the notice will set out:

- The feature in question
- Why the feature is being provisionally designated
- The period in which representations may be made
- The date from which the feature is provisionally designated and:
- How the owner of the feature may make representations to the LLFA in respect of the notice.

During the period of notice, the owner has the right to make representations to the designating authority on the provisional designation, which the authority must consider before confirming a designation by means of a designation notice. The LLFA may cancel a designation (including a provisional designation). It may do so at the owner's request or where it thinks it appropriate for another reason, for example if a new flood defence system has been provided that negates the need for the designation. An owner may appeal if their request for a cancellation is denied.

The structures and features chosen for designation may include a wide range of things from walls and other structures to raised areas of land and embankments. All will serve a flood and coastal erosion risk management purpose although they were not necessarily designed or constructed for that purpose. Once a structure or feature is designated, anyone wishing to alter, remove, or replace it must seek consent from the LLFA, acting as designating authority. At the present time it is envisaged that there will be very few features in the borough that will be designated with the possible exception of future Mersey Gateway drainage structures. The Borough does have a number of existing flood defence features along important watercourses but they are under the control of the Environment Agency.

The owner will be able to maintain the feature if they wish provided that they are maintaining it in the state it was when it was designated. However, there is no obligation on the riparian landowner to maintain a designated feature. For this reason Halton Borough Council will act with due diligence before designating any such features as ultimately the maintenance liability could fall to the Council. Consideration for designation of any critical features will follow as the Asset Register develops.

Key Responsibilities

Asset	Main River	Ordinary Watercourses	Surface Water	Ground Water
Environment Agency	Overall management of main river network and flood warning service. Enforcement in respect of riparian owners where integrity of water course is compromised.	--	--	--
Halton Borough Council	Inspection and maintenance of assets on Council owned land.	Maintenance of assets on Council owned land. Advice to private land owners on management.	Maintenance of highway drainage and water courses on Council owned land.	Management on Council owned land.
		Permissive intervention for maintenance of riparian owned assets as deemed appropriate.	Advice or Enforcement of private land owners causing flood discharge.	Advice to riparian land owners
		Enforcement in respect of riparian owners where integrity of watercourse is compromised.	Permissive intervention for maintenance of riparian owned assets as deemed appropriate.	
United Utilities	--	--	Maintenance of adopted surface water, foul and combined sewers.	--
Riparian Land Owners	Maintenance of private assets to prevent flooding. Responsibility to accept flows including groundwater.	Maintenance of private assets to prevent flooding. Responsibility to accept flow.	Prevention of surface water discharge from private land.	Management of privately owned land

Refer to Appendix 3 for Maintenance Schedules and Preliminary Works Programmes

3.9 Investigations and Flood Reporting

Section 19 of the Flood and Water Management Act 2010 requires a lead local flood authority to investigate flooding incidents in its area which it becomes aware of.

This is in order to identify which risk management authority has flood risk management functions in respect of the flooding and establish whether that authority has responded or is proposing to respond to the flood. The lead local flood authority must publish the results of any investigation.

Halton's Investigation Policy is divided into three main sections:

- Phase A Incident Capture: Where the incident is reported by the public / business and logged
- Phase B Post Incident Review: Where the significance of the incident is assessed and the requirements for investigating the incident are determined
- Phase C Formal Investigation: Where an investigation is undertaken if considered necessary

Proposed LLFA Flood Incident Investigation and Reporting Policy

Halton will, on becoming aware of a flood in its area, carry out a Post Incident Review to determine the consequences of the flooding incident. The Post Incident Review will determine the likely cause of the flooding and what was flooding during the incident. If a flood event is deemed to have had a significant consequence, then a Formal Investigation of the flooding incident will be undertaken.

A flood event with significant consequences is one that has had, or could have had if action had not been taken, one or more of the following impacts:

- Resulted in major disruption to the flow of traffic for 12 hours or more
- Posed, or could have posed, a risk to human health
- Adversely affected the functioning of critical infrastructure
- Caused harmful impacts to environmentally and socially important assets
- Caused internal flooding to a property used for residential or commercial purposes.

Local Investigation Targets

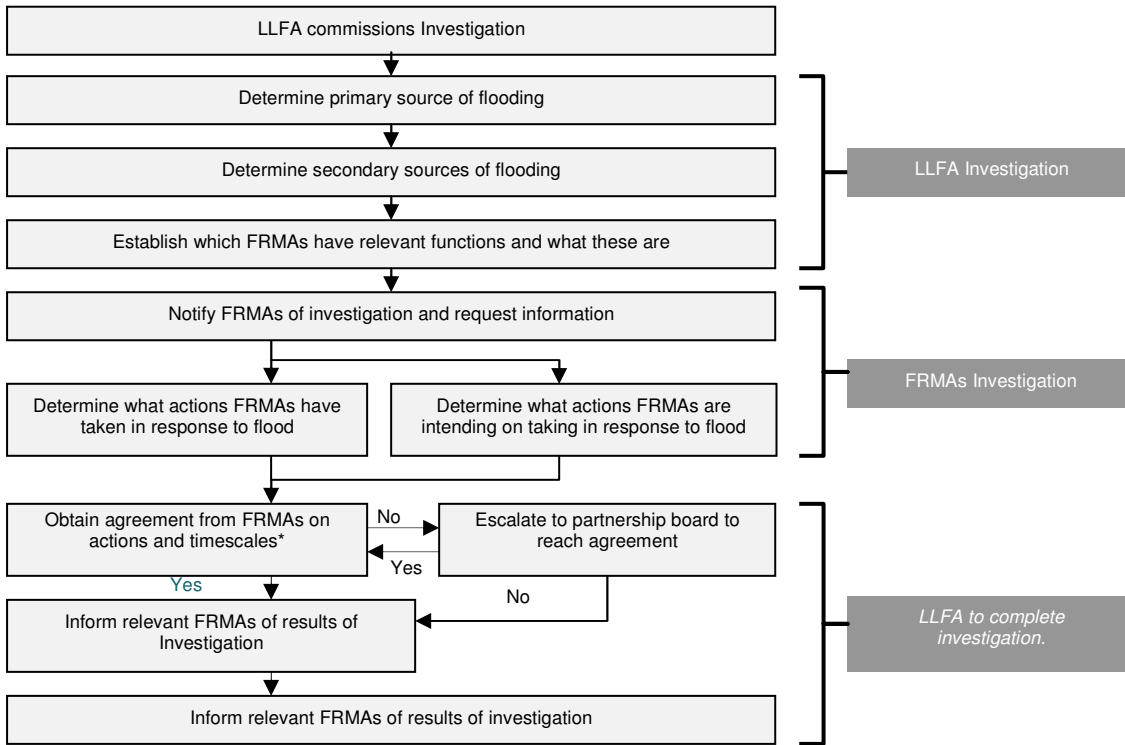
Ascertaining responsibility	1 week following event
Agree with responsible actions and timescales	One month
Final report	Two months

Timescales are subject to the scale of incidents being investigated

Reporting

Flooding incidences meeting the criteria will be investigated by the Council and recorded internally, a published Formal Investigation will be initiated for every flood event captured and reported to the Flood Officer, which meets the above criteria. Therefore, it is essential that the threshold for triggering a Formal Investigation should recognise the actual significance of the flooding incident with any repeated events also recorded but not published. All events will be reviewed at the quarterly External Partner Group Meetings. Continuing mapping of flood incidents and the results of investigation will inform future work programmes and maintenance regimes.

Figure: Proposed Formal Investigation Procedure



3.10 Communications and Public Engagement

Communications are based around internal partners, external partners and our community. The purpose of the communications and engagement for the LFRM strategy is to:

- Ensure understanding of the roles and responsibilities of the partner organisations (Halton Borough Council, Environment Agency, United Utilities)
- Manage expectations and be clear about what we can and cannot achieve
- Build a greater awareness of flood risk and ownership of the problem at a local level
- Generate a culture of personal responsibility for being prepared for flooding
- Coordinate with the Council's Emergency Plan.

The following objectives have been set to guide our communications with our community and stakeholders:

- Identify and raise awareness of areas as potentially at risk of surface water flooding.
- Managing risks together - we can provide practical solutions but there are ways the community can help too.

Figure: Cross reference of flood management working groups and internal and external links.

Group	Internal	Meeting Frequency	Lead Flood Officer	Asset Manager	GIS Coordinator	Operations Lead	Civic and Open Spaces Manager	Development Plan Manager	Development Control Manager	Building Control Manager	Emergency Planning	United Utilities	Environment Agency	Warrington Council	St. Helens Borough Council	Cheshire East Council	Cheshire West & Cheshire
Internal Officer Group	To provide a forum to share information on flood risk issues, planning liaison and development between internal partners as necessary	Quarterly	√	√	√	√	√	√	√	√	√						
External Partner Group	To provide a forum to share information on flood risk issues and current projects between external partners within the Council's area	Biennially	√	√	√	√						√	√				
Sub Regional FRM Tactical Group Cheshire & Mid Mersey	Technical and operational leads/managers to share knowledge & skills, coordinate delivery, establish priorities for joint working and efficiencies.	Monthly	√	√								√	√	√	√	√	√
Sub Regional FRM Strategic Group Cheshire & Mid Mersey	Strategic lead linking delivery to decision making and funding (senior managers and Members)	Quarterly	√									√	√	√	√	√	√
Consents	Internally delegated to consider / approve applications	Referral	√	√				√									
Sustainable Drainage Approval SAB	To approve applications, monitor process adopt and maintain –subject to implementation of legislation.	TBA	√	√	√		√	√	√			√					

Communication and Consultation - Stakeholder identification

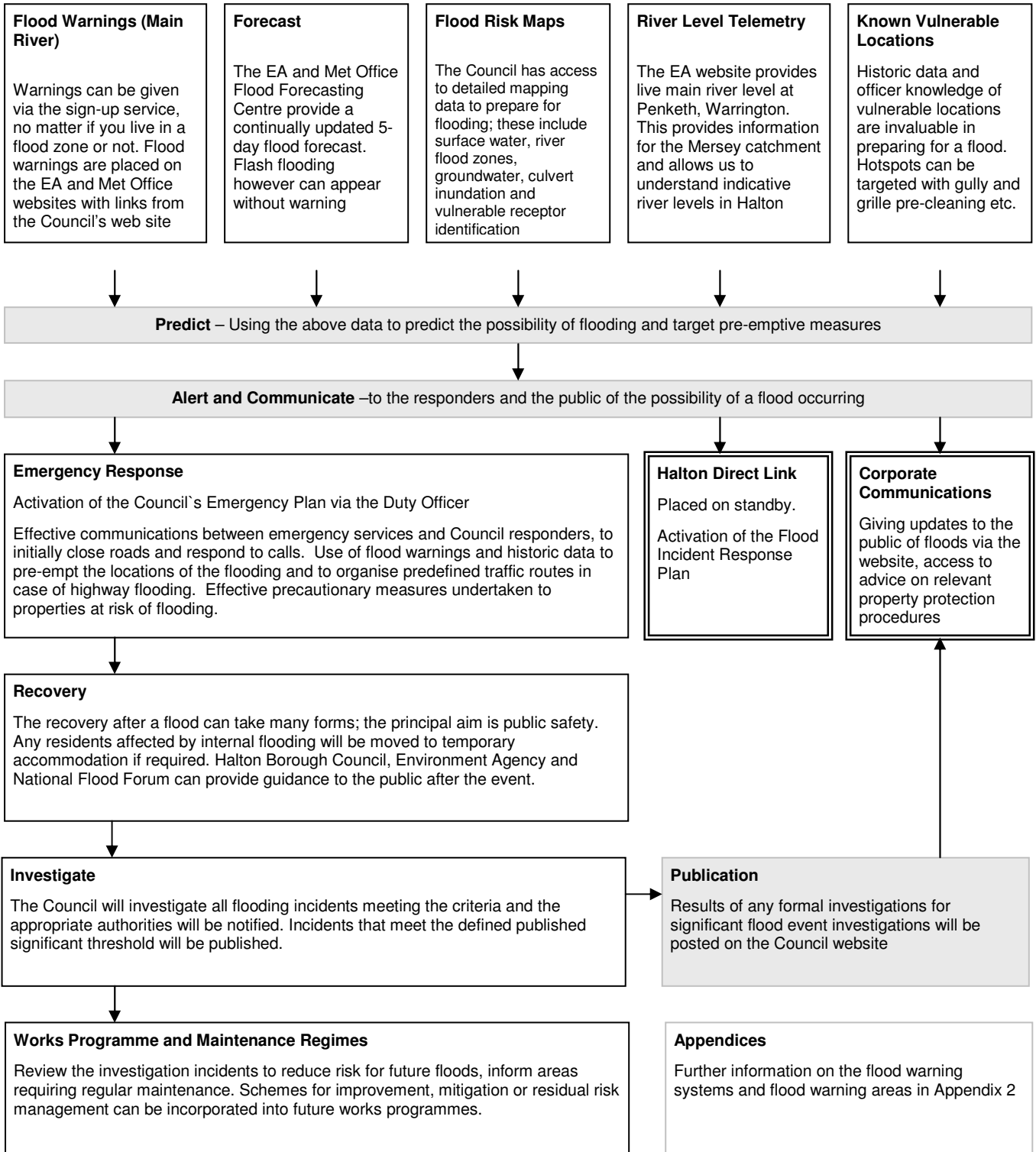
Local Authorities and Partners	Halton Borough Council, Warrington Borough Council, St. Helens Council, United Utilities, Environment Agency
Political stakeholders	MPs and MEPs, Portfolio heads, Ward members, Parish councillors, neighbouring authorities
Transport and infrastructure	Highways Agency, Planning, Other utility companies, Merseytravel/transport operators
Environmental stakeholders	MEAS, RSPB, NFU
Emergency services	Fire service, All other blue light services, Police Community Support Officers, Resilience forum
Business and industry	Halton Chamber, local businesses, Business forums, Employees, Landowners where known
Communities and individuals	Resident association groups, Faith centres, Doctors and community services, landlords and housing associations, Recreation groups – Friends of Parks, Cycling groups, Ramblers Association, Hospitals, Schools, Local press, CEN, CVS, Anglers, SCARS.

3.11 Preparedness and Emergency Response

Preparedness

Flooding is a natural occurrence. It is neither technically feasible nor economically affordable to prevent all properties from flooding. Halton Borough Council’s aim is to reduce flood risk and minimise the harm caused by flooding. We take a risk based approach to achieve the best results possible using the budgets and resources available. We will continue working to reduce both the likelihood of flooding and the impacts of a flood when it happens. Informing people a flood is about to happen is vital, as it gives them time to prepare. We also encourage those in risk areas to make a flood plan, so that they are ready when the warning comes. The Council prepare for potential flood emergencies as follows:

Figure: Preparedness and Predictions



The Civil Contingencies Act 2004 is the most relevant piece of legislation in relation to emergency planning for flooding. It formalises a number of duties on Local Authorities, the emergency services and other organisations involved in responding to any emergency. Amongst these are contingency planning and risk assessment for emergencies at the local level, including flooding. The Environment Agency are the Lead Responder for provision of flood warnings and information to the public. However, all Category One responders have a role to play in communicating with the public and will either lead or play a significant part at some stage in a flood event, e.g. Police (public safety announcements and information in the consequent management phase), the Council (recovery phase), etc.

The principal method of warning the public of flood risk in Cheshire is via the Environment Agency's Flood Line Warnings Direct system, and messages that the EA issue via local media. It is the property owners' responsibility under the law to protect their own property from flooding. However the EA, Halton Borough Council and the Emergency services, where possible, will offer assistance in the event of a flood.

Emergency Plans allow all responding parties to work together on an agreed coordinated response to flooding. LRFs bring together Category 1 and 2 responders within a local police area for the purpose of cooperation in fulfilling their duties under the Civil Contingencies Act 2004. Halton Borough Council has an Emergency Plan that revolves around a single point contact number. It has been designed to enable the Council to:

- Receive notification of emergency incidents via a 24/7 contact facility;
- Respond to initial requests for assistance via the Duty Officer mechanism;
- Activate and facilitate the Local Authority Emergency Centre for direct incident response.

The Council will respond and advise on the following:

- Surface water, groundwater flooding, flooding from non-main rivers and coordinate the response with other Flood Management Authorities for main river;
- Work with the other Category 1 and 2 responders as part of the multi-agency response to floods;
- Coordinate emergency support from the voluntary sector;
- Liaise with Government departments and with essential service providers;
- Manage the local transport and traffic networks initially on safety grounds followed by signing and diversionary routes;
- Mobilise trained emergency social workers and emergency assistance;
- Deal with environmental health issues, such as contamination and pollution;
- Coordinate the recovery process.

If serious flooding involves people having to be evacuated, the Council may be able to offer temporary shelter and welfare support in the form of Rest Centres. Emergency services (Fire, Police, Ambulance and the Army) will help to evacuate people who are stranded or in danger. Where required, they will also provide medical assistance and emergency life-saving treatment. It is important to understand that although these bodies can assist at the time of flooding, they are not required by the law to protect your home or other properties from flooding. The responsibility to do that, lies with the property holder.

Communications

During a pending, or ongoing emergency, communications are vital. This is an area we will continually refine as forecasting techniques and information technology develops particularly in the use of social media networks. As a source of information the Council's web pages have proved the most effective and accessed media as a source of information at times of flooding. Information will therefore be published on a regular basis as well as through traditional news media channels. When appropriate, the Council's network of highway variable message signs will be used to inform of road closures.

We will continue to work with our partners at the Environment Agency to raise awareness of the flood warning service in the designated high risk zones.

Sandbag Policy

The Council recognises that the primary responsibility for protecting property from the risk of flooding rests with the property owner. It is also aware of the considerable efforts put in by the Environment Agency to notify property owners in flood risk areas of the risks they face and encourage them to plan their own arrangements to protect themselves and their properties.

The Council supports this approach and urges those living within areas identified as being at risk from flooding to follow the advice of the Environment Agency. The Council is concerned that, in the event of the threat of flooding to a large number of properties in the borough, it may not have the resources to protect every property and that priorities will have to be made. This could inevitably lead to some flooding to properties that, with some pre-planned preventative measures by the occupant, could have been avoided or minimised.

However, as a responsible authority, the Council recognises that the level of individual preparedness will vary enormously and it is prudent to plan for some additional support to the local community. With this in mind the Council has developed the following policy:

In the event of deteriorating weather leading to the issuing of weather alerts that could potentially affect any part of the Halton administrative area then risk assessments will be undertaken and regularly updated. These assessments could be area-wide or site specific. They could include information obtained from site visits by Council Officers or other professional partners. In the event of the Council's risk assessment for a defined area identifying the use of sandbags to be appropriate to minimise or mitigate the risk of flooding to residential, utility or commercial properties the Council may make available sandbags in accordance with its sandbag policy (see appendix 2).

The allocation of sandbags to individuals will depend upon a number of factors including the total number of sandbags available, an assessment of the viability of protecting the particular property with sandbags, demands from other emergency flood defence measures involving the use of sandbags that would protect a greater number of properties. The need to protect infrastructure assets e.g. roads, energy distribution sites, communication network sites, hospitals and the Council's own public buildings, etc. are also likely to make demands on the Council's limited resources.

Occupants of properties where protection from the risk of flooding using sandbags is assessed as viable but lack the physical ability to do so, e.g. elderly or infirm may, subject to availability of manpower and the assessed priorities at the time, be provided with assistance from the Council.

Road closures and disruption to the road network can impact on the Council's ability to distribute sandbags. Flash flooding can occur in an overwhelming manner and recede quickly. In these circumstances it is impossible to respond in the timeframe of the event.

Sandbags will not prevent floodwater encroaching completely into property and householders should remove articles to a safe location above the anticipated flood level. People building flood defences with sandbags should also be aware of the building methods to employ in order to make an effective seal and the health and safety implications of manual handling sandbags as they are exceptionally heavy.

It therefore must be emphasised that residents of Halton who live in identified flood risk areas should not rely upon the Council to respond to a threat of flooding to their property but should have in place their own flood protection plan.

The provision of sandbags and assistance by the Council under this policy will be without prejudice and free of charge.

4. Objective 4: Funding and Actions & Interventions to Reduce Flood Risk

Section 16 of the FWMA 2010 enables the Environment Agency to pay grants to any person in respect of expenditure incurred in connection with flood or coastal erosion risk management in England.

Under subsection (1) The Environment Agency may make grants in respect of expenditure incurred or expected to be incurred in connection with flood or coastal erosion risk management in England. Under subsection (3) a grant may be subject to conditions (including conditions as to repayment and interest).

4.1 – Revenue Funding

Defra provides funding directly to Halton Borough as a Lead Local Flood Authority to help with the new duties under the Flood and Water management Act. The funds are intended to fully cover the costs for local authorities of putting into place and carrying out new responsibilities under the FWMA, such as flood mapping, producing risk management plans and supporting community flood awareness groups. The majority of the allocation is issued under the business rates retention system and part as Area Based Grant provided direct to the Authority. Funding commenced in 2011/12 and Halton currently receives a £135,600 non-ring-fenced annual allocation of which £20,000 is via Local Services Support Grant.

In 2013/14, Halton has allocated the following sums in its revenue budgets for flood risk management and land drainage:

Lead Local Flood Authority – Employee Related	£31,750
Lead Local Flood Authority – Contracted Services	£48,250
Land Drainage & Flood Defence	£23,170
Land Drainage and Flood Defence – Environment Agency / NW RFCC Levy	£58,430

In addition, sums have been allocated within the highway maintenance revenue budget for highway drainage purposes. These funds can be prioritised to assist with the management of flood risk in those higher risk areas identified in the PFRA and 'hotspots' described in Halton's SWMP study:

4.2 – Capital Funding

Flood Defence Grant in Aid (FDGiA)

In England, government funding is available for capital works to manage and reduce flood and coastal erosion risk. This funding is administered by the Environment Agency on behalf of Defra, through its Regional Flood and Coastal Committees (RFCCs). Flood Defence Grant in Aid (FDGiA) is allocated to Risk Management Authorities (RMAs - Environment Agency, Local Authorities, and Internal Drainage Boards). Each year RMAs are invited to submit details of proposed flood and coastal erosion flood management works which require funding for the next five years. The proposals are captured in the Medium Term Plan (MTP). The MTP from each region is combined into one programme schedule to give an indication of investment needs across England. Funding may also be allocated for scheme appraisals and other pre-delivery stages of projects.

There are four categories under which projects can attract FDGiA. These are:

- All benefits arising as a result of the investment, less those valued under the other outcome measures (Outcome Measure 1)
- Households moved from one category of flood risk to a lower category (Outcome Measure 2)
- Households better protected against coastal erosion (Outcome Measure 3)
- Statutory environmental obligations met through flood and coastal erosion risk management (Outcome Measure 4)

The maximum amount of FDGiA funding on offer is calculated using a formula which considers the monetary value of the above benefits against projected project costs. Some projects will qualify for full national capital funding, but others may need to identify cost savings or must attract other sources of funding to proceed under the partnership approach described in paragraph 4.3.

Halton makes an annual application for FDGiA funding for its proposed flood risk management works following the Environment Agency's grant allocation calendar which is illustrated at the following weblink: http://www.environment-agency.gov.uk/static/documents/Research/FCRM_GiA_allocation_diagram_v3.pdf. Briefly, the process is as follows:

- June – submission of proposed schemes / programmes to EA

- August – prioritisation by EA
- October – Indicative programme considered by RFCCs (shared with RMAs)
- January – RFCCs consent programme
- February – EA funding Board approval to consented schemes.

Schemes that have been awarded FDGiA funding in the current (2014/15) MTP are detailed in Appendix 3

4.3 – Partnership Funding Approach

A key principle of the FDGiA outcome based approach is that the beneficiary should contribute in some way towards the scheme. The 'beneficiary pays' principle therefore places part of the cost burden on those that are at risk of experiencing flooding. Under Defra's new partnership funding approach, relatively small amounts of locally found funding (or cost savings) could make the difference between locally important projects going ahead or not. Such contributions will supplement the amount of Government funding available at the national level. For example, a 10% local contribution towards a scheme could leverage large amounts of funding from Government, delivering typically an 80 to 1 return on the local investment, and benefits in terms of property, land values, insurance costs and business productivity to the community that dwarf the costs involved over the long term.

A practical resource relating to partnership funding and collaborative delivery of local flood risk management was produced in March 2012 to support Lead Local Flood Authorities. Titled: "Partnership funding and collaborative delivery of local flood risk management: a practical resource for LLFAs", this guidance provides useful information on potential partner organisations and on potential funding sources. It uses a range of case studies of successful partnership funding approaches and offers practical advice on motivating and engaging with partners to help maximise chances of identifying and realising partnership funding opportunities:

http://www.local.gov.uk/web/guest/paying-for-flood-and-coastal-erosion-risk-/journal_content/56/10180/3600375/ARTICLE#sthash.DMFyZxMK.dpuf

Partnership

Key partners with direct interest in schemes are potential funders, or may be able to contribute to schemes in other ways, such as coordinating their work to achieve scheme objectives or allowing works to take place on their land. In its role as Highway Authority, Halton Borough Council also has responsibility due to the importance of the highway drainage network in managing flood risk. Where there is a shortfall of funding, Halton Borough Council as a scheme promoter will look more widely for alternative sources of funds for its local flood defence and protection schemes. It is anticipated that where the circumstances of flooding dictates, or where there are related implications for flood risk management, the following partner organisations will be approached as potential partners as appropriate:

- United Utilities (Water and Sewerage Company)
- The Highways Agency
- Network Rail
- Housing Associations and Registered Social Landlords
- Private Developers

Managing partnerships and potential partner contributions, is likely to need the early involvement of elected representatives in choices that may require political support. Although this is a new approach to flood management funding, the Council is very experienced in developing and delivering multi-source funded schemes.

Water and sewerage companies (WaSCs) play an important role in local flood risk management. Their sewer networks provide drainage for a significant proportion of rainfall, particularly that falling in urban areas. Section 94 of the Water Industry Act 1991 (WIA91) effectively sets out a flood risk management function for WaSCs. It imposes a duty to 'effectually drain' their areas of responsibility. They also have a responsibility to resolve sewer flooding affecting properties. Partnership funding will be sought particularly where flood risk arises from sewer under-capacity and when there is correlation with UU's sewer asset management programme (AMP6) and co-ordination with their planned capital schemes.

Local Levy

The Local Levy is an additional, locally-raised, source of income for the North West Regional Flood Defence Committee. The income is raised by way of a levy on the County Councils and Unitary Authorities within the committee boundaries, which is voted for by the local authority members of the committee and administered by the Environment Agency on behalf of the RFCC.

The local levy is used to support, with the approval of the committee, flood risk management projects that are not considered to be national priorities and hence do not attract full national funding through Flood Defence Grant in Aid. The local levy also allows locally important projects to go ahead to reduce the risk of flooding within the committee area.

5 Objective 5. Environment and Sustainability

Section 27 Sustainable Development

In exercising a flood or coastal erosion risk management function, a Lead Local Flood Authority must aim to make a contribution towards the achievement of sustainable development.

Sustainable Development is defined as "...development that meets the needs of the present without compromising the ability of future generations to meet their own needs".

Brundtland Commission, 1987 (UK Government adopted definition)

5.1 The main purpose of this document is to set out a strategy for implementing flood risk management measures across Halton. However there is an opportunity to derive significant benefits in the process, in respect to Borough and national aspirations in the wider context of sustainability, environmental and social improvement. Delivering multiple benefits will require working with partners to identify local priorities and opportunities. Where appropriate, and in line with the principles of the National Strategy, contributions that help to deliver these additional improvements could be sought from those partners that benefit. Higher levels of Government funding may also be accessible when wider benefits are delivered as part of the Local Strategy.

5.1.1 Through Halton undertaking its duties in a responsible manner as outlined in this strategy, it can have a positive effect on the environment. Halton Council will utilise up to date and best practice advice and guidance where applicable, when undertaking its duties with regard to flood risk management.

The environmental objectives and measures specific to the LRFM Strategy which will contribute to the effective management of local flood risk are included below:

- To reduce flooding impact and consequences for individuals, communities, businesses and the environment;
- Take a sustainable approach to flood risks management balancing economic, environmental and social benefits;
- To ensure that planning decisions are properly informed by flooding issues and that the impact future planning and long term developments may have on flood risk management is taken into account;
- Improve and/or maintain the capacity of existing drainage systems by targeted maintenance;
- Establish a Sustainable Drainage Systems Approval Body (SAB); and embrace UK Government guidance on the adoption and maintenance of SuDS (Subject to enactment of Schedule 3 of the Flood and Water Management Act 2010).

In addition to the local strategy specific objectives, the strategy should also contribute where possible to achieving national environmental objectives. The Local Strategy should not hinder aims and objectives but has the potential to contribute to the achievement of them. Other key documents and legislation containing objectives relevant to flood risk management include:

- Water Framework Directive (2000/60/EC)
- River Basin Management Plan
- Catchment Management Plans
- Wildlife and Countryside Act 1981
- Water Cycle Strategy
- Biodiversity Action Plan
- Warrington LDF Core Strategy

Note: this list is indicative only and not meant to be definitive.

Through undertaking its duties the council can have a positive impact on the environment examples are as follows:

Duties and their potential environmental benefits:	
Consenting	The ordinary watercourse consenting process is in place to ensure that any works carried out do not have a detrimental effect on other people or the environment. It also ensures that any works which may affect flood risk are properly designed and where necessary environmental considerations are designed for i.e. fish ladders / passes etc. In determining an application it is necessary to consider other legislation including, but not exclusively: The Environment Act; the Habitats Regulations; the Water Framework Directive (WFD); the Countryside and Rights of Way Act; the Salmon and Freshwater Fisheries Act; the Eel (England and Wales) Regulations 2009.
Enforcement	The purpose of ordinary watercourse regulation is to control certain activities that may have an adverse impact on flood risk and the environment. If works are carried out without consent, the Council has enforcement powers to remove or modify them

Designation of 3rd Party Assets	The purpose of this legislation is to try and ensure that owners do not inadvertently alter structures and other features and potentially increase flood risk to themselves, their neighbours and the wider community, hence having a negative social effect.
SuDS	<p>Upon enactment of Schedule 3 of the FWMA 2010, Halton will encourage, adopt and maintain SuDS. SuDS play a crucial role in managing the surface water from developments on site and hence reducing the flood risk, however, they have many environmental and social benefits, including;</p> <ul style="list-style-type: none"> • Improving groundwater recharge; • Protecting and potentially enhancing surface water quality by filtering pollutants; • Providing habitats for wildlife; and providing landscape amenity for the community; • Providing potential opportunities for community engagement, management and ownership of SuDS. • As well as planning for new Green Infrastructure, the LFRMS needs to protect existing wetlands due to their important role in surface water management.
Capital Works	In assessing potential solutions there may be conflicts between measures that are more or less sustainable. Halton Council will assess sustainability with the economic, environmental and social benefits of any proposed scheme. Halton Council will be transparent about the trade-offs in both the short and long term and explain decisions taken.
Maintenance Works	As recommended by the Pitt Review, Halton may need to take a more pre-emptive view of maintenance requirements, particularly in those locations known to have a significant flood risk. Some rivers are designated under the Habitats Directive as Special Areas of Conservation. Any maintenance activities that we may wish to carry out, including dredging and weed cutting, must comply with the requirements of the Habitats Directive. The Water Framework Directive does not prohibit dredging. The Directive calls for the reinstatement of natural river channels and, as far as possible, for a reduction in interference in the natural river process.

Appendices

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Appendix 4 Abbreviations and Definitions

- Abbreviations
- Definitions
- References

Appendix 1 – Halton Catchment and Flood Risk Maps

Figure 1 - North West River Basin District

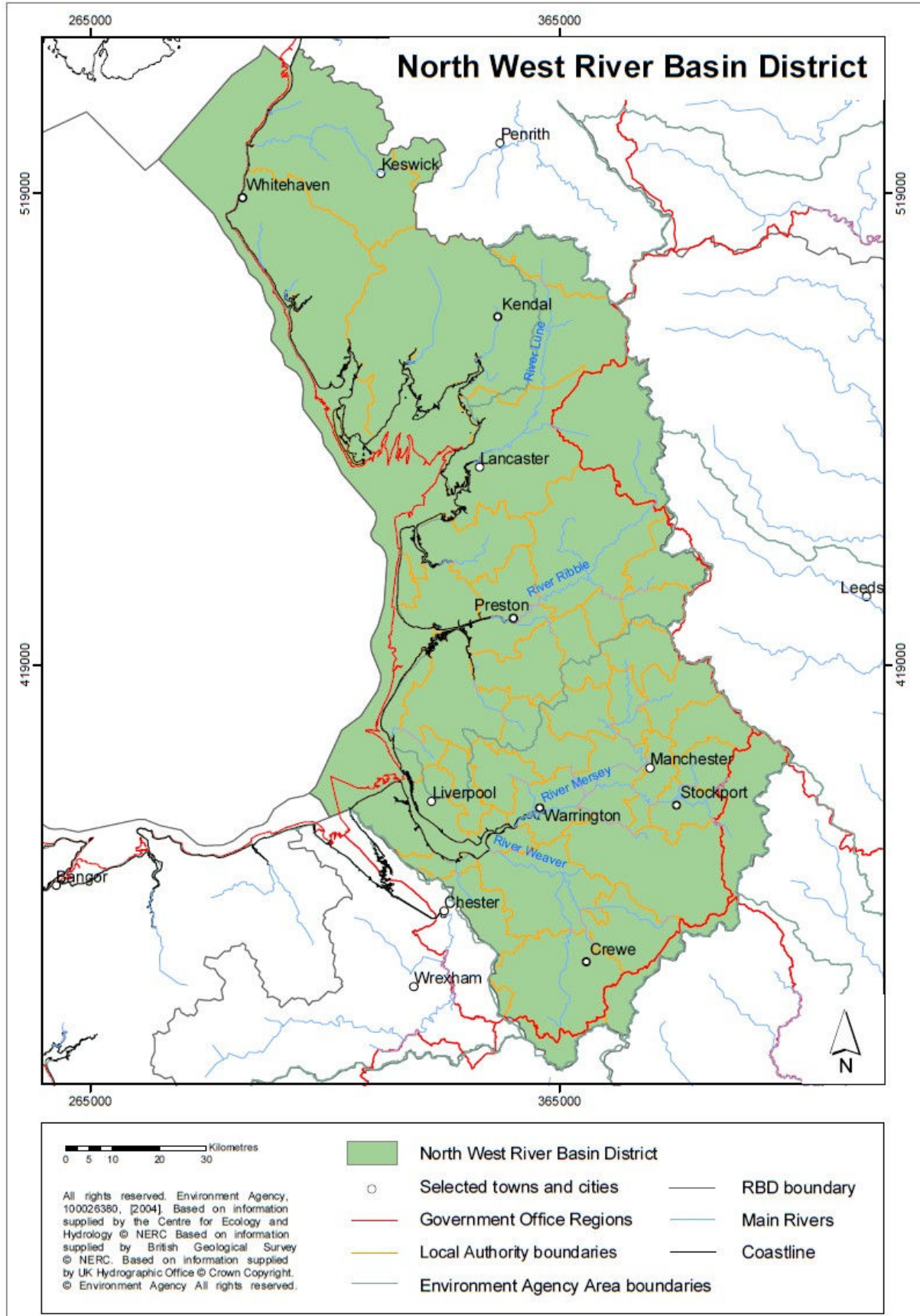


Figure 2 – Mersey Estuary Catchment

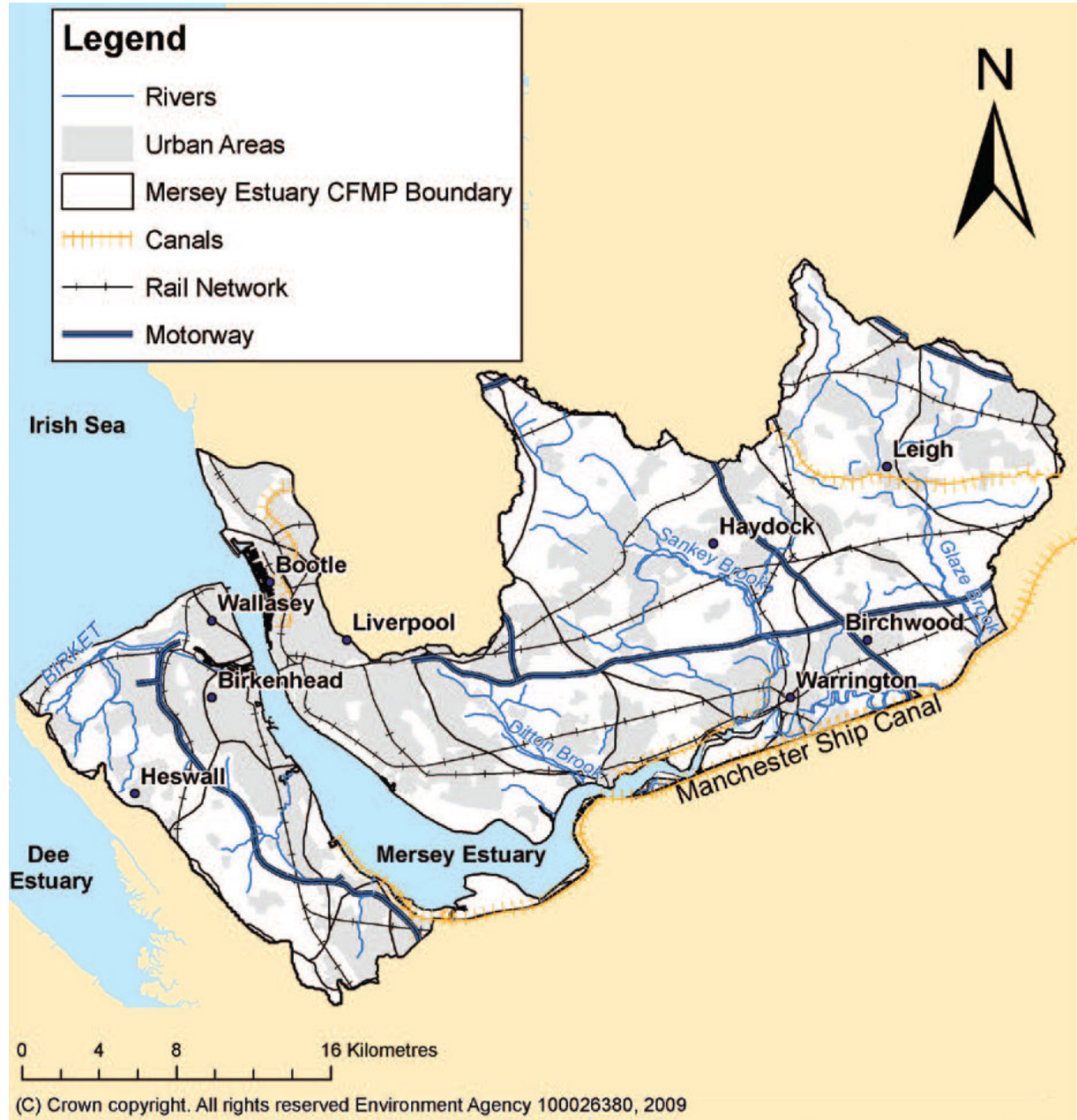


Figure 3 – Weaver Gowy Catchment

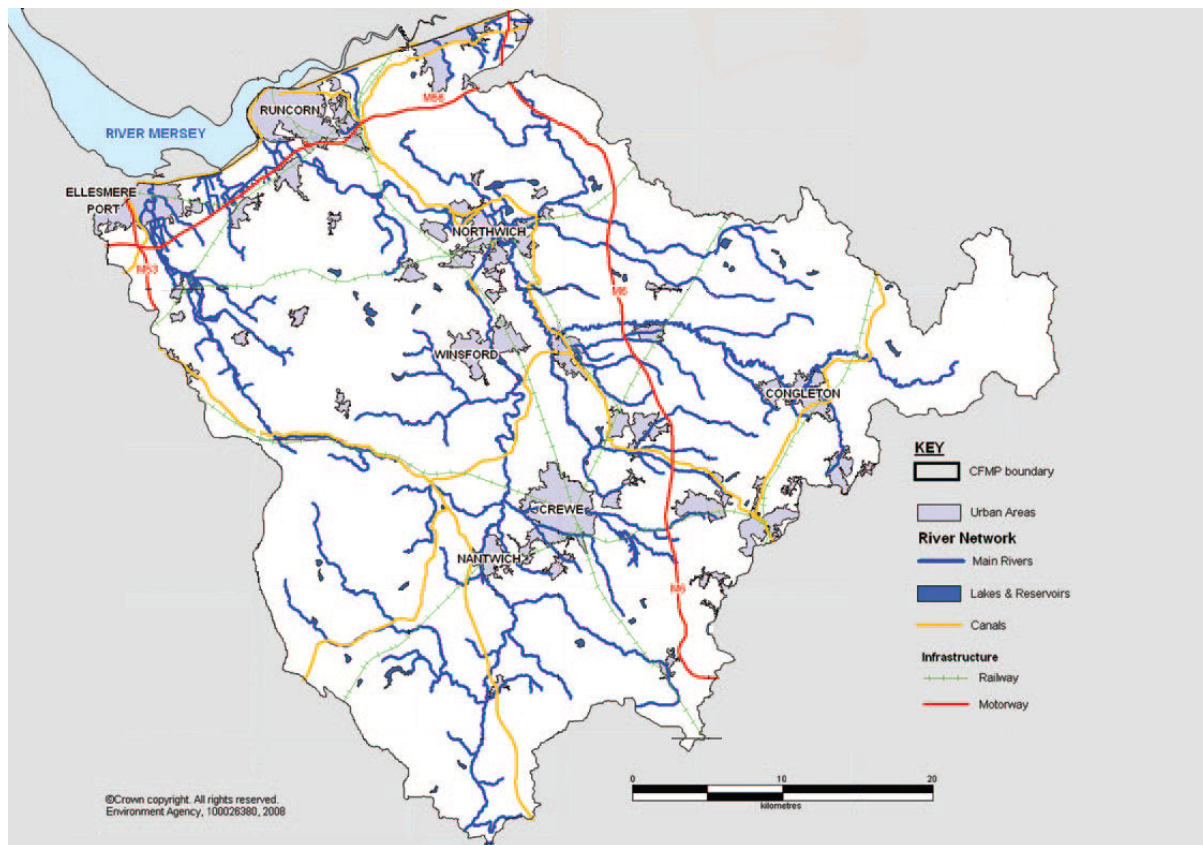


Figure 4 – Known Ordinary Watercourses in the Borough

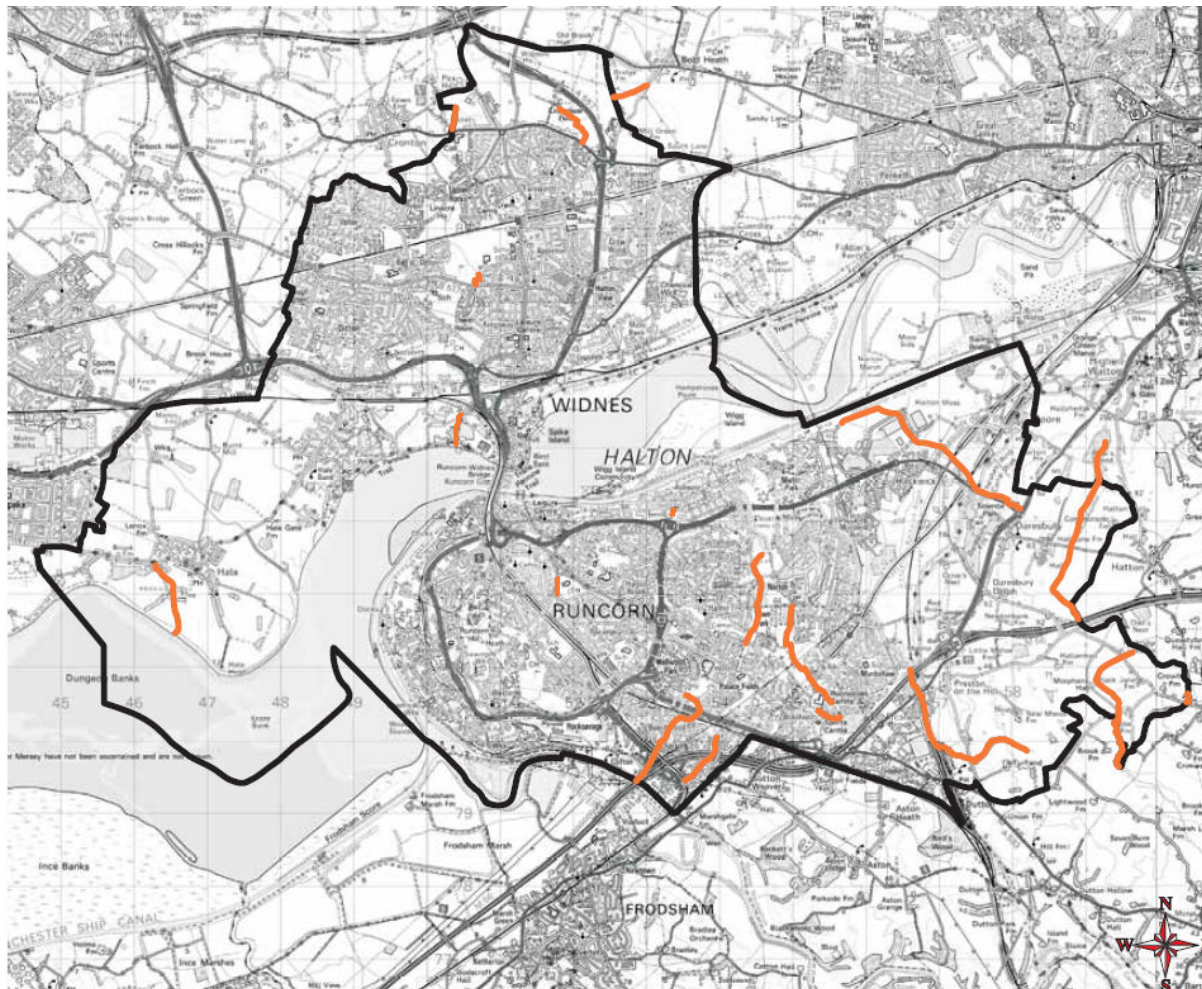


Figure 5 – Main Rivers in the Borough



Figure 6 - Surface Water Flood Risk (1 in 200 year return period)

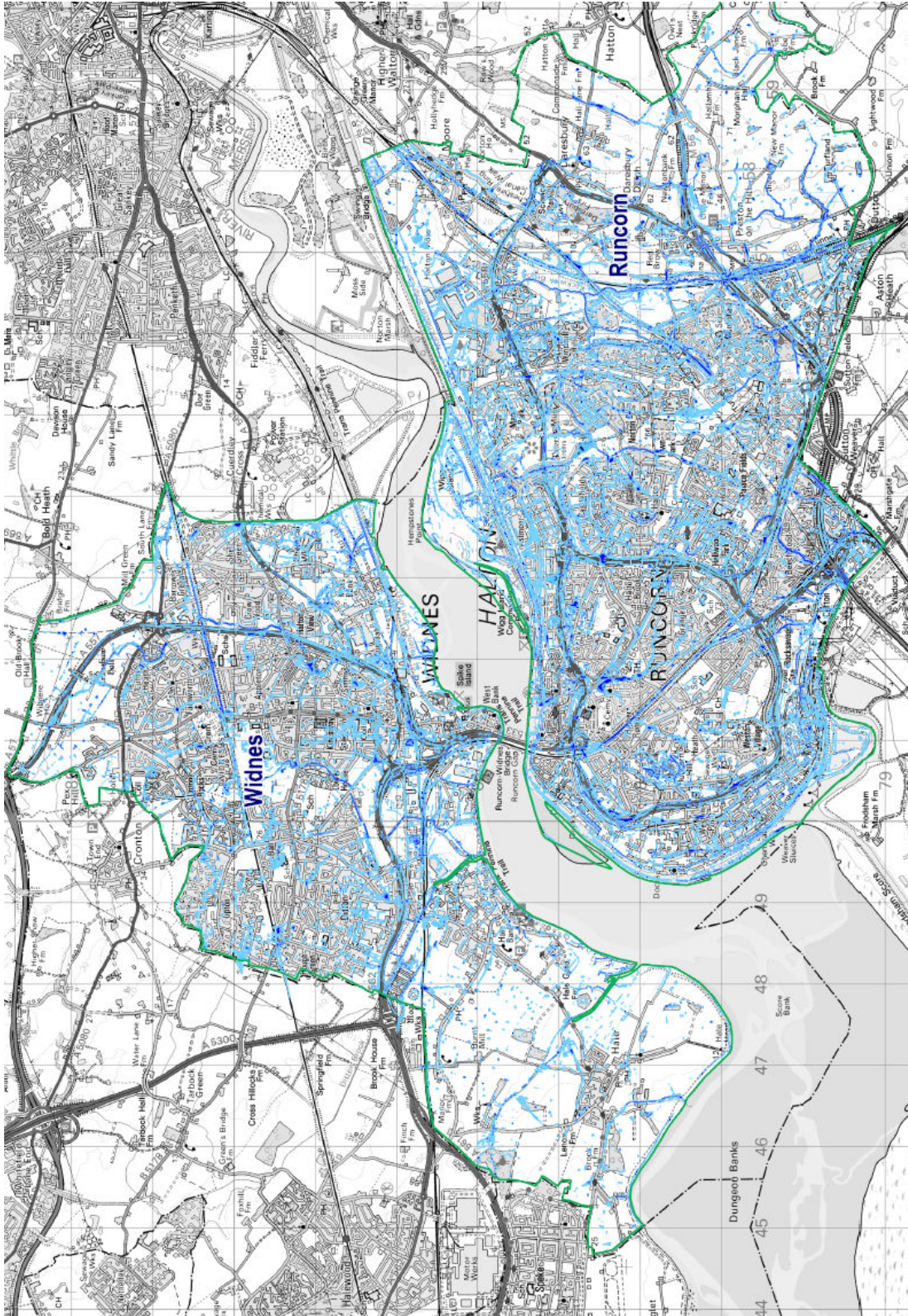


Figure 7 - Flood Map for Planning (Rivers and the Sea)

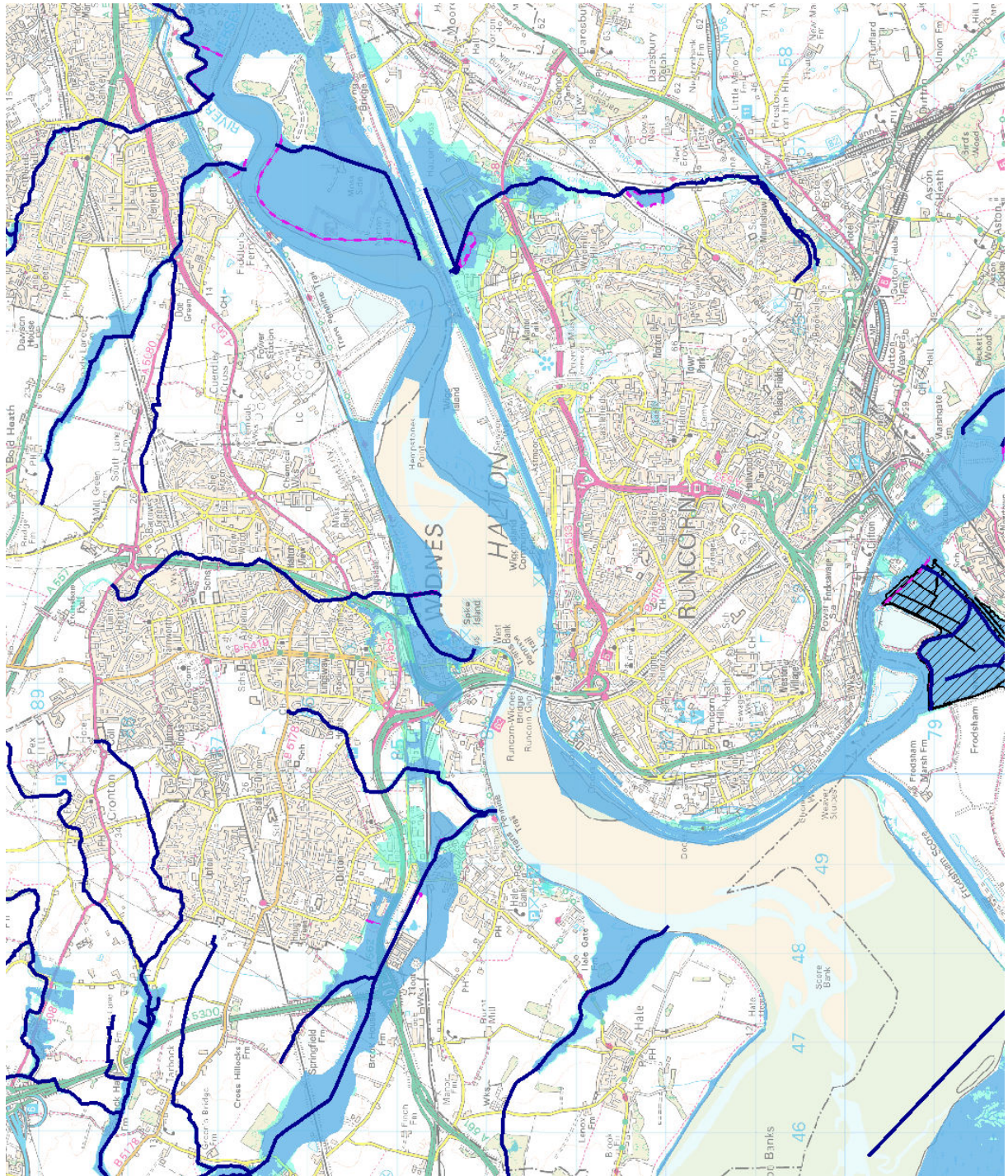


Figure 8 - Places within Flood Risk Thresholds and Future Development Sites - Widnes

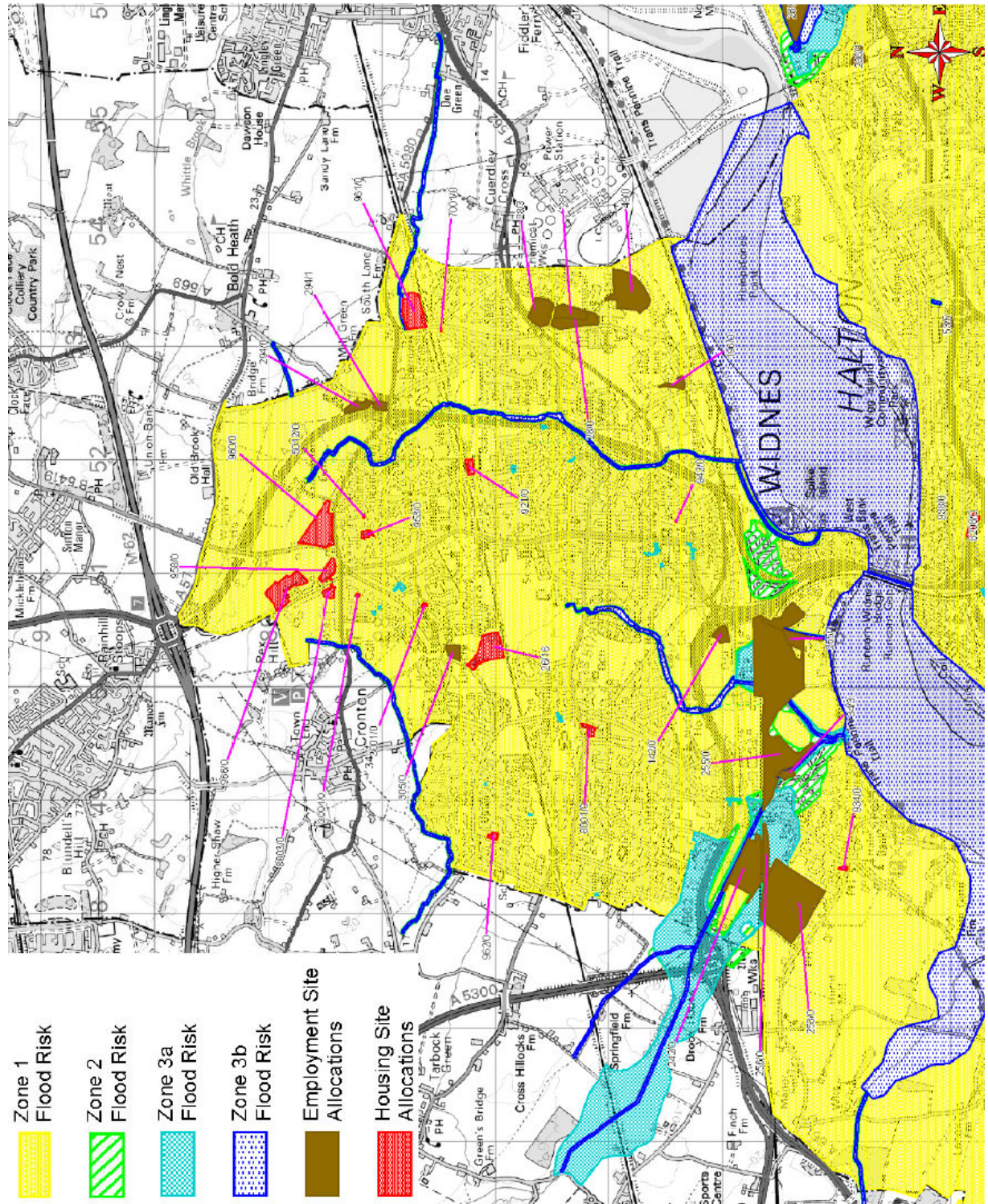


Figure - 9 Places within Flood Risk Thresholds and Future Development Sites - Runcorn

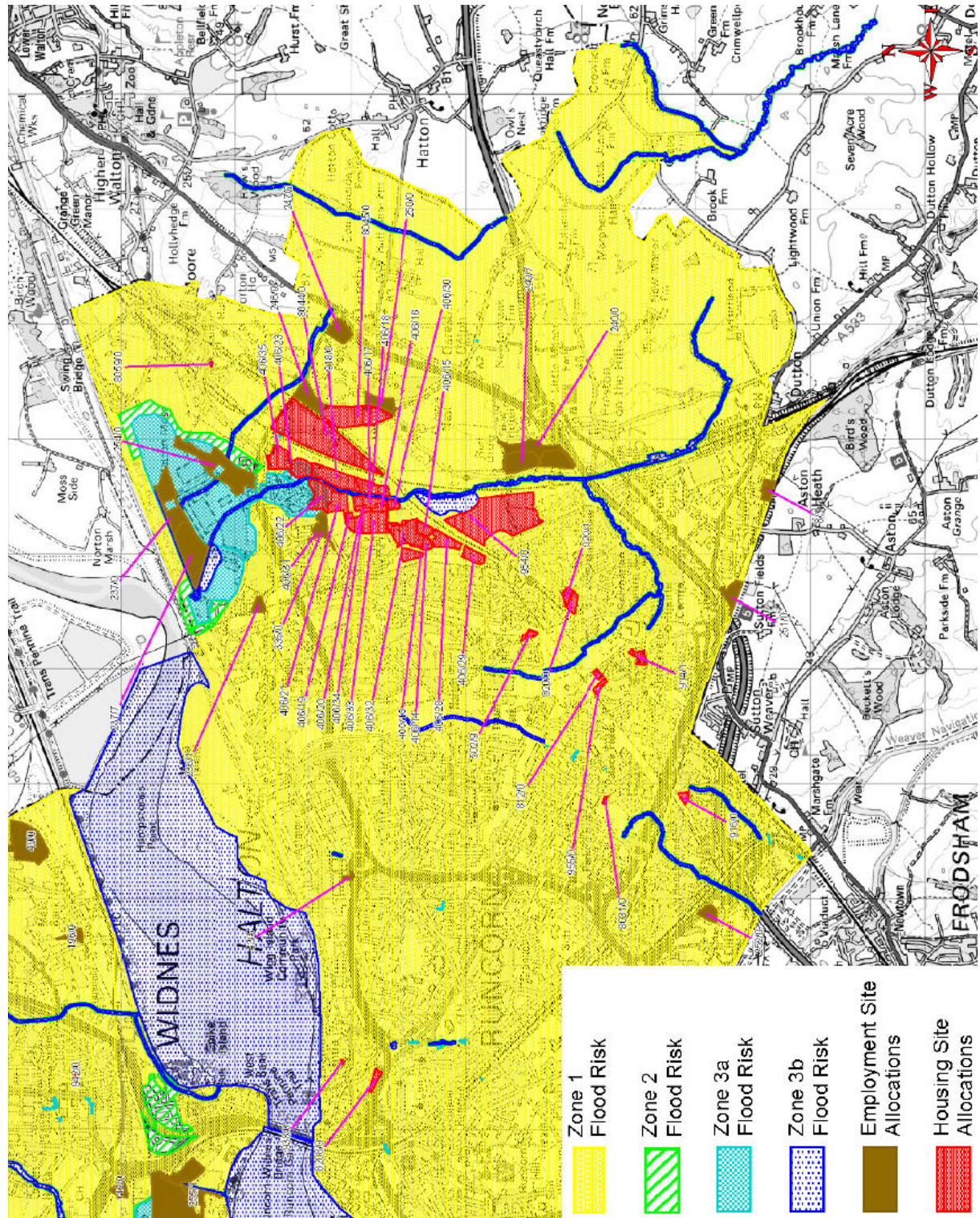


Figure 10 - Groundwater Flood Risk (ESI Mapping)

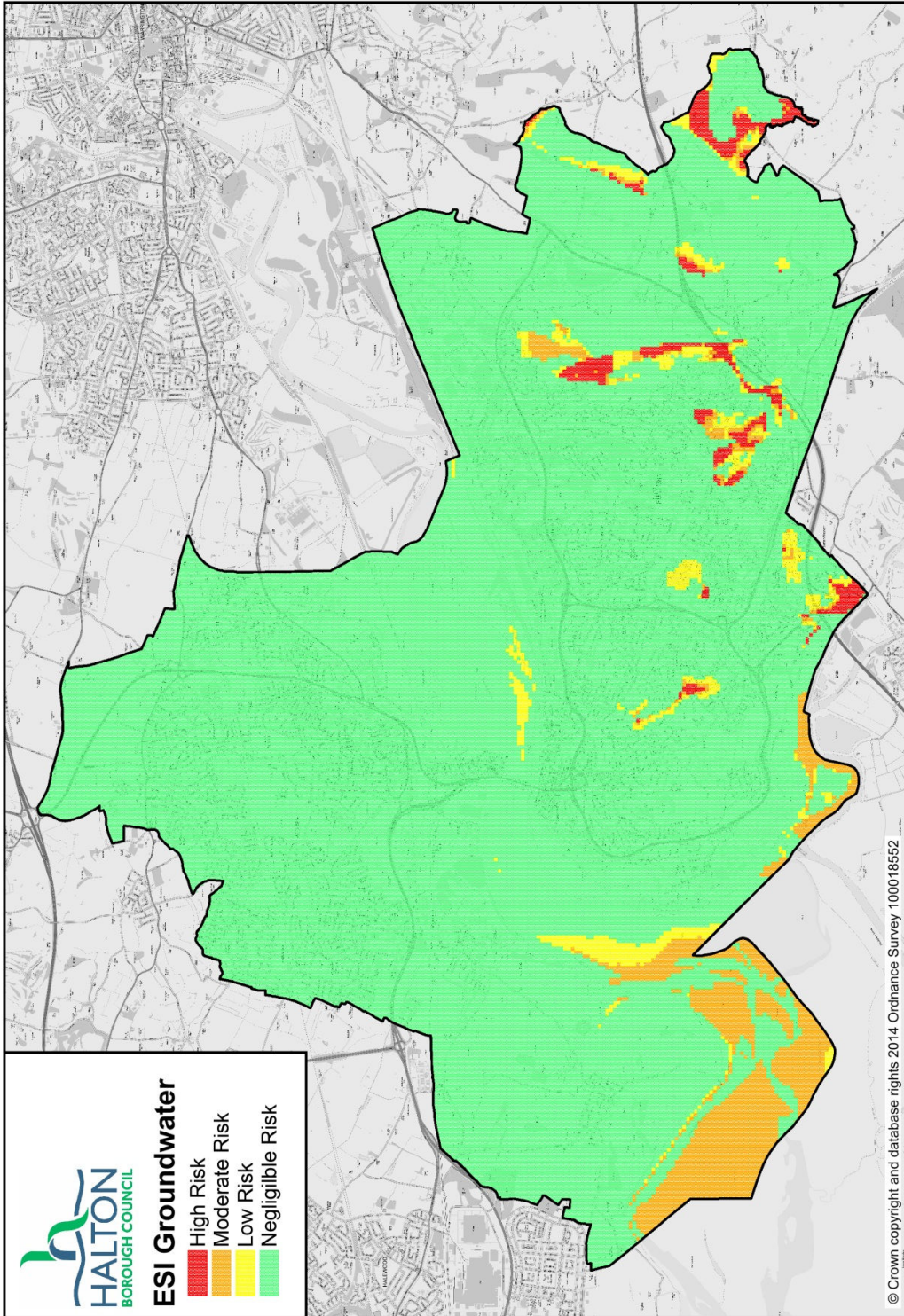


Figure 11- Historic Flood Records

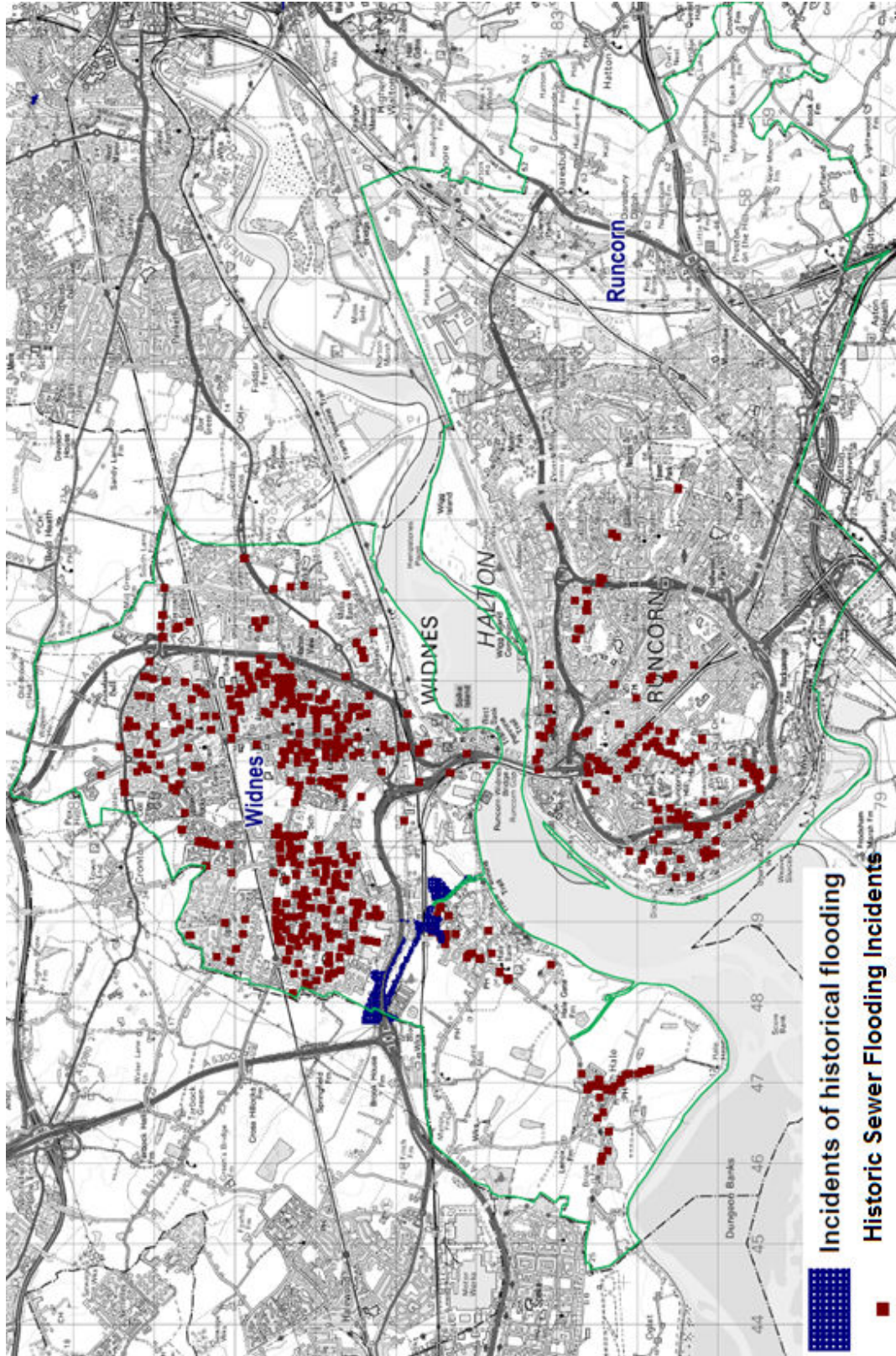


Figure 12 – Canal Ownership

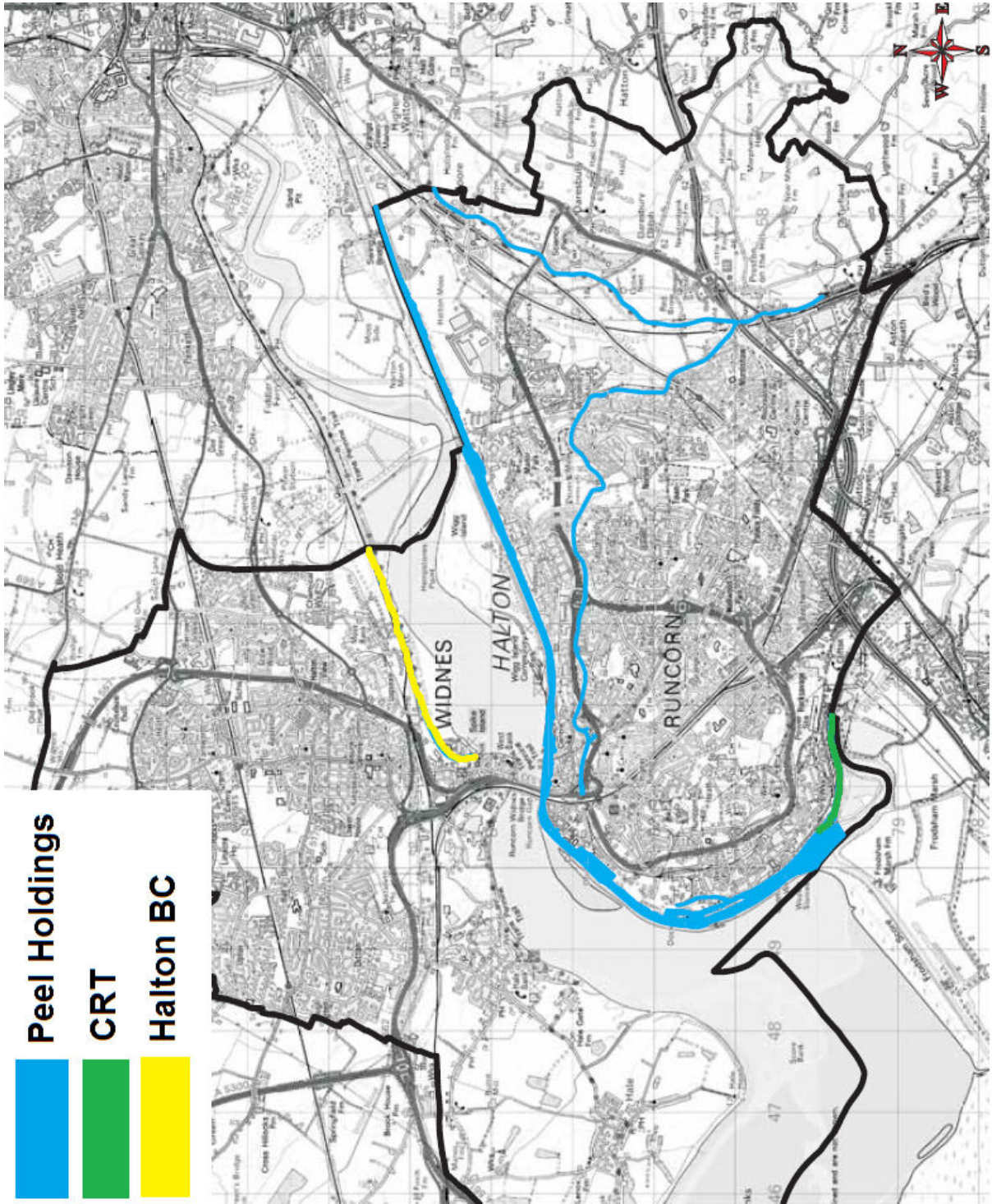
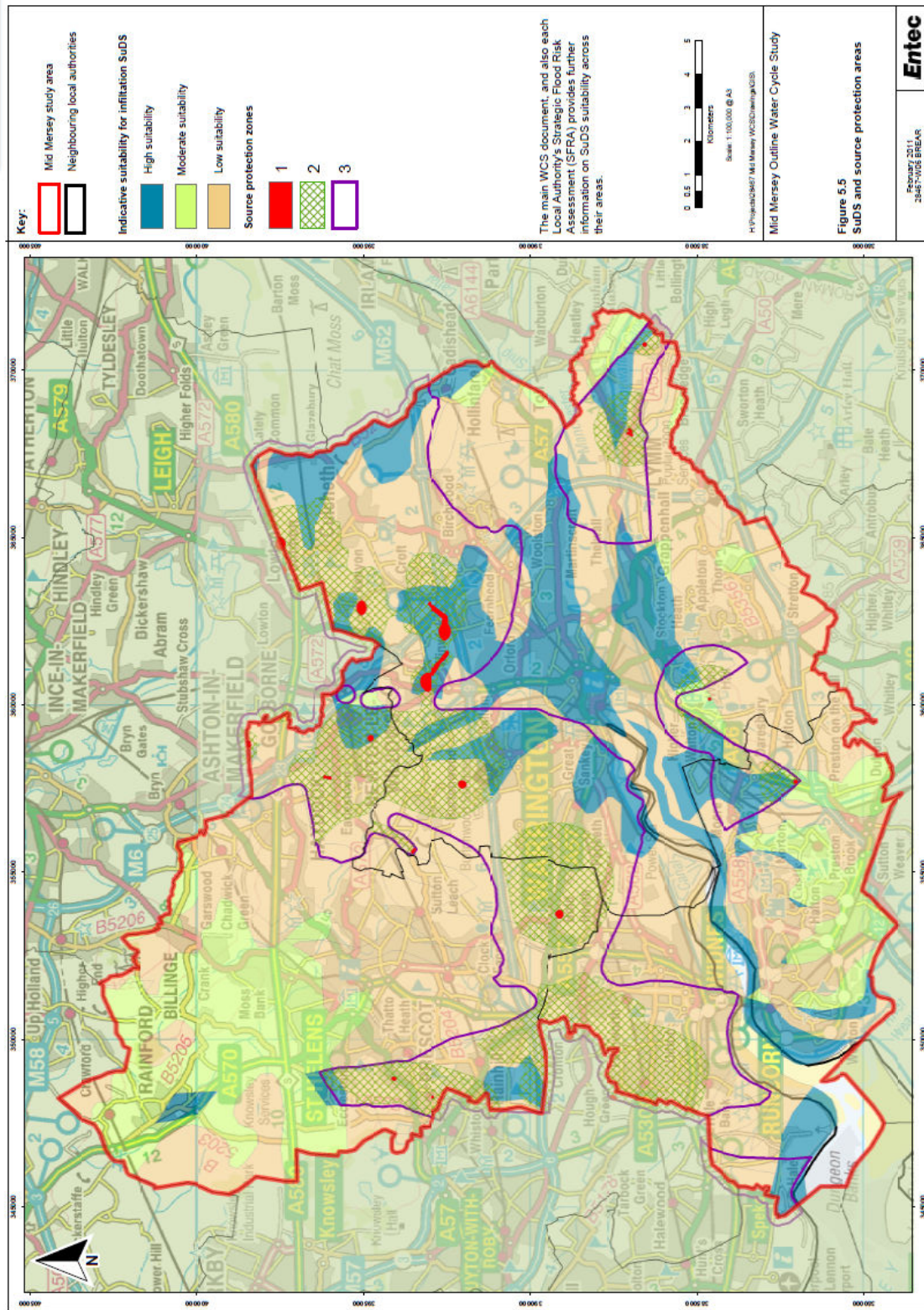


Figure 13 – Areas Suitable for SuDS (extract from Mid Mersey Water Cycle Study, Feb 2011)

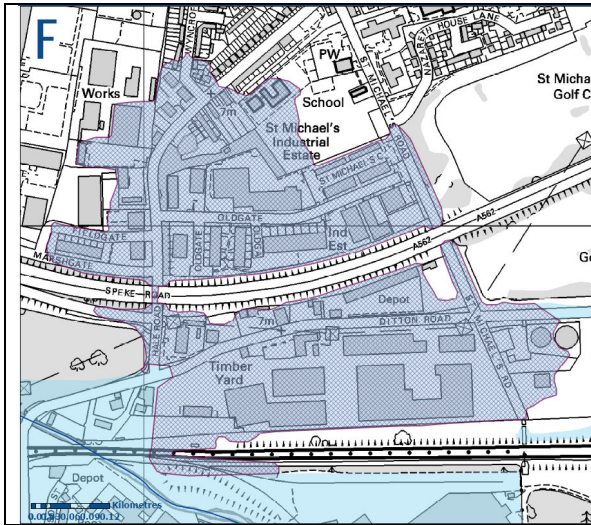


Appendix 2 – Environment Agency Flood Warnings and Emergency Response

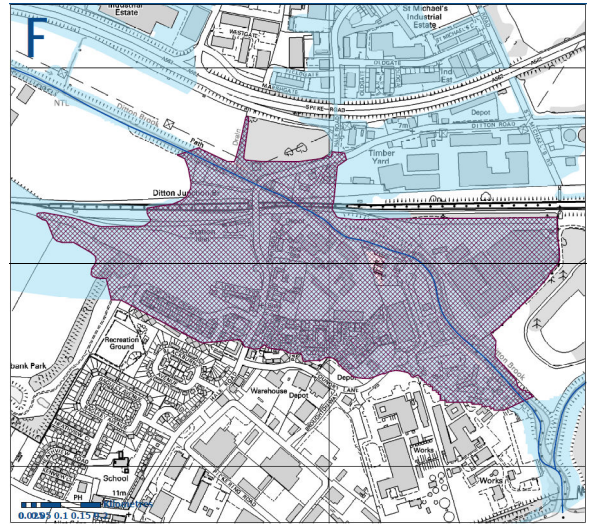
Overview

Warnings cover 109 properties at risk of flooding from Ditton Brook at Ditton and 278 properties at risk of flooding from Ditton Brook at Halebank. This covers less than 1% of the properties in the Halton Borough Council area. The EA has flood defences in place along a section of Ditton Brook bounding Ditton and Halebank. There is potential for more FWAs on Bowers Brook and Keckwick Brook.

Flood Warning Areas






Area	Ditton Brook at Ditton: Hale Road, Oldgate, St Michaels Close Ditton Road Fieldgate Marshgate, Widnes
Properties Affected	109
Status	In Force



Area	Ditton Brook at Halebank Hale Road, Harrison Street, Lovel Terrace and Claggate Crescent Burmash Lane Palmarsh Road Wellingford Avenue Norris Grove Beynard Drive, Widnes
Properties Affected	278
Status	In Force

EA Flood Alert and Warnings

	Online flood risk forecast	 FLOOD ALERT	 FLOOD WARNING	 SEVERE FLOOD WARNING	Warning no longer in force
What it means	Be aware. Keep an eye on the weather situation	Flooding is possible. Be prepared	Flooding is expected. Immediate action required	Severe flooding. Danger to life	No further flooding is currently expected in your area
When it is used	Forecasts of flooding on our website are updated at least once a day	Two hours to two days in advance of flooding	Half an hour to one day in advance of flooding	When flooding poses a significant threat to life	When river or sea conditions begin to return to normal
What to do	Check weather conditions. Check for updated flood forecasts on our websites	Be pared to act on your flood plan. Prepare a flood kit of essential items. Monitor local water levels and the flood forecast on our website	Move family, pets and valuables to a safe place. Turn off gas, electricity and water supplies if safe to do so. Put flood protection equipment in place	Stay in safe place with a means of escape. Be ready should you need to evacuate from your home. Co-operate with the emergency services. Call 999 if you are in immediate danger	Be careful. Floodwater may still be around for several days. If you've been flooded, ring your insurance company as soon as possible

When they are issued		
Before	During	After
SFWs should only be issued from a forecast when there won't be time to wait until flooding has begun	Most SFWs should be issued after flooding has already begun	In exceptional circumstances, as flood waters recede, secondary effects such as damaged infrastructure, may justify issuing a SFW

F.2 Figure 2 Flooding Criteria

Criteria 1 - Risk to Life	Criteria 2: widespread flooding
<ul style="list-style-type: none"> • Significant risk to life caused by: • deep and fast flowing water (e.g. caused by significant overtopping of defences or sudden onset flooding from dam/defence failure); • rapid onset of flooding; • presence of debris in the water that could cause death or injury; • potential/observed collapse of buildings/structures; • the vulnerability of the population or their surroundings (e.g. deep/fast flowing water through a caravan park). 	<ul style="list-style-type: none"> • Significant disruption to communities: • likely to affect whole community; • community isolated by floodwaters with no obvious means of escape; • critical resources/infrastructure for communities disabled (e.g. no access to food, water, electricity); • emergency services and authorities unable to cope with large volumes of evacuees and rest centres at full capacity; • mutual aid/military support necessary or called upon.

Halton Borough Council Sandbag Policy

Halton Borough Council Highways Department will be responsible for maintaining adequate stocks for flood defence at agreed levels, and will monitor the adequacy and levels of stock as required by flood incidents.

Resources for Deployment:

The Highways Term Maintenance Contractor will deploy flood defence equipment/stocks under instruction from designated Council officers/staff.

Sandbags:

Highways hold stocks of sandbags for immediate deployment at the following locations;

- Picow Farm Road Depot, Runcorn – in one of two containers within a part of the Bridges store.
- Lower House Lane, Widnes – within the grit storage compound there is a steel container filled with sandbags.

Highways sandbag stocks will be maintained at the agreed level of 1,500 and will be split between Runcorn and Widnes.

Previous policy regarding sandbag provision was to the effect that up to ten sandbags would be provided free of charge to Halton residents or businesses, on a request from them during a Flood Alert. It is proposed to continue with this historical policy. Once sandbags were deployed to premises, the property owners would be responsible for their removal. HBC would not return used sandbags to store (due to potential contamination concerns), or dispose of them unless there was a specific valid request e.g. disability of homeowner.

Floodgates:

A stock of "Floodgates" is held by Highways and at present they are located at Picow Farm Road depot. Highways staff will instruct residents how to fix the Floodgates when residents request them. Equipment remains the property of HBC and will be on loan to residents requesting them. Residents will be asked to keep the Floodgates in a safe and proper location to maintain their condition, and to sign for receipt of them.

Before Floodgates are issued to properties at risk, Highways staff are to visit the premises to ascertain the suitability of the premises for Floodgate protection. (Some properties are not suitable for Floodgate protection without modification.)

Principal Contact Numbers

Emergency Authorities	Address	Web Address
Cheshire Police	Oakmere Road, Winsford Tel: 01244 350 000	www.cheshire.police.uk
Cheshire Fire and Rescue Service	Headquarters, Winsford Tel: 01606 868700	www.cheshirefire.gov.uk
Cheshire and Merseyside Ambulance Service	Elm House, Belmont Grove, Anfield, Liverpool, Tel: 0151 260 5220	www.nwas.nhs.uk
Scottish Power Manweb	Tel: 0845 272 2424	http://www.scottishpower.com
Transco	Tel: 0800 111 999	http://www.nationalgrid.com/uk
United Utilities	Leaks: 0800 330033, Water Supply: 0845 746 2200	http://www.unitedutilities.com
Environment Agency	Emergencies (24-hour) Tel: 0800 807 060	http://www.environment-agency.gov.uk
Flood line	(24-hour) Tel: 0845 988 1188	http://www.environment-agency.gov.uk

Appendix 3 – Actions, Measures, Works Programmes and Funding

FWMA Duties, Powers and other Actions that achieve our Local Strategy Objectives

LFRMS Objective	Potential Action	Description	Lead Body / Partners	Funding Options
3,4	Asset Management Plan (Drainage)	An Asset Management Plan (AMP) is a tactical plan for managing an organisation's infrastructure and other assets to deliver an agreed standard of service.	HBC UU EA	HBC
2,3	Asset Register	The Council has a duty to maintain a register of structures or features, which are considered to have an effect on a flood risk. Including details on ownership and condition as a minimum.	HBC	HBC
3,4,5	Best practice guidance	Halton Borough Council will follow published best practice guidance when undertaking actions/duties in relation to flood risk.	HBC	N/A
3,5	Bye-laws	The FWMA amends Section 66 of the Land Drainage Act to allow local authorities to make byelaws for the following purposes: <ul style="list-style-type: none"> • To secure the efficient working of a drainage system in its area; • To regulate the effects of a drainage system on the environment; • To secure the effectiveness of flood risk management work (carried out under either the FWMA or the LDA) 	HBC	HBC
3,5	Checking and approval of new development drainage designs	Halton Borough Council will continue to check and pass comment in line with best practice guidance with regard to drainage on key planning applications up until SuDS is enacted when the framework will take over.	HBC / UU & EA	HBC
1,3	Communication Strategy: Newsletters; Council website; Social Media; Community Engagement	A draft Communications' Strategy document has been prepared which states how Halton Borough Council will communicate with stakeholders in relation to its flood risk activities.	HBC	HBC
3,5	Consenting on ordinary watercourses	Under the Land Drainage Act 1991 certain types of work within a watercourse may not be permitted due to the potential increase in flood risk. In order to allow work to take place Halton Borough Council can issue consent for a proposed scheme by checking that it does not increase the risk of flooding and that it does not adversely affect the environment.	HBC	HBC (via fee structure)
2,3	Designation of 3rd Party Assets	The Council as well other flood management authorities have powers to designate structures and features that affect flooding or coastal erosion in order to safeguard assets that are relied upon for flood or coastal erosion risk management.	HBC	HBC

1,2,3,4	Duty to co-operate	The FWMA places a duty on risk management authorities to cooperate with one another. Co-operation between flood and coastal erosion risk management authorities is important because of the mutual benefits they can gain from working together and sharing information	All Partners	N/A
3,4,5	Enforcement on ordinary watercourses	The enactment of the FWMA transfers enforcement powers on ordinary watercourse from the Environment Agency to Local Authorities. The aims of enforcement in flood risk management are to ensure the proper flow of water in a watercourse and over the floodplain; the control of water levels and the security of existing assets.	HBC	HBC
1,3,4	Engage with partner risk management authorities	The council will seek to engage with partner risk management organisations in order to share knowledge and best practice in order to achieve the best possible results.	HBC / EA / UU	N/A
1,3,4,5	Engage with riparian land owners	Halton will seek to engage with riparian land owners in order to inform them of their duties and responsibilities and to actively encourage them to undertake them with the aim of avoiding enforcement action.	HBC	N/A
1,3,4	Engagement with communities at risk of flooding: -Parish Councils -Community Groups	Communities often lack the support and expertise to improve their own flood resilience. By working together, with local communities and emergency services, we can make significant strides towards reducing the impact, disruption and trauma of a flood.	Dependent on source of flooding.	N/A
2,3,4	Flood mapping / modelling	Where necessary and appropriate, HBC and partner organisations will undertake flood mapping / modelling in order to aid our understanding of the mechanisms which lead to an area flooding.	HBC EA UU	HBC EA Grant bids
1,3	Flood warning service	The Environment Agency offers a free flood warning service for many areas at risk of flooding from rivers and the sea. The warnings can give advance notice of when flooding from rivers and the sea is likely to happen and allow time for residents to prepare. Halton Borough Council where appropriate will promote the Flood Warning Service to residents.	EA	N/A
2,3,4	Identification of critical assets	As part of the Councils duty to maintain a register of structures or features, which are considered to have an effect on flood risk. The Council will also identify assets which play a significant role in flood risk management.	HBC	HBC
1,2,3,4	Investigations	The Council has a duty to co-ordinate the investigation and recording of significant flood events within their area. This duty includes identifying which authorities have flood risk management functions and what they have done or intend to do with respect to the incident, notifying risk management authorities where necessary and publishing the results of any investigation carried out.	HBC	HBC

1,2,3,4	Joint funded / identified schemes (Partnership working)	All partner organisations will endeavour to work together where appropriate to achieve the best possible outcomes.	All Partners	All Partners Grant bids
1,2,3,4, 5	LFRMS	The Council is required to develop, maintain, apply and monitor a local strategy for flood risk management in its area. The local strategy will build upon information such as national risk assessment and will use consistent risk based approaches across different local authority areas and catchments.	HBC	HBC
2,3	Power to request information	Under section 14 of the FWMA, Halton Borough Council and Environment Agency have the power to request information relevant to flood risk management. Where deemed appropriate HBC will use this power.	HBC EA	HBC EA
2	Recording and reporting of flood incidents	The Council will record all flood incidents which are reported to the flood risk management team and where appropriate report on the incident.	HBC	HBC
3	Site specific flood response plans	Flood response plans for known at risk locations within the Borough enable a more targeted use of resources should a flood occur, they should state who will respond and how.	HBC EA UU	All RMA partners
3,5	Spatial planning policy	Planning policy influences what can be built and where, planning policy is key to deciding where appropriate development should be sited.	HBC	HBC
How studies influence the Objectives within the Local Strategy				
LFRMS Objective	Potential Action	Description	Lead Body / Partners	Funding Options
2,3	Strategic Flood Risk Assessments	There is a level 2 SFRA in place which was undertaken in 2011 by Planning Policy. The SFRA allows for application of the sequential test as set out in the NPPF. Halton Borough Council will update the SFRA as necessary to ensure an up to date and best informed knowledge base to undertake assessment of planning applications.	HBC	HBC
2,3,4	Surface Water Management Plans	A Surface Water Management Plan (SWMP) is a plan which outlines the preferred surface water management strategy in a given location. Where appropriate/necessary HBC has undertaken a preliminary stage SWMP study covering the whole Borough	HBC	HBC
3,4,5	Sustainable Drainage Systems Frameworks	The Council is designated the SuDS Approval Body (SAB) for any new drainage system, and therefore must approve, adopt and maintain any new sustainable drainage systems (SuDS) within their area. (subject to implementation of this part of the legislation)	HBC	HBC
1	Website Flood Risk Content Update	As a key communication tool for information regarding flood risk it is important that the borough website is accurate. Halton Borough Council is currently in the process of updating the information on the website.	HBC	HBC

Preliminary Maintenance and Works Identification

Location	Problem	Potential Cause	Potential Solution (Medium Term)	Long Term or Additional Works	Responsible Authority	Possible Funding
Peel House Lane & St. Anne's Road, Widnes	Flash flooding to properties SW runoff	Overflows from surface water drainage system	Improve property flood resilience Confirm capacity and condition of installed attenuation tank	Local drainage system improvements Remodel ground levels	Halton Borough Council	Halton Borough Council FDGiA grant
Compass Close, Runcorn	Flooding in low point in Compass Close will inundate surrounding houses	Threshold levels below surrounding ground levels in some cases	Prioritise gully cleaning Improve property flood resilience FDGiA funding granted in 2012/13 MTP	Remodel existing ground levels	Halton Borough Council	Halton Borough Council FDGiA grant
Kingsway & Milton Road, Widnes	Flash flooding to properties	Police Station and Leisure Centre (Loading Bay) have minimal thresholds and will be affected by highway flooding	Improve property flood resilience	Remodel existing ground levels to divert flow away from buildings	Halton Borough Council	Halton Borough Council FDGiA grant Halton Housing Trust
Brynn Street & Quinn Street, Widnes	Flooding in low point at junction between Brynn Street and Quinn Street	Topography of development	Prioritise gully cleaning Improve property flood resilience	Remodel existing ground levels	Halton Borough Council	Halton Borough Council FDGiA grant Halton Housing Trust
Fairhaven Road, Widnes	Flash flooding to properties	Overflows from surface water drainage system and manhole at bottom of dip in road overflows	Local drainage system improvements Improve property flood resilience	Remodel ground levels	Halton Borough Council	Halton Borough Council RFCC
Cradley & Radnor Drive, Widnes	Potential SW flooding of school and neighbouring properties	Topography of development	Develop hydraulic model to map SW flooding of school and neighbouring properties	Full detail study required	Halton Borough Council	Halton Borough Council RFCC
Castlefields Avenue South, Runcorn	Flash flooding to properties from adjacent highway	Houses adjacent to steep embankment with thresholds <50mm	Improve property flood resilience	Remodel existing ground levels	Halton Borough Council	Halton Borough Council Environment Agency

Location	Problem	Potential Cause	Potential Solution (Medium Term)	Long Term or Additional Works	Responsible Authority	Possible Funding
Bridgeway & Lockgate, Runcorn	Flash flooding to properties from highway SW runoff	Houses adjacent to embankment with 180mm thresholds Topography of development	Improve property flood resilience FDGiA allocation in 2013/14 for investigation/study	Local drainage system Improvements Remodel ground levels	Halton Borough Council	Halton Borough Council FDGiA grant
Mottershead Road & Milton Road, Widnes	Flash flooding to properties	Flow paths around buildings channel water into properties	Improve property flood resilience FDGiA funding granted in 2012/13 MTP – 4 properties protected	Remodel existing ground levels	Halton Borough Council	Halton Borough Council Environment Agency
Bradley Way, Widnes	Flash flooding to properties	Deep flooding likely to affect buildings with thresholds up to 500mm	Improve property flood resilience	Remodel existing ground levels	Halton Borough Council	Halton Borough Council Environment Agency
Halton Lea, Runcorn	Flash flooding to properties	Threshold levels of plant room facilities of commercial properties likely to be affected by flooding	Inform property owners	Remodel existing ground levels	Halton Borough Council	Halton Borough Council Environment Agency
Cow Hey Lane, Runcorn	Flash flooding to properties	Low building threshold levels	Confirm building threshold levels	Improve property flood resilience Remodel ground levels	Halton Borough Council	Halton Borough Council Environment Agency

Draft Maintenance Programme

Asset	Action	Status	Solution Medium Term	Solution Long Term or Additional Works	Authority	Possible Funding
Gully Cleansing	Regular gully cleansing aligned to SW Risk Maps and S38 adoptions	Actioned	Programme continually reviewed and amended	Risk based system of maintenance	Halton Borough Council	Halton Borough Council
Culvert Screens	Regular inspection of culvert screens at high risk locations identified from previous flood incidents	Programme developed from historical knowledge and results from culvert blockage sensitivity testing	Programme continually refined as asset management registers develop	Intelligence and risk based system of maintenance Replacement of screens identified as deficient	Halton Borough Council	Halton Borough Council
Asset Inspection	Regular inspection of assets at high risk locations identified from SWMP	High risk locations identified from SWMP	Programme frequency and locations refined as asset management registers develop	Riparian land owners will require identifying	Halton Borough Council	Halton Borough Council

The following schemes have been awarded FDGiA funding in the current 2014/15 MTP:

Halton Scheme		2014/15	2015/16	2016/17	2017/18	2018/19
Bridgeway and Lockgate, Runcorn Flood Alleviation Scheme	Estimated scheme cost in year (£k)	63	63	93	93	
	Indicative FDGiA / Local Levy Allocation (£k)	53	53	74	0	
Compass Close, Runcorn Flood Alleviation Scheme	Estimated scheme cost in year (£k)	33	13			
	Indicative FDGiA Allocation (£k)	30	10			
Pitville Terrace, Widnes Flood Alleviation Scheme	Estimated scheme cost in year (£k)	0	25	25		
	Indicative FDGiA / Local Levy Allocation (£k)	0	7	7		

Appendix 4 Abbreviations and Definitions

Abbreviations

Item	Description
ABI	Association of British Insurers
AStSWF	Areas Susceptible to Surface Water Flooding
CIRIA	Construction Industry Research and Information Association
CLG	Department of Communities and Local Government
CFMP	Catchment Flood Management Plan
COMAH	Control of Major Accident Hazards
DCLG	Department for Communities and Local Government
DEFRA	Department for Environment, Food and Rural Affairs
EA	Environment Agency
EC	European Commission
FCERM	Flood and coastal erosion risk management
FMfSW	Flood Map for Surface Water
FWMA	Flood and Water Management Act 2010
FRA	Flood Risk Assessment
IDB	Internal Drainage Board
LGA	Local Government Association
LDF	Local Development Framework
LLFA	Lead Local Flood Authority
LPA	Local Planning Authority
LRF	Local Resilience Forum
NRD	National Receptor Database
NFU	National Farmers Union
RFCC	Regional flood and coastal committee
PPS25	Planning Policy Statement 25: Development and Flood Risk
PFRA	Preliminary Flood Risk Assessment
PPS	Planning Policy Statement
RBD	River Basin District
SAB	SuDS Approving Body
SEA	Strategic Environmental Assessment
SMP	Shoreline Management Plan
SFRA	Strategic Flood Risk Assessment
SSSI	Site of Specific Scientific Interest
SPD	Supplementary Planning Document
SuDS	Sustainable Urban Drainage Systems
SWMP	Surface Water Management Plan
UU	United Utilities

Definitions

Item	Description
Assets	Structures or a system of structures used to manage flood risk.
Attenuation	Reduction of peak flow and increased duration of a flow event.
Balancing pond	A pond designed to attenuate flows by storing runoff during the peak flow and releasing it at a controlled rate during and after the peak flow has passed. The pond always contains water. Also known as wet detention pond.
Building Regulations	The UK Building Regulations are rules of a statutory nature to set standards for the design and construction of buildings, primarily to ensure the safety and health for people in or around those buildings, but also for purposes of energy conservation and access to and about other buildings
Catchment	The area contributing surface water flow to a point on a drainage or river system. Can be divided into sub-catchments.
Climate Change	Any long-term significant change in the "average weather" that a given region experiences. Average weather may include average temperature, precipitation and wind patterns.
Combined sewer	A sewer designed to carry foul sewage and surface runoff in the same pipe.
Consequence	A condition or occurrence traceable to a cause e.g. the flood was an inevitable consequence of the prolonged, heavy rains.
Culvert	A covered structure under a road, embankment etc., to direct the flow of water.
Defences	A structure that is used to reduce the probability of floodwater or coastal erosion affecting a particular area (for example, a raised embankment or sea wall)
Defra	Department for Environment, Food and Rural Affairs
Detention basin	A vegetated depression, normally dry except after storm events constructed to store water temporarily to attenuate flows. May allow infiltration of water to the ground.
Discharge.	The discharge of a river is the volume of water, which flows through it in a given time. It is usually measured in cubic metres per second (m ³ /s).
Drainage authorities	Organisations involved in water level management, including IDBs, the Environment Agency, and RFDCs.
Environment Agency	It is a UK non-departmental public body of Defra with the principal aim of protecting and enhancing the environment to make a contribution towards the objective of achieving sustainable development. The Agency has principal responsibility for river (fluvial) flooding.
Flood	A temporary rise of the water level, as in a river or lake or along a seacoast, resulting in its spilling over and out of its natural or artificial confines onto land that is normally dry. Floods are usually caused by excessive runoff from precipitation or snowmelt, or by coastal storm surges or other tidal phenomena,
Flood frequency	The probability of a flow rate being equalled or exceeded in any year.
Flood Mitigation	Methods of reducing the effects of floods. These methods may be structural solutions (e.g. reservoirs) or nonstructural (e.g. land use planning, early warning systems).
Floodplain	Land adjacent to a watercourse that would be subject to repeated flooding under natural conditions.
Fluvial flooding	Flooding from a main watercourse (brooks, streams, rivers and lakes etc.) that occurs when the water features cannot cope with the amount of water draining into them, from the land. When rainfall is heavy and / or prolonged, a large amount of runoff reaches the rivers and eventually causes them to overtop their banks.
Groundwater	Water that is below the surface of ground in the saturation zone.
Groundwater flooding	Occurs when water levels in the ground rise above the natural surface. Low-lying areas underlain by permeable strata are particularly susceptible.
Highway authority	A local authority with responsibility for the maintenance and drainage of highways maintainable at public expense.
Highways Agency	The government agency responsible for strategic highways, i.e. motorways and trunk roads.
Hydrological	The occurrence, circulation, distribution, and properties of the waters of the earth and its atmosphere.
Infiltration	The passage of surface water through the surface of the ground or the entry of groundwater to a sewer.
Material Consideration	A legal term describing a matter or subject which is relevant (material) for a local authority to consider when using its powers under planning law in dealing with a planning application.
Operating Authorities	Anybody, including the Environment Agency, Internal Drainage Boards, County Councils and Local Authorities, who have powers to make or maintain works for the drainage of land.

Item	Description
Ordinary Watercourses	Any watercourse that does not form part of a Main River. (Main Rivers are as shown on the Environment Agency's Main River map)
Permeability	A measure of the ease with which a fluid can flow through a porous medium. It depends on the physical properties of the medium, for example grain size, porosity and pore shape.
Piped system	Conduits generally located below ground to conduct water to a suitable location for treatment and/or disposal.
Pluvial Flooding	Flooding that results from rainfall generated overland flow before the runoff enters any watercourse or sewer. It is usually associated with high intensity rainfall events. Also referred to as surface water flooding.
Pollution	A change in the physical, chemical, radiological or biological quality of a resource (air, water or land) caused by man or man's activities that is injurious to existing, intended or potential uses of the resource.
Probability Event	The statistical probability of a flooding episode (event) occurring.
Protection	The flood event return period above which significant damage and possible failure of the flood defences could occur.
Public sewer	A sewer that is vested in and maintained by a sewerage undertaker.
Recovery	The process of rebuilding and rehabilitating the community following an emergency.
Reservoir	A natural or artificial lake where water is collected and stored until needed. Reservoirs can be used for irrigation, recreation, providing water supply for municipal needs, hydroelectric power or controlling water flow.
Residual Risk	The Risk that remains after risk management and mitigation measures have been implemented.
Resilience	The ability of the community, services, area or infrastructure to withstand the consequences of an incident.
Return Period	Also known as a recurrence interval is an estimate of the interval of time between events, in the instance of a 1 in 200 year storm the probability is 0.005%, however it does not mean that it will occur once, multiple instances of the same event can occur in each year.
Risk	Measures the significance of a potential event in terms of likelihood and impact. In the context of the Civil Contingencies Act 2004, the events in question are emergencies
Risk assessment	A structured and auditable process of identifying potentially significant events, assessing their likelihood and impacts, and then combining these to provide an overall assessment of risk, as a basis for further decisions and action.
Risk management authorities	Organisations that have a key role in flood and coastal erosion risk management as defined by the Flood and Water Management Act (2010). These are the Environment Agency, lead local flood authorities, district councils where there is no unitary authority, internal drainage boards, water companies, and highways authorities.
River flooding	Occurs when water levels in a channel overwhelms the capacity of the channel.
Runoff	Water flow over the ground surface to the drainage system. This occurs if the ground is impermeable, is saturated or if rainfall is particularly intense.
Sequential Test	The Sequential test (Annex D of PPS25) advocates that planners use a sequential test when considering land allocations for development to avoid flood risk where possible.
Sewer	A pipe or channel taking domestic foul and/or surface water from buildings and associated paths and hardstandings from two or more curtilages and having a proper outfall.
Sewerage undertaker	A collective term relating to the statutory undertaking of water companies that are responsible for sewerage and sewage disposal including surface water from roofs and yards of premises.
Significant	Defined threshold of flooding consequence.
Source control	The control of runoff or pollution at or near its source.
Stormwater	Rainwater that runs off impervious surfaces and into storm drains rather than being absorbed into the soil.
Sub-catchment	A division of a catchment, allowing runoff management as near to the source as is reasonable.
Surface water flooding	Occurs when the level of rainfall overwhelms the capacity of the drainage system to cope.
Sustainable Drainage Systems (SuDS)	A sequence of management practices and control structures designed to drain surface water in a more sustainable fashion than some conventional techniques.
Wastewater	This is 'used' water arising from homes and businesses and includes water from sinks, toilets, bathtubs, washing machines and dishwashers – any water that has to be drained, including storm water.

Watercourse	A term including all rivers, streams ditches drains cuts culverts dykes sluices and passages through which water flows.
Wetland	A pond that has a high proportion of emergent vegetation in relation to open water.

Useful References

- Civil Contingencies Act 2004: www.legislation.gov.uk/ukpga/2004/36/contents
- Environment Act 1995: www.legislation.gov.uk/ukpga/1995/25/contents
- Flood and Water Management Act 2010: www.legislation.gov.uk/ukpga/2010/29/contents
- Flood Risk Regulations 2009: www.legislation.gov.uk/uksi/2009/3042/contents/
- Land Drainage Act 1991: <http://www.legislation.gov.uk/ukpga/1991/59/contents>
- Water Resources Act 1991: <http://www.legislation.gov.uk/ukpga/1991/57/contents>
- Catchment Flood Management Plans: www.environment-agency.gov.uk/research/planning/33586.aspx
- FCERM-AG: www.environment-agency.gov.uk/research/planning/116705.aspx
- Flood and Coastal Resilience Partnership Funding: www.environment-agency.gov.uk/research/planning/33700.aspx
- Guide to the SEA: www.communities.gov.uk/publications/planningandbuilding/practicalguides/sea
- Information about the English National Strategy: <http://www.environment-agency.gov.uk/research/policy/130073.aspx#>
- Landform early action projects: http://www.ciria.com/landform/pdf/Early%20Action%20_Final_.pdf
- LGG Preliminary Framework: <http://www.communities.idea.gov.uk/c/2050378/home.do>
- Making Space for Water: <http://archive.defra.gov.uk/environment/flooding/documents/policy/strategy/strategy-response1.pdf>
- National Strategy: <http://www.environment-agency.gov.uk/research/policy/130073.aspx#>
- National Strategy SEA: <https://consult.environment-agency.gov.uk/portal/ho/flood/fcerm/strategy?pointId=1287746273433>
- Pitt Review: http://archive.cabinetoffice.gov.uk/pittreview/thepittreview/final_report.htm
- PPS25: <http://www.communities.gov.uk/publications/planningandbuilding/pps25floodrisk>
- SEA: <https://consult.environment-agency.gov.uk/portal/ho/flood/fcerm/strategy?pointId=1287746273433>
- Halton Borough Council planning Policy <http://www3.halton.gov.uk/Pages/planning/policyguidance/Planning-Policies.aspx>

REPORT TO: Executive Board

DATE: 26th March 2015

REPORTING OFFICER: Strategic Director Policy and Resources

PORTFOLIO: Transportation and Resources

SUBJECT: Invest to save proposal – Street Lighting

WARD(S) All

1.0 **PURPOSE OF THE REPORT**

To report on the findings of a Street Lighting Asset review to assess the feasibility of switching all or part of the non-LED lighting stock to LED technology

To seek approval for an Invest to Save proposal and funding to cover the costs of an LED Conversion Programme.

2.0 **RECOMMENDATION That**

- 1) **a programme of work to replace the current conventional street lighting with energy saving Light Emitting Diode (LED) Units be approved;**
- 2) **Council be recommended to include this £4.7m scheme within the 2015/16 Capital Programme, to be funded as outlined within the report;**
- 3) **the Strategic Director Policy and Resources in consultation with the Operational Director Finance be authorised to determine the most financial advantageous method of financing the Conversion Programme; and**
- 4) **subject to 3 above the Strategic Director, Policy and Resources in consultation with the Operational Director, Finance and the relevant Portfolio holders, be authorised to seek prudential borrowing of up to £4.7m to cover the costs of the LED Conversion Programme.**

3.0 **SUPPORTING INFORMATION**

- 3.1 There are currently 19,000 street lamps in Halton operating with traditional high energy sodium lanterns. These lanterns cost the Council approximately £730,000 per year to illuminate and this cost has been rising by approximately 8-10% per year. In addition to the energy costs, traditional lanterns need to be replaced approximately

every 4-5 years incurring additional cost to the Highway maintenance budget.

3.2 To date approximately 2000 lanterns have been switched to LEDs. These are in mainly residential areas. The key benefits of LEDs are

- **Reduced energy costs:** This would impact positively on the Council's revenue budget, as well as the commitment to reduce carbon emissions and the Corporate Social Responsibility agenda. Energy use reductions are cited to be between 50% and 80%, resulting in energy cost reduction of a similar level (notwithstanding utility standing charges), and CO2 emission reductions of a potential 30%.
- **Increased reliability and longevity:** LEDs are guaranteed to last a minimum of 10 years with an expected life of 20 years. Currently the Council changes its lighting stock every five years on a rolling maintenance programme. This could result in reduced frequency of lamp replacement, reduced resource requirements in relation to 'scouting', and potentially a reduced call on contracts in place linked to street lighting.
- **Meeting the Council's commitments to sustainable practices and reducing carbon emissions.**

3.3 **OPTIONS AND ANALYSIS**

3.4 The Council currently uses a mix of High Pressure Sodium and SOX lighting. The residential areas are mainly lit by lamps below 70w of which there are 9566 or 54% of the stock. The main through routes are mainly lit by lanterns between 90w and 150W of which there are 5428 or 29% of the stock.

3.5 The unit costs of LEDs is changing rapidly as product designs are refined, more manufacturers enter the market and as production facilities are scaling up. Over the last two to three years there has been a dramatic reduction in price. There are now an increasing number of projects in delivery or completed and it is expected that more standardised products will become available. At the same time reliability is improving and manufactures are providing longer warranties as standard. The current cost of LEDs lights range from £290 - £300.

3.6 The cost of energy has risen by approximately 30% since 2010 and whilst energy price increases are difficult to predict DECC forecast that costs will rise by an average 8% -14% annually.

3.7 The Review looked at three options

- 1) a bulk change of the residential lights only,

- 2) a bulk change of main roads and through routes only
- 3) a bulk change of both residential and main roads and through routes

3.8 Each of the above different scenarios have been assessed as follows:-

Do nothing - to test the impact if no investment was made and lamps were replaced on a like for like basis

Replacement of all lamps in residential areas within 2 years

Replacement of all lamps in residential areas with 4 years.

The approximate capital costs of a conversion programme are

Option 1 - Residential only - Capital cost £2.7m

Option 2 - Main Roads only - Capital costs £1.9m

Option 3 -Residential and Main Roads Capital costs £4.6m

It is anticipated that the costs would be reduced if the Council embarked on a bulk conversion programme.

3.9 The estimated potential savings after the repayment of the Capital Investment based on varying energy price increase for a two or four year conversion are relatively similar and are set out below.

Electricity Increase	Residential (69w & 90w) Capital cost £2,771,240	Highways (100w & 150w) capital cost £2,771,240	All Capital cost £4,672,175
0%	-334,305	-762,192	-1,096,497
3%	-2,015,553	-2,124,957	-4,140,510
5%	-3,558,834	-3,375,890	-6,934,725
7%	-5,563,637	-5,000,917	-10,564,553
10%	-9,759,870	-8,402,245	-18,162,116

Based on electricity prices increase between 5-7% the potential savings would be in the region of £6.9 to £10.5m over a 20 year period.

The scheme represents an approximate 8-9 year payback.

The do nothing option indicates that the Council's energy bill for street lighting would increase from £730,000 to £950,000 by 2020 and £1.8m by 2030.

Alternative options for saving electricity costs include the removal of street lighting and switching street lighting off between certain hours. Whilst these options would save money there would be capital costs involved and this would also lead to a reduction in current service provision and impact negatively on residential areas and highway safety.

Funding

Various methods for funding the upfront investment have been considered.

Green Investment Bank

The Green Investment Bank provides loans to local authorities to fund green infrastructure projects. Analysis of the costs savings against those for using prudential borrowing indicated that the interest charges offered compared unfavourably with the cost of Prudential Borrowing.

Prudential Borrowing

This option provides a low interest solution and would give the Council maximum flexibility to optimise its debt portfolio.

Salix Energy Efficiency Loan Scheme

Salix provides zero interest loans to public bodies to fund initiatives to reduce carbon emissions. Loans need to be repaid in five years which is less than the payback of the scheme. Sensitivity testing indicates that utilising Salix funding may give the Council higher up front savings providing prudential borrowing rates do not increase above 4.8%.

Having considered the above options it is recommended that prudential borrowing is the preferred route for securing the required capital but utilising Salix fund if appropriate.

4.0 POLICY IMPLICATIONS

- 4.1 There would be no adverse impact on the standard of street lighting as a consequence of this proposal. However, LED lighting produces a white light as opposed to the yellow light from the current lanterns. Consideration will have to be given at the design stage to ensure there is no negative impact on lighting current lighting levels.

5.0 FINANCIAL IMPLICATIONS

5.1 The Capital cost of replacing all lanterns in residential areas and on the main through routes is estimated to be £4.6m. The analysis of the various funding options indicates that prudential borrowing is the preferred option for meeting the initial upfront capital costs. Savings over a 20 year period after repayment of the capital and interest is in the region of £6.9 and £10.5m based on average price increase in electricity of 5-7% over the period of the investment.

Any conversion programme will need to consider whether to replace ageing columns and cabling. The review assumes that columns over 40 years will be replaced. The Council currently has 2700 columns over forty years. It is estimated that these would cost £1.8m but this is a cost that the Council would have to meet whether or not it embarks on a conversion programme.

The Council has been awarded approximately £30,000 from a recent Department of Energy and Climate Change funding scheme aimed at reducing the energy demand of the grid capacity. This funding will contribute to the first phase of any conversion programme.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 A Healthy Halton

None

6.2 A Safer Halton

The proposals would allow the Council to maintain current street lighting levels, therefore there should be no adverse impact crime and road safety

6.3 Halton's Urban Renewal

The proposal will reduce energy consumption and the Council's carbon footprint. It is estimated that there will be an annual reduction in CO2.

7.0 RISK ANALYSIS

7.1 A risk assessment has been undertaken and details are set out below.

Risk	Issue/impact
Energy prices	Issue While energy consumption is proven to

	<p>be significantly lower for LEDs meaning that a certain level of saving will be achieved the actual level of saving will be a function of future energy prices. Energy price escalation may be either higher or lower than assumed in the modelling</p> <p>Impact – Energy costs are a key driver of the invest to save proposal. An increase in prices above those assumed would improve the business model. Conversely, price rises lower than those assumed would weaken the business model</p> <p>Comment The model assumes price increase in line with DECC estimates which are generally considered conservative.</p>
LED costs	<p>Issue – The cost of LEDs is likely to reduce over the next 2-3 years as market expansion takes place and supplier competition increases.</p> <p>Impact – LED costs are a key driver to the business case. Higher than assumed costs would weaken the invest to save case.</p> <p>Comment – The model is based on the current price the Council pays for LEDs. Greater tender data will become available over the next 12 months which can be used to verify assumptions. A soft marketing testing exercise could be undertaken</p>
LED efficiencies	<p>Issue - Energy efficiency of LED lamps is expected to improve over the next 2-3 years as lantern design for retrofit projects develops.</p> <p>Impact - If these improved efficiencies are not realised the business case is weakened.</p> <p>Comment – The model is based on current efficiencies gain from lamps already replaced so these should be achievable</p>
LED Life Cycle	<p>Issue - LED are predicted to have a long maintenance free operational life as reflected in the guarantees provided by a number of manufacturers .However, as they are new technologies they have not yet been fully tested in the field for this duration (15-25 years)</p> <p>Impact - If contractual arrangements do</p>

	<p>not pass on the risk of the full replacement cost of the lantern failings before the end of the guarantee period , the Council may be liable for additional costs</p> <p>Comment – The extent that the manufacturers and contractors will cover all costs within the guarantee period is expected to be standardised</p>
<p>Column Renewals</p>	<p>Undertaking a major lantern replacement programme may bring forward the logical date to renew columns with deteriorating condition.</p> <p>Impact Accelerating column renewals may change the affordability of the programme.</p> <p>Comment Further work needs to be undertaken to fully understand the condition of the columns included in the replacement programme</p>

8.0 **EQUALITY AND DIVERSITY ISSUES**

8.1 None

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

9.1 None

REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director - Communities

PORTFOLIO: Community Safety

SUBJECT: Public Spaces Protection Orders

WARD(S): Borough-wide

1. PURPOSE OF REPORT

- 1.1 The purpose of the report is to advise Members of powers available under Part 4, Chapter 2 of the Anti-social Behaviour Crime and Policing Act 2014 and to seek Members' approval to utilise those powers.

2. RECOMMENDED: That

- 1) Executive Board approve the report;**
- 2) Pending the review of the Council's Constitution, the Strategic Director – Communities, in consultation with the Portfolio Holder – Community Safety, be authorised to exercise the functions of the Council under Part 4 Chapter 2 (Public Spaces Protection Orders) of the Anti-Social Behaviour Crime and Policing Act 2014, and**
- 3) Delegated authority be given to the Strategic Director – Communities, in consultation with the Portfolio Holder – Community Safety, to set penalty levels and discounts for early payment relating to Fixed Penalty Notices issued for breaches of Public Spaces Protection Orders.**

3. BACKGROUND

- 3.1 At their meeting of 20th November 2014, Executive Board received a report outlining new tools and powers that had been created to tackle anti-social behaviour (ASB) by the Anti-social Behaviour, Crime and Policing Act 2014. Much of what is often described as ASB, such as vandalism, graffiti or harassment, is actually crime. Even incidents that appear minor in isolation can have a devastating cumulative impact when part of a persistent pattern of behaviour and often affect the most vulnerable members of our community.
- 3.2 Members of the local community have a right to live in a safe, secure and welcoming environment and not be a victim ASB in their own neighbourhood. Environmental ASB and nuisance are perceived to be a problem by members of the public. The most recent Halton Residents' Survey revealed that teenagers hanging around the streets

and rubbish or litter lying around were the biggest problems of ASB. Vandalism, graffiti and people being drunk or rowdy in public spaces were also problems to residents. When asked, 39% of people felt unsafe in their local area after dark with just under half stating that they had confidence in the police in their area. The level of crime and clean streets were ranked as the first and third most important factors in making somewhere a good place to live and in most need of improving.

- 3.3 Reducing incidents of ASB and responding quickly and effectively to any that occur is essential to helping reduce residents' fear of crime and improving satisfaction with their local neighbourhood. Part 4, chapter 2 of the Anti-social Behaviour, Crime and Policing Act 2014 enables Councils to make Public Spaces Protection Orders (PSPOs), which provide a flexible power to put in place local restrictions to address a range of ASB issues in public places, and prevent future problems.
- 3.4 The relevant delegations need to be put in place to enable the functions of the Council under the Anti-Social Behaviour Crime and Policing Act 2014 to be exercised and this will be addressed through the updating of the Council's Constitution. However, officers wish to utilise the new powers relating to PSPOs to tackle ASB in advance of the updating of the Council's Constitution and are requesting that Members approve that delegated authority be given to do so. Further details on PSPOs and how the Council would use them are detailed below.

4. PUBLIC SPACES PROTECTION ORDERS (PSPOs)

- 4.1 PSPOs are intended to deal with a particular nuisance or problem in a specific area that is detrimental to the local community's quality of life, by imposing conditions on the use of that area which apply to everyone. They are designed to ensure the law-abiding majority can use and enjoy public spaces, safe from anti-social behaviour.
- 4.2 The Public Spaces Protection Order replaces 'Designated Public Places Orders', 'Gating Orders' and 'Dog Control Orders'. The PSPO is different from previous Orders as more than one restriction can be added to the same PSPO, meaning that a single PSPO can deal with a wider range of behaviours. These can be blanket restrictions or requirements or can be targeted against certain behaviours by certain groups at certain times, providing flexibility to the enforcing agencies. Orders will last up to three years before requiring a review however there is no limit on the number of times an order can be reviewed and renewed.
- 4.3 Only local authorities can issue PSPOs, but once in place orders can be enforced by police officers, police community support officers and council officers. Breach of an order is a criminal offence and Enforcement Officers can issue fixed penalty notices of up to £100. A

successful prosecution following breach of an order could lead to a fine up to level 3 on the standard scale (currently set at £1,000).

- 4.4 The council can make a PSPO on any public space within its own area. The definition of public space is wide and includes any place to which the public or any section of the public has access, as of right or by virtue of express or implied permission, for example a shopping centre.
- 4.5 Before issuing a PSPO, the Council must consult with the Police Chief Officer, the Police and Crime Commissioner and any representatives of the local community they consider appropriate. The test for issuing the order will be that the local authority reasonably believes that the behaviour is detrimental to the local community's quality of life, and that the impact merits restrictions being put in place. The behaviour must also be ongoing or persistent (or there must be a reasonable belief that future behaviour will be ongoing or persistent).
- 4.6 A PSPO must clearly state what behaviour it is seeking to prevent, what the prohibitions or requirements are in the specified area (which the local authority reasonably believes will remedy the problem), the specified area itself and the consequences of not complying. The order must be in writing and must be published. Reasonable signage should be put up in the areas affected. The order could last for up to three years and could be renewed before the three year time period expired.

5.0 PSPOs IN HALTON

- 5.1 Council Officers have been working closely with Officers from the Community Safety Team to draw up the procedure for the issuing of PSPOs in Halton. The process to be followed for making each PSPO would be as follows;
 - i) Identify an area where ASB is having a detrimental effect on the quality of life for those living, working or socialising in an area.
 - ii) Determine if;
 - a. the behaviour is persistent and ongoing (or is likely to be)
 - b. the behaviour is unreasonable, and
 - c. the issuing of a PSPO is justified
 - iii) Carry out statutory consultation with;
 - Police and Crime Commissioner
 - Police Chief Officer (Local Inspector)
 - Parish or Town Councils
 - Highways Authority
 - iv) Consult with local ward Councillors and other appropriate organisations such as RSL's and businesses in the area.

- v) Consult with local residents
- vi) Obtain authority to make the order and issue

5.2 A series of document templates have also been drawn up by officers which will be used in the PSPO process and, for Members' information, appended to this reports are;

- Public Spaces Protection Order Decision Notice (Appendix 1). This Notice would be drawn up and signed by the authorising officer prior to each PSPO being made.
- Draft example of a public consultation letter and proposed PSPO Notice (Appendix 2)

5.3 Making use of PSPOs will enhance the Council's and the Police's ability to prevent, reduce and more swiftly to tackle incidents of ASB; thereby improving the safety and attractiveness of local neighbourhoods. This in turn will lead to residents feeling less vulnerable to ASB and improve their satisfaction with where they live. Whilst the updating of the Council's Constitution will present the opportunity for relevant delegations to be put in place to enable the issuing of PSPOs, given the positive impact that they could have, officers are requesting that Members approve that delegated authority be given to the Strategic Director – Communities to exercise the functions of the Council under Part 4 Chapter 2 (Public Spaces Protection Orders) of the Anti-Social Behaviour Crime and Policing Act 2014 pending the review of the Council's Constitution.

5.4 Should Members approve the delegation as set out in paragraph 5.3, Halton will become the first Authority in Cheshire to utilise PSPOs to tackle ASB in the manner as set out in this report.

6.0 FINANCIAL AND RESOURCE IMPLICATIONS

6.1 There are additional financial or other resource implications as a result of this report.

7.0. POLICY IMPLICATIONS

7.1 The issuing of PSPOs to deal with ASB would represent the introduction of a new policy for the Council.

8.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

8.1 Children and Young People in Halton

None identified.

8.2 Employment, Learning and Skills in Halton

None identified

8.3 A Healthy Halton

By enhancing its ability to deter and prevent ASB, the Council will be making a positive contribution towards improving the safety and the appearance of the local environment, which shall in turn have an overall beneficial effect on health and wellbeing.

8.4 A Safer Halton

Effective use of its regulatory powers will demonstrate that the Council is committed to dealing with ASB. The Council's efforts to improve environmental standards and reduce environmental crime will have a positive impact upon the Safer Halton Priority, and contribute towards the 'Cleaner, Greener, Safer' agenda.

8.5 Halton's Urban Renewal

No direct impact, but improving the safety and attractiveness of local neighbourhoods should make the borough a more attractive location for investment.

9.0 RISK ANALYSIS

If the Council and its partners fail to put in place measures to effectively tackle ASB, the risks of harm to the public and damage to the local environment would be significantly increased.

Furthermore, failure to make best use of legislative powers available to deal with ASB to improve the local environment may lead to criticism of the Council, thereby damaging its reputation

10.0 EQUALITY AND DIVERSITY ISSUES

10.1 The Council aims to be consistent and evenhanded in all regards. Taking enforcement action to deal with environmental crime is not intended to have either a positive or negative impact upon equality and diversity or apply differently to any particular group.

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

Document	Place of Inspection	Contact Officer
Executive Board Report: "Anti-Social Behaviour across Housing Tenures" 20 th November 2014.	Municipal Building Widnes	Strategic Director Communities

**Public Spaces Protection Order
Decision Notice**

Highlighted Issue/s			
Area Affected (specific)			
Background to the issue			
This issue is considered to be:			
• Having a detrimental effect on the quality of life in the area		YES	NO
• Persistent and Ongoing		YES	NO
• Unreasonable		YES	NO
Proposed conditions to be included on the PSPO			
PROHIBITIONS	REQUIREMENTS	WHEN	
List those consulted and any comments			
<i>Police and Crime Commissioner</i>	Statutory	Complete Y/N	
Comments			
<i>Chief Officer of Police (local Insp)</i>	Statutory	Complete Y/N	
Comments			
<i>Parish or Town Councils</i>	Statutory	Complete Y/N	
Comments			
<i>Highways Authority</i>	Statutory	Complete Y/N	
Comments			
*		Complete Y/N	
Comments			
*		Complete Y/N	
Comments			
*		Complete Y/N	
Comments			
PUBLIC SPACES PROTECTION ORDER TO BE MADE?			
YES		NO	
Duration, Signage and publicity details:		Reasons why:	
Authorising Officer Name			
Job Title			
Organisation			
Date made and Review date			

Appendix 2



Our ref:

Date:

In reply address correspondence to:

Mark Antrobus
Community Safety Supervisor
Municipal Buildings
Widnes
WA8 7QF

Telephone: 0151 511 6721

Mark.antrobus@cheshire.pnn.police.uk

Dear Occupier/Resident

Consultation - Public Spaces Protection Order (PSPO) at [Insert location]

The Community, including the shops and bus companies have raised concerns to the police and Council regarding the on-going Anti-Social Behaviour (ASB) at the above location. We have received calls from the community stating that individuals are throwing missiles at buses and harassing members of the public, additionally members of the public are telling us that they do not feel safe using the facilities in the evening.

To tackle the problems and persons responsible for the ASB, Halton Borough Council in partnership with Cheshire Constabulary is considering making a Public Spaces Protection Order (PSPO) over the area highlighted on the enclosed map.

PSPOs are designed to stop individuals or groups of individuals committing Anti-social Behaviour in a public space.

On behalf of Halton Borough Council and Cheshire Police, I have enclosed details of the proposed Public Space Protection Order as well as notice of the consultation that is currently taking place. The council would value your comments on the proposed PSPO and invites you to contribute to the consultation process by using the enclosed form.

The council would be grateful if you could return your comments by [insert date], after which time the council will consider all comments received and determine whether to formally make the Public Space Protection Order.

In addition to the above application the police, the council and housing providers have been sharing information regarding the perpetrators and many of the persons and parents have already been advised.

The PSPO is part of a package of measures aimed at tackling the problem. Other interventions include:-

1. Installation of ASB CCTV camera.
2. Collection of CCTV and statements from all private and public systems.
3. The use of police dispersal powers.
4. Individuals placed on Acceptable Behaviour Contracts – Breaches will involve ASBO`s.
5. School talks by police school liaison officers.
6. Meetings with shops and housing providers.
7. Investment in the area – regeneration / new houses / lighting and parking.
8. Possible tenancy action.

I trust the above demonstrates our commitments to making Halton a safe place to live, work and enjoy.

Please see attached a copy of the consultation notice, which contains detailed information regarding the prohibitions of the PSPO.

Yours sincerely,

Mark Antrobus
Community Safety Supervisor.

..... of
(Name)

Address

*AGREE/DISAGREE with the proposal to introduce a PUBLIC SPACES PROTECTION ORDER in this area.

**Please delete as appropriate*

Signed

If you disagree with the proposal would you please explain your reasons in the space below.

.....

.....

.....

.....

.....

[Insert Map below shoing thre area covered by the PSPO]

**Public Spaces Protection Order
Consultation Notice**

Highlighted Issue/s	<ul style="list-style-type: none"> • Area deteriorating with a rise in graffiti, litter and dog fouling on surfaces, structures and street furniture. • Not used much during the dark nights. • Large groups of youths causing ASB, Criminal Damage, Defacement and vehicle interference. • Shoplifting • Bus safety • Fear of crime • Untidy land and property
Area Affected (specific)	<ul style="list-style-type: none"> • Full details of the area covered to be inserted
Background to the issue	<ul style="list-style-type: none"> • During October and November large groups of youths causing ASB. • Lack of capable guardians and members of the public in the area in the evening (self-policing and reporting of offenders). • Protection of inward investment by housing association and local shop. • Increased shoplifting (previously had store detectives and door staff and they have closed shop due to behaviour) • Over 90 ASB dispersals issued (part 3 sec 35 ASB, crime and policing act 2014 dispersal order) and CCTV deployment camera installed. • Litter, dog fouling and graffiti problems on public spaces, parks and private property
<p>This issue is considered to be:</p> <ul style="list-style-type: none"> • Having a detrimental effect on the quality of life in the area • Persistent and Ongoing • Unreasonable • Raising fear of crime • Making the area less welcoming 	

The following conditions are proposed to tackle the issue through a Public Spaces Protection Order:

Enforcement will be carried out by Council Enforcement Staff, PCSO`s, Police Officers.

The below prohibitions and behaviours will be challenged.

Failing to comply with the challenge, for example, an individual asked to hand over a substance (alcohol or legal high), put a dog on the leash, pick up litter, leave the designated area etc, will result in the person committing an offence.

Possible sanctions include:-

- A Fixed Penalty Notice (FPN) – ranging from £75 to £100.
- Written Warning, Acceptable Behaviour Contract or Tenancy Agreement.
- Where FPN is not paid, court proceedings will be initiated (prosecution for the offence of failing to comply with the PSPO).

PROHIBITIONS	REQUIREMENTS	WHEN
In any public place, wearing, or have worn for the purpose of concealing identity, a piece of clothing or item. Exceptions may be made in respect of helmets for safety purposes.	To cover the area known locally as [insert location name] , in particular any open land or premises within the area specified during the consultation as identified on the location map.	To commence with the issue of the PSPO for [insert location name] for a period of 12 months and up to 3 years, with a periodic review
Any activity which may cause damage, defacement or cause harm.	As a condition of the prohibition	For the duration of the Order.

Consuming, being under the influence of or in possession of any substance or associated paraphernalia in a public place i.e alcohol, legal highs, nitrus oxide canisters etc.	As a condition of the prohibition	For the duration of the Order.
Congregating or loitering in a public place that is likely to cause harassment, alarm or distress.	As a condition of the prohibition	For the duration of the Order.
Having any rock, stone or any similar object that could cause damage or harm.	As a condition of the prohibition	For the duration of the Order.
All persons to keep dogs on leads.	As a condition of the prohibition	For the duration of the Order.
Failing to remove dog faeces.	As a condition of the prohibition	For the duration of the Order.
A person is guilty of an offence if he/she throws down, drops or otherwise deposits any litter.	As a condition of the prohibition	For the duration of the Order.
Any motor vehicle that are being used to cause alarm, distress or annoyance to members of the public. Any motorcycle or mini moto ridden on this	As a condition of the prohibition	For the duration of the Order.

land commits an offence of "riding on land other than a road".		
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Appendix 2



Our ref:

Date:

In reply address correspondence to:

Mark Antrobus
Community Safety Supervisor
Municipal Buildings
Widnes
WA8 7QF

Telephone: 0151 511 6721

Mark.antrobus@cheshire.pnn.police.uk

Dear Occupier/Resident

Consultation - Public Spaces Protection Order (PSPO) at [Insert location]

The Community, including the shops and bus companies have raised concerns to the police and Council regarding the on-going Anti-Social Behaviour (ASB) at the above location. We have received calls from the community stating that individuals are throwing missiles at buses and harassing members of the public, additionally members of the public are telling us that they do not feel safe using the facilities in the evening.

To tackle the problems and persons responsible for the ASB, Halton Borough Council in partnership with Cheshire Constabulary is considering making a Public Spaces Protection Order (PSPO) over the area highlighted on the enclosed map.

PSPOs are designed to stop individuals or groups of individuals committing Anti-social Behaviour in a public space.

On behalf of Halton Borough Council and Cheshire Police, I have enclosed details of the proposed Public Space Protection Order as well as notice of the consultation that is currently taking place. The council would value your comments on the proposed PSPO and invites you to contribute to the consultation process by using the enclosed form.

The council would be grateful if you could return your comments by [insert date], after which time the council will consider all comments received and determine whether to formally make the Public Space Protection Order.

In addition to the above application the police, the council and housing providers have been sharing information regarding the perpetrators and many of the persons and parents have already been advised.

The PSPO is part of a package of measures aimed at tackling the problem. Other interventions include:-

1. Installation of ASB CCTV camera.
2. Collection of CCTV and statements from all private and public systems.
3. The use of police dispersal powers.
4. Individuals placed on Acceptable Behaviour Contracts – Breaches will involve ASBO`s.
5. School talks by police school liaison officers.
6. Meetings with shops and housing providers.
7. Investment in the area – regeneration / new houses / lighting and parking.
8. Possible tenancy action.

I trust the above demonstrates our commitments to making Halton a safe place to live, work and enjoy.

Please see attached a copy of the consultation notice, which contains detailed information regarding the prohibitions of the PSPO.

Yours sincerely,

Mark Antrobus
Community Safety Supervisor.

..... of
(Name)

Address

*AGREE/DISAGREE with the proposal to introduce a PUBLIC SPACES PROTECTION ORDER in this area.

**Please delete as appropriate*

Signed

If you disagree with the proposal would you please explain your reasons in the space below.

.....

.....

.....

.....

.....

[Insert Map below shoing thre area covered by the PSPO]

DRAFT EXAMPLE

**Public Spaces Protection Order
Consultation Notice**

Highlighted Issue/s	<ul style="list-style-type: none"> • Area deteriorating with a rise in graffiti, litter and dog fouling on surfaces, structures and street furniture. • Not used much during the dark nights. • Large groups of youths causing ASB, Criminal Damage, Defacement and vehicle interference. • Shoplifting • Bus safety • Fear of crime • Untidy land and property
Area Affected (specific)	<ul style="list-style-type: none"> • Full details of the area covered to be inserted
Background to the issue	<ul style="list-style-type: none"> • During October and November large groups of youths causing ASB. • Lack of capable guardians and members of the public in the area in the evening (self-policing and reporting of offenders). • Protection of inward investment by housing association and local shop. • Increased shoplifting (previously had store detectives and door staff and they have closed shop due to behaviour) • Over 90 ASB dispersals issued (part 3 sec 35 ASB, crime and policing act 2014 dispersal order) and CCTV deployment camera installed. • Litter, dog fouling and graffiti problems on public spaces, parks and private property
<p>This issue is considered to be:</p> <ul style="list-style-type: none"> • Having a detrimental effect on the quality of life in the area • Persistent and Ongoing • Unreasonable • Raising fear of crime • Making the area less welcoming 	

The following conditions are proposed to tackle the issue through a Public Spaces Protection Order:

Enforcement will be carried out by Council Enforcement Staff, PCSO`s, Police Officers.

The below prohibitions and behaviours will be challenged.

Failing to comply with the challenge, for example, an individual asked to hand over a substance (alcohol or legal high), put a dog on the leash, pick up litter, leave the designated area etc, will result in the person committing an offence.

Possible sanctions include:-

- A Fixed Penalty Notice (FPN) – ranging from £75 to £100.
- Written Warning, Acceptable Behaviour Contract or Tenancy Agreement.
- Where FPN is not paid, court proceedings will be initiated (prosecution for the offence of failing to comply with the PSPO).

PROHIBITIONS	REQUIREMENTS	WHEN
In any public place, wearing, or have worn for the purpose of concealing identity, a piece of clothing or item. Exceptions may be made in respect of helmets for safety purposes.	To cover the area known locally as [insert location name] , in particular any open land or premises within the area specified during the consultation as identified on the location map.	To commence with the issue of the PSPO for [insert location name] for a period of 12 months and up to 3 years, with a periodic review
Any activity which may cause damage, defacement or cause harm.	As a condition of the prohibition	For the duration of the Order.

Consuming, being under the influence of or in possession of any substance or associated paraphernalia in a public place i.e alcohol, legal highs, nitrus oxide canisters etc.	As a condition of the prohibition	For the duration of the Order.
Congregating or loitering in a public place that is likely to cause harassment, alarm or distress.	As a condition of the prohibition	For the duration of the Order.
Having any rock, stone or any similar object that could cause damage or harm.	As a condition of the prohibition	For the duration of the Order.
All persons to keep dogs on leads.	As a condition of the prohibition	For the duration of the Order.
Failing to remove dog faeces.	As a condition of the prohibition	For the duration of the Order.
A person is guilty of an offence if he/she throws down, drops or otherwise deposits any litter.	As a condition of the prohibition	For the duration of the Order.
Any motor vehicle that are being used to cause alarm, distress or annoyance to members of the public. Any motorcycle or mini moto ridden on this	As a condition of the prohibition	For the duration of the Order.

land commits an offence of "riding on land other than a road".		
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DRAFT EXAMPLE

REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director, Communities

PORTFOLIO: Economic Development

SUBJECT: Voluntary Sector Funding – Grant Allocation 2015/16

WARD(S): Borough-wide

1.0 PURPOSE OF REPORT

1.1 To report on the Voluntary Sector Grant Funding Awards for 2015/16.

2.0 RECOMMENDED: That the Board approve the grant allocations as outlined in the report.

3.0 SUPPORTING INFORMATION

3.1 In a report to the Executive Board on 3 January 2002 the expectations for voluntary sector funding were established. It was agreed that awards be judged against agreed criteria and actual targets to be negotiated prior to signing a service level agreement. Targets are now linked to both departmental and corporate priorities reflecting a targeted approach to funding.

Applications are assessed and recommendations agreed by a panel consisting of the Executive Board Member with portfolio responsibility for the Voluntary Sector and Officers from the Communities Department.

3.2 Monitoring Arrangements

- 1) All grants must agree a Service Level Agreement and provide quarterly monitoring reports. Grants under £5,000 provide mid-year and end of year reports.
- 2) Review meetings are held with the organisations in receipt of core grant on an annual basis.
- 3) Voluntary sector grant performance monitoring information contributes to corporate assessments.

4.0 APPROVAL OF GRANTS 2015/16

4.1 Voluntary Sector Core Funding Grants

The grants are listed below; the report is in the context of the budget allocation and the panel's assessment. These recommendations are

for an annual allocation for the financial year 2015/16.

The budget available is £227,716

	2015/16
Cheshire Asbestos Victims Support	£8,000
Cheshire Race & Equality Council	£4,000
Halton Citizens Advice Bureaux	£133,000
Halton & St Helens VCA	£40,276
Halton Talking Newspapers	£1,000
Relate	£9,000
Runcorn & Frodsham MENCAP	£5,090
Samaritans	£6,500
Vision Support	£7,850
Widnes & Runcorn Cancer Support Group	£13,000
TOTAL	£227,716

5.0 POLICY IMPLICATIONS

5.1 None at this stage.

6.0 FINANCIAL IMPLICATIONS

6.1 The recommended grants do not exceed the current budget allocations

6.2 The work of the voluntary sector organisations receiving grants impacts greatly on health improvements, social inclusion, and community involvement, anti-poverty and diversity issues.

7.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

The service delivery from organisations receiving core grants in many cases is cross cutting in the context of the Council's strategic priorities. There are significant levels of welfare rights and debt handling support provided which impacts on anti-poverty issues for the Borough.

7.1 Children & Young People in Halton

The work delivered by Relate in preventing family breakdown and offering counselling to teenagers has a direct impact on those children and young people in the Borough.

The Samaritans is open to all age ranges and does receive calls from young people in the Borough looking for support.

Widnes & Runcorn Cancer support group offer support to all members of families affected by the disease, encompassing young members of families.

Mencap runs a weekly youth group for young people with extra needs.

Halton CAB provides advice to Sure Start families.

Cheshire, Halton and Warrington Race and Equality Centre, in partnership with Manchester Metropolitan university has undertaken a three year research project - Schools Stand Up 2 Racism to research racism and its effects in Cheshire, Halton and Warrington secondary schools.

7.2 **Employment, Learning & Skills in Halton**

The voluntary sector organisations have a significant reliance on volunteer time to deliver services. The organisations provide training opportunities for volunteers to enable the delivery of service and improve their skills and employability.

The CAB in particular has experienced local volunteers gaining local employment as result of the training and experience.

Halton and St Helens VCA supports volunteers to gain work experience, train and get qualifications and develop new skills which enable them to explore new career paths.

Relate offers placements for students on counselling degrees.

7.3 **A Healthy Halton**

Widnes & Runcorn Cancer support have a major impact on the health and well being of our residents diagnosed and in remission from cancer through the support, advocacy and therapies they are able to offer.

Cheshire Asbestos works with sufferers and their families to support them through the illness, offering welfare support and recreational breaks for the sufferers and their families.

Vision support provides a resource centre for visually impaired and offers home visits and welfare rights support.

Halton Talking Newspaper service enables their clients to receive news on current affairs and community activities on a weekly basis including GP/Pharmacy opening times.

7.4 A Safer Halton

Cheshire, Halton & Warrington Race & Equality Centre work with minority groups in the Borough to contribute to a cohesive and integrated community in Halton. They offer support to individuals experiencing discrimination and will support in challenging discriminatory practice and will help people through tribunal processes.

Mencap provides a community meeting point for disabled members in Halton offering a safe environment for their clients to engage in community activity and participate in skill development and recreational activity.

7.5 Halton's Urban Renewal

None identified.

8.0 RISK ANALYSIS

8.1 The Quality Assurance Team will monitor the grants and ensure the Council and Halton residents receive value for money.

9.0 EQUALITY & DIVERSITY ISSUES

9.1 To receive a grant, organisations have to demonstrate that acceptable equality and diversity policies are in place.

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

10.1 None under the meaning of the Act.

REPORT TO:	Executive Board
DATE:	26 th March 2015
REPORTING OFFICER:	Strategic Director – Policy & Resources
PORTFOLIO:	Resources
SUBJECT:	Review of Council wide Fees and Charges
WARDS:	Boroughwide

1.0 PURPOSE OF THE REPORT

1.1 In conjunction with the annual budget review, it is proposed to increase the fees and charges for services in accordance with the schedules shown in the Appendix. This report presents the proposed fees and charges for 2015/16 for services provided by all three of the Council's Directorates.

2.0 RECOMMENDATION: That the proposed fees and charges for 2015/16 as set out in Appendices A and B, be approved.

3.0 SUPPORTING INFORMATION

3.1 The review of fees and charges has been carried out as part of the budget preparations for 2015/16. Generally fees and charges have been set to ensure the Council recovers costs incurred as a result of providing the service the fee is payable for. It is proposed that existing fees and charges be increased generally in line with inflation; others have been reviewed with consideration given to the impact of the price change.

3.2 The Board is reminded that there is a cross-Policy and Performance Board Topic Group currently undertaking a further, more detailed review, of fees and charges. Their work is likely to influence the setting of fees and charges primarily for the 2016/17 budget.

3.3 For consistency, all fees which are subject to VAT are shown as exclusive of VAT.

3.4 As part of the in-year budget monitoring process, actual income from fees and charges will be regularly reviewed against budgeted income.

3.5 Fees and charges covering 2015/16 for the Community & Environment Department were approved by Executive Board on 26th February 2015. These included fees and charges for The Brindley covering financial year 2016/17, which have been included at Appendix B to the report.

3.6 The schedule in Appendix A includes a number of statutory fees which may increase during the coming financial year and therefore the relevant fees will be increased accordingly.

POLICY IMPLICATIONS

- 4.1 The effects of the proposed changes in charges have been incorporated into budgets for 2015/16. Charges are adjusted annually in accordance with the current inflation rate.

4.0 OTHER IMPLICATIONS

- 5.1 There are no other implications.

5.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 Children and Young People in Halton

There are no implications for this priority.

6.2 Employment, Learning and Skills in Halton

There are no implications for this priority.

6.3 A Healthy Halton

There are no implications for this priority.

6.4 A Safer Halton

There are no implications for this priority.

6.5 Halton's Urban Renewal

There are no implications for this priority.

6.0 RISK ANALYSIS

- 7.1 There is a requirement for the fees to be paid and in order to avoid the risk of them not being paid; the fees should be received before the service is provided.
- 7.2 The Council's budget assumes an increase in fees and charges income in line with those proposed in the Appendix. If increases are not approved it may lead to a shortfall in budgeted income targets.

7.0 EQUALITY AND DIVERSITY ISSUES

- 8.1 There are no Equality and Diversity implications arising as a result of the proposed action.

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

- 9.1 There are no background papers under the meaning of the Act.

APPENDIX A

ENVIRONMENTAL INFORMATION

	2014/15	2015/16
Charges will apply subject to and in compliance with current statutory regulations		
The basis for charging is:		
Where the information already exists in the format requested:		
Admin Charge - Charge inclusive of copying of first sheet.	10.50	10.50
A4 –per subsequent sheet.	0.50	0.50
A3 - per subsequent sheet	0.75	0.75
A2 –per subsequent sheet	1.50	1.50
A1 - per subsequent sheet	6.00	6.00
Provision of Electronic Documents	15.00	15.00
Where assistance is required from Council staff to either extract interpret, or describe material, the staff time is charged at an hourly rate given below. Minimum Charge of 30 minutes is applied.		
Manager	110.00	110.00
Professional Staff	93.00	93.00
Admin. Support	56.00	56.00
Typing Fees	51.00	51.00
Postage	At Cost plus 15%	At Cost plus 15%
Provision of Electric Documents	15.00	15.00

REQUESTS FOR INFORMATION REGARDING POTENTIALLY CONTAMINATED LAND

Land contamination reports for a given property or site is issued detailing all information held by HBC relating to known or potential contamination including historical, land use, landfill locations and details of site investigations and remediation contamination. The charge varies depending on the size of the site for which information is requested:-

For premises equivalent to less than 10 hectares in size, (e.g. a Single Domestic Property or a Small Factory Unit)

(i) The premises site only	67.00	70.00
(ii) Any search of the premises site and the land within 250 metres of the site boundaries	108.00	110.00
(iii) Any search of the premises site and the land within 500 metres of the site boundaries	180.00	185.00
(iv) Any search of the premises site and the land within 1000 metres of the site boundaries	240.00	250.00

For premises equivalent to more than 10 hectares in size, (e.g. a Housing estate or a large factory unit)

(i) The premises site only	108.00	110.00
(ii) Any search of the premises site and the land within 250 metres of the site boundaries	180.00	185.00
(iii) Any search of the premises site and the land within 500 metres of the site boundaries	240.00	250.00

LICENCE FEES**HACKNEY CARRIAGE & PRIVATE HIRE CHARGES****2014/15****2015/16****Single Status Driver**

First Grant (max 3 year licence)	181.00	185.00
First Grant - inc DBS (max 3 year licence)	225.00	228.50
Renewal (max 3 year licence)	165.50	169.00
Renewal - inc DBS (max 3 year licence)	209.50	212.50
Replacement Badges	11.25	11.50
Replacement or duplicate paper licence or other document	6.15	6.30
Faxing document (s)	5.60	5.70

Vehicle Licence

Grant and Renewals 1 Year – Hackney Carriage ++ ##	214.00	218.00
Grant and Renewals 1 Year – Private Hire ++ ##	216.00	220.00
Temporary Transfer Fees (Licence issued for a maximum of 2 months)	84.00	85.50
Replacement Vehicle Plate (each)	17.00	17.30
Replacement Bracket (each)	17.00	17.30
Replacement Doors Stickers Private Hire (Pair)	22.50	23.00
Replacement Internal plate	11.25	11.50
Replacement or duplicate paper licence or other document	6.15	6.30
Change to Personalised Number Plate	50.00	51.00
Faxing document (s)	5.60	5.70
Private Hire Operator Licence:	260.00	265.00
Replacement or duplicate paper licence or other document	6.15	6.30
Faxing document (s)	5.60	5.70

LOWERHOUSE LANE DEPOT FEES:

Hackney Carriage & Private Hire		
Hackney Carriage and Private Hire - Vehicle Test Fee	56.00	57.00
Hackney Carriage and Private Hire - Vehicle Re-test Fee	22.00	22.50
Hackney Carriage and Private Hire - Vehicle Test Un-notified		
Cancellation Fee	21.00	21.50

NOTES

Hackney Carriage and Private Hire - ++Includes Taximeter Sealing Fee

Owners of Private Hire Vehicles that are not equipped with meters may apply for the meter charge to be discounted from the annual licence fee ## Unless part of a single transaction involving a simultaneous grant in which case £28.00

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LICENCE FEES (OTHER THAN HACKNEY CARRIAGE AND PRIVATE HIRE CHARGES)		2014/15	2015/16
(1)	Dangerous Wild Animals	66.50	67.80
(2)	Pet Shops	66.50	67.80
(3)	Animal Boarding Establishments	66.50	67.80
(4)	Riding Establishments	66.50	67.80
(5)	Breeding of Dogs	66.50	67.80
(6)	Street Trading		
	First Grant & Renewal	364.00	371.00
	Additional Vehicles (Per Vehicle)	181.00	184.50
	"Static" First Grant	421.00	429.00
	Change of Vehicle	28.00	28.50
	Daily Fee for Temporary Extension of Existing Consent (max 5 days per year)	63.00	64.00
	Daily Fee for Temporary Consent (max 5 days per year)	94.00	96.00
(7)	Hawkers etc. Cheshire County Council Act	219.00	223.00
(8)	House to House Collections	Nil	Nil
(9)	Street Collections	Nil	Nil
(10)	Scrap Metal Dealers		
	180.00	184.00	187.50
(11)	Sex Establishments	1,356.50	1383.50
(12)	Licensing Act 2003	HBC website	HBC website
(13)	Gambling Act 2005	HBC website	HBC website
(14)	Hypnotism	Nil	Nil
(15)	Performing Animals	Nil	Nil

NOTES

The fee charged for items 1, 2, 3, 4, and 5 will be increased by the cost of any fees paid out for specialist reports required before a Licence is granted plus 15%.

Item 11 The expression "Sex Establishment" includes Sex Entertainment Venues, Sex Cinemas and Sex Shops

LOCAL LAND CHARGES (Search Fees)		2014/15	2015/16
	Official Certificate (LLC1)	30.00	30.00
	Form CON29R	80.00	80.00
	Official Search (LLC1 & CON29)	110.00	110.00
	Each additional (LLC1) parcel*	5.00	5.00
	Each additional (CON29) parcel*	80.00	80.00
	CON29O Optional Enquiries (per person, per parcel)	12.00	12.00
	Each Additional Enquiry	26.00	26.00
	Personal Search	No Charge	No Charge

*Parcel of land means land (including a building or part of a building) which is separately occupied or separately rated, in separate ownership. For the purposes of this definition an owner is a person who (in his own right or as a trustee for another person) is entitled to receive the rack rent of land, or, where the land is not a rack rent, would be so entitled if it were so let.

ROAD TRAFFIC REGULATION ACT 1984	2014/15	2015/16
	700.00	750.00 (min charge £1400.00)
Temporary Order at request of a third party - *		
Temporary Order at request of non-commercial organisations – Section 16A plus actual cost of advertising	New charge	100.00
Permanent Order	As agreed with Strategic Director Policy & Resources	At Cost plus 15% Administration Fee
Temporary Closure Notice (incl emergency) at request of a third party	310.00	325.00
Diversionary Notice at request of a third party	260.00	275.00
Note - * Advertisement rates which were previously included have been reduced		
HIGHWAYS ACT 1980		
Applying to the Magistrates Court for an Order to stop up or divert a highway	600.00	600.00
- Permanent closure (Excluding appeal costs) Also applies to closures/diversions under Town & Country Planning Act 1990	Plus Technical & Advertising Costs	Plus Technical & Advertising Costs
Issuing of Scaffolding/Hoarding permit	65.00	65.00
	Plus £20.00 per week or part thereof	Plus £20.00 per week or part thereof
Issuing of Skip Permit – Initial Fee (up to 14 days)	21.00	21.00
Skip Permit – Additional periods (each additional 7 days)	11.00	11.00
Skip found without a licence (plus current permit fee)	60.00	60.00
Removal of unauthorised skip (minimum £185.00 plus £15 per day storage)	At Cost	At Cost
Issuing of permits to erect structures/equipment over or under the highway (Minimum £80)	At Cost	At Cost
Construction of vehicular crossings on footways	As agreed with Strategic Director Policy & Resources	As agreed with Strategic Director Policy & Resources
Section 38 Agreements	9% of works cost. Minimum charge £2,500	9% of works cost. Minimum charge £2,500
NOTE: If construction of road foundation commences before agreement is in place, then an additional fee of £2,500.00 will be payable		
PLUS Legal Agreement fee as detailed below		
(a) Basic Agreement	750.00	750.00
(b) Moderately Complex Agreement	1,250.00	1,250.00
(c) Highly Complex Agreement	2,000.00	2,000.00
NOTE: The Council will determine the appropriate agreement		
Section 278 Agreements	As agreed with Strategic Director Policy & Resources	As agreed with Strategic Director Policy & Resources
Alfresco Dining Areas Licence		
- First Licence	300.00	300.00
- Renewal of Licence	85.00	85.00
'A' Board Licence – Per Annum	51.00	51.00
Shop Displays Licence – Per Annum	100.00	100.00

	2014/15	2015/16
Other Part VIIa e.g. Promotions & Leisure – Commercial Organisations (Applications made within 7 working days of the event will incur an additional administration fee of £100.00)	130.00 Per licence for up to one week, 65.00 per additional week or part thereof	140.00 Per licence for up to one week, 70.00 per additional week or part thereof
Other Part VIIa e.g. Promotions & Leisure – Non-Commercial Organisations	As agreed by Strategic Director - Policy & Resources	As agreed by Strategic Director - Policy & Resources
Minor Highways Works Permits NOTE: The refundable cash bond is the value of the works as determined by the Council	1,500.00 plus refundable cash bond	1,500.00 plus refundable cash bond
Clearance of Accident Debris/Unauthorised obstructions on the Highway	At Cost plus 15% Administration Fee	At Cost plus 15% Administration Fee
Structural checking and technical approval of highways structures	As agreed with Strategic Director Policy & Resources	As agreed with Strategic Director Policy & Resources
Relocation of lighting column at request of third party Commercial Organisations	At Cost plus 15% Administration Fee	At Cost plus 15% Administration Fee
Non-commercial organisations	600.00 contribution towards actual cost	600.00 contribution towards actual cost
HIGHWAY SEARCHES		
Letter and plan showing adopted highway	50.00	50.00
Additional questions	15.00	15.00
SIGNING		
Design and Erection of a Traffic Sign(s) at the request of a third party	As agreed with Strategic Director Policy & Resources	At Cost plus 15% Administration Fee
Initial Assessment of Application for Tourism Signs	100.00	100.00
Provision of H Bar Road Markings	75.00	80.00
Authorisation of Temporary Direction Signs (Normally for Housing Developments and Temporary Events)	120.00	130.00
Provision of Disabled Persons Parking Space (subject to meeting criteria)	No charge	No charge subject to meeting criteria
TRAFFIC SIGNALS		
Supply of Information on Operation of Traffic Signals	170.00	180.00
Switching Off Traffic Signals and Bagging Overhead	375.00	380.00
Bagging over traffic signal head	60.00	60.00
Bagging over pedestrian push button / demand unit	30.00	30.00
Temporary Portable Traffic Signals (Multi Phase) (Administration Fee)	120.00	130.00

2014/15

2015/16

BUILDING ACT 1984 Section 18

Legal Charge for supplying and administering agreements (together with design checking and supervision charges as determined by the Strategic Director- Policy & Resources)	200.00	205.00
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STREET NAMING AND NUMBERING

Up to 2 Dwellings	25.00	30.00
Between 3 and 10 dwellings	110.00	115.00
Schemes Over 10 dwellings	350.00	355.00

ROAD SAFETY

Supply of Accident Data (per road/junction for up to 3 years)	125.00	125.00
Road Safety Courses	As agreed with Strategic Director Policy & Resources	As agreed with Strategic Director Policy & Resources
Junior Road Safety Officers Support to Each School for One Year	80.00	80.00

TRAFFIC DATA

Supply of Automatic Traffic Count Data	110.00	120.00
Carry out Automatic Traffic Count (including provision of data in Excel format)	260.00	270.00

CCTV MAINTENANCE

Management and Monitoring Cameras (per camera per annum) - Up to 2 Cameras	2,000.00	2,000.00
Management and Monitoring Cameras (per camera per annum) – Each Additional	1,000.00	1,000.00
Additional Charge for Monitoring Cameras on Broadband Link or Not Connected to Main Monitoring System (per camera per annum)	1,000.00	1,000.00
Maintenance of Camera (per camera per annum)	1,000.00	1,000.00
Reviewing CCTV Recording (per hour or part thereof)	120.00	120.00
Subject Access to CCTV Images (Statutory Fee) (Release of data to individual)	10.00	10.00
Subject Access to CCTV Images (Statutory Fee) (Release of data to legal representative)	50.00	50.00
Monitoring of deployable camera (up to 10Gb per month)	3,000.00	3,000.00
Installation/Removal of deployable camera (per hour)	100.00	100.00
Download data from deployable camera on site (per hour)	60.00	60.00

CLOSURE OF BUS STOPS FOR ROADWORKS

Closure of Bus Stop for Roadworks (per stop)	154.00	155.00
Commissioning of Temporary Stop (per stop)	154.00	155.00
Bus Stop Closure Notice and Notice to the Public (per stop)	82.00	83.00

Section 50 - Street Works Income (i) New Apparatus:

Administration Fee (non returnable)	150.00	160.00
Capitalised Fee in Lieu of Annual Charges	200.00	210.00
Inspection Charges (maximum of 3)	150.00	150.00

Section 50 - Street Works Income (ii) Existing Apparatus:

Administration Fee (non returnable)	150.00	160.00
Inspection Charges (maximum of 3)	150.00	150.00

Some New Road and Street Works Charges are Statutory Fees (as indicated above) and are subject to change during 2015/16

Health & Safety Advice to Schools and Academies	2014/15	2015/16
Local Authority Controlled Schools:		
Nursery Schools	320.00	325.00
Primary and Special Needs Schools	640.00	650.00
Secondary Schools	870.00	880.00
All Through Schools	1,560.00	1,580.00
Academies		
Primary and Special Needs Schools	1,100.00	1,200.00
Secondary Schools	1,400.00	1,500.00
All Through Schools	2,100.00	2,200.00
Academy Trusts	New charge	As agreed with Strategic Director Policy & Resources
Miscellaneous		
Supply Photocopy of the Following:		
Building Regulation Approval or Completion Certificate and planning decision notice (max 4 pages)	25.00	27.00
Any Other Chargeable Documents	35.00	37.00
Assistance from Council Staff to Extract, Interpret or Describe this Material	25.00	27.00
A4 Aerial Photograph	As A4 Doc	As A4 Doc
Copy of tree preservation order	As A4 Doc	As A4 Doc
Copy of Consultant Report	65.00	67.00
Copy of larger format plans	11.00	13.00
Map Production:		
Admin Charge - inclusive of copying of first sheet.	10.50	12.50
A4 –per subsequent sheet.	0.50	0.55
A3 - per subsequent sheet	0.75	0.80
A2 –per subsequent sheet	1.50	1.55
A1 - per subsequent sheet	6.00	6.50
A0 - per subsequent sheet	10.00	10.50
Price per Copy (Colour)		
A4 –per subsequent sheet.	1.00	1.50
A3 - per subsequent sheet	1.50	2.00
A2 –per subsequent sheet	3.00	3.50
A1 - per subsequent sheet	12.00	12.50
A0 - per subsequent sheet	20.00	20.50
Price Per Disc - CD-R	50.00	55.00
Price Per Disc – DVD-R	60.00	65.00
Assistance from Council Staff to Extract, Interpret or Describe Material	94.00	95.00
Flat Rate to be Added for Access to OS Data	13.00	15.00
Weekly List of Planning Applications to Non-Public Authority Applicants for One Year	300.00	350.00
Provision of Non-Statutory Info. – Per Question (Estate Agents etc.)	35.00	40.00
Provision of Non-Statutory Info. – Per Question Reporting Conditions Compliance	60.00	65.00
Section 106, Town & Country Planning Act 1990:		
Charges to Developers for Preparation of Agreements Under Above Legislation Relating to Adoption of Open Space, Together with Supervision		
Legal & Supervision Costs	Appropriate fee agreed As agreed with Strategic Director Policy & Resources	Appropriate fee agreed As agreed with Strategic Director Policy & Resources
Other Section 106 Agreements		

BUILDING CONTROL**Schedule 1 – Plan Charge: New Dwellings 2015/16**

Number of House Types (Design)		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Number of Dwellings	1	240																	
	2	246	336																
	3	252	342	432															
	4	258	348	438	528														
	5	264	354	444	534	624													
	6	270	360	450	540	630	720												
	7	276	366	456	546	636	726	816											
	8	282	372	462	552	642	732	822	912										
	9	288	378	468	558	648	738	828	918	1008									
	10	294	384	474	564	654	744	834	924	1014	1104								
	11	300	390	480	570	660	750	840	930	1020	1100	1200							
	12	306	396	486	576	666	756	846	936	1026	1116	1206	1296						
	13	312	402	492	582	672	762	852	942	1032	1122	1212	1302	1392					
	14	318	408	498	588	678	768	858	948	1038	1128	1218	1308	1398	1488				
	15	324	414	504	594	684	774	864	954	1044	1134	1224	1314	1404	1494	1584			
	16	330	420	510	600	690	780	870	960	1050	1140	1230	1320	1410	1500	1590	1680		
	17	336	426	516	606	696	786	876	966	1056	1146	1236	1326	1416	1506	1596	1686	1776	
	18	342	432	522	612	702	792	882	972	1062	1152	1242	1332	1422	1512	1602	1692	1782	1872
	19	348	438	528	618	708	798	888	978	1068	1158	1248	1338	1428	1518	1608	1698	1788	1878
	20	354	444	534	624	714	804	894	984	1074	1164	1254	1344	1434	1524	1614	1704	1794	1884

Additional dwellings 21 and over – an additional charge of £6 per dwelling is applicable

Schedule 1 – Site Inspection Charge: New Dwellings

No. of Dwellings	Detached Dwelling Houses		Semi-Detached Dwelling Houses		Terraced/Town Houses or Flats	
	2014/15	2015/16	2014/15	2015/16	2014/15	2015/16
1	390	390	-	-	-	-
2	648	648	540	540	-	-
3	888	888	-	-	750	750
4	1110	1110	906	906	904	904
5	1314	1314	-	-	1040	1040
6	1500	1500	1236	1236	1158	1158
7	1668	1668	-	-	1258	1258
8	1818	1818	1530	1530	1358	1358
9	1950	1950	-	-	1458	1458
10	2064	2064	1788	1788	1558	1558
11	2178	2178	-	-	1658	1658
12	2292	2292	2010	2010	1758	1758
13	2406	2406	-	-	1858	1858
14	2520	2520	2214	2214	1958	1958
15	2634	2634	-	-	2058	2058
16	2748	2748	2418	2418	2158	2158
17	2862	2862	-	-	2258	2258
18	2976	2976	2622	2622	2358	2358
19	3090	3090	-	-	2458	2458
20	3204	3204	2826	2826	2558	2558
21 and over	Additional £114 per Dwelling	Additional £114 per Dwelling	Additional £102 per dwelling	Additional £102 per dwelling	Additional £100 per dwelling	Additional £100 per dwelling

Schedule 1 – Building Notice Additional Charge: New Dwellings

No. of Dwellings	2014/15	2015/16
1	130	130
2	174	174
3	204	204
4	234	234
5	264	264
6	294	294
7	324	324
8	354	354
9	384	384
10	414	414
11	444	444
12	474	474
13	504	504
14	534	534
15	564	564
16	594	594
17	624	624
18	654	654
19	684	684
20	714	714
21 and over	Additional £30per dwelling	Additional £30per dwelling

Schedule 2 – Domestic Extensions and Alterations

	Full Plans	Building Notice	Regularisation
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Category:	Plan Charge		Inspection Charge		Charge		Charge	
	2014/15	2015/16	2014/15	2015/16	2014/15	2015/16	2014/15	2015/16
Extensions to Dwellings: To include: Basements, Ground Floor Single Storey, Two Storey and First Floor								
1. Extension less than 10m ²	150	150	125	180	360	375	410	510
2. Extension between 10m ² and 40m ²	150	150	270	300	445	495	584	660
3. Extension between 40m ² and 100m ²	150	150	425	450	600	645	770	810
Loft Conversions:								
4. Loft conversion no dormer	150	150	250	270	450	480	590	630
5. Loft Conversion with dormer	150	150	275	300	475	510	620	660
Detached / Attached Garages								
6. All garages less than 60m ²	150	150	125	180	300	360	410	450
Garage Conversions								
7. Alterations to garage to form a habitable room	100	120	100	120	210	255	302	360
Detached habitable building: Not a single Dwelling								
8. Detached habitable building up to 100m ²	150	150	425	425	600	620	770	780
Other Domestic Work and Alterations								
9. Structural and internal alterations with a commercial value less than £2000	125	150*	N/A	N/A	135	165*	192	225
10. Structural and internal alterations with a commercial value between £2001 and £5000	200	210*	N/A	N/A	210	225*	302	330
11. Structural and internal alterations with a commercial value between £5001 and £10000	125	120	125	135	260	270	362	375
12. Structural and internal alterations with a commercial value between £10001 and £20000	125	135	175	180	310	330	422	450
13. Replacement	80	105*	N/A	N/A	80	105*	96	135

windows/doors up to 10 openings								
14. Replacement windows/doors 11 or more openings	165	210*	N/A	N/A	165	210*	198	270
15. Installation of a heat producing appliance	175	195*	N/A	N/A	175	195*	210	240
16. Underpinning of existing foundations with a commercial value of less than £5000	225	240*	N/A	N/A	225	240*	270	300
17. Underpinning of existing foundations with a commercial value more than £5000	275	300*	N/A	N/A	275	300*	330	360
18. Renovation of a thermal element including existing roof, wall or floor	175	195*	N/A	N/A	175	195*	235	255
19. All electrical work carried out by a person not Part P registered	125	135*	N/A	N/A	125	135*	150	165
20. All electrical work carried out where no acceptable BS7671 test certificate is given	275	330*	N/A	N/A	275	330*	330	405
21. Installation of cavity wall insulation under the Competent Persons Scheme	12.5	15*	N/A	N/A	12.5	15*	15	24

*This charge is the combined Plan and Inspection charges and payable at time of deposit of the application.

Differential Matrix for Residential Work

When a single application involves work to be undertaken at the same time as an extension/loft conversion to the dwelling then a reduction as per below table can be applied to the estimated cost of alteration work:

	Circumstance attracting a reduction	Reduction in Building Control Charge shown in Schedule 2 when that work is being carried out at the same time that any work shown in Category 1 through to 5 in Schedule 2 is being undertaken
1	Installation or replacement of windows and or doors in a dwelling house (under 10 units)	50% of Full Plans/Building Notice Charge dependent on which application is submitted
2	Where the work comes within the scope of Schedule 2 and the estimated cost of the building work is less than £10000	50% of Full Plans/Building Notice Charge dependent on which application is submitted

Schedule 3 - Building Work to Non Domestic Buildings

	Plan Charge	Inspection Charge	Regularisation Charge
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	2014/15	2015/16	2014/15	2015/16	2014/15	2015/16
1. Replacement windows up to 10 openings	110	120			132	150
2. Replacement windows 11 or more	195	225			234	300
3. New/replacement shop front	80	90	150	165	270	315
4. Renovation of a roof, wall or floor with a commercial value of not more than £5,000	200	210			240	300
5. Renovation of a roof, wall or floor with a commercial value of between £5,001 to £10,000	125	120	125	120	300	315
6. Structural and internal alterations with a commercial value of less than £2,000	125	135			175	180
7. Structural and internal alterations with a commercial value of between £2,001 and £5,000	200	210			290	300
8. Structural and internal alterations with a commercial value of between £5,001 and £10,000	125	120	125	120	350	315
9. Structural and internal alterations with a commercial value of between £10,001 and £20,000	125	135	175	180	410	420
10. Any work not described in Items 1 to 9	Charge to be subject to project specific negotiation					

PRE APPLICATION PLANNING FEE SCHEDULE Charges for pre application are applied prior to planning requests being submitted to the Council. Planning application fees are set nationally.

	2014/15	2015/16
Site history requests	30.00	35.00
Advice for officer time regarding trees/listed buildings/conservation areas (per hour)	50.00	55.00
Planning Obligations administration and Management Fee (for monitoring obligations) (Does not include Legal Charge)	500.00	550.00
Discharge of conditions (Per Officer Per Hour)	50.00	55.00
Householder development – Unaccompanied Visit & Formal Response	50.00	55.00
Householder development – Meeting Request	100.00	110.00
Minor Development – Site Visit & Response <ul style="list-style-type: none"> • less than 3 dwellings • all non-residential schemes with a floor space less than 500sqm or sites less than 0.5ha • adverts • change of use of building(s) with a floor space less than 500sqm or sites less than 0.5ha • single wind turbines/telecoms mast with mast height under 17m 	100.00	110.00
Minor Development – Meeting Request	250.00	260.00
Intermediate development – Site Visit & Response <ul style="list-style-type: none"> • 3 to 9 dwellings • All non-residential schemes with a floor space between 500sqm and 1,000sqm or on sites between 0.5ha and 1ha • change of use of building(s) with a floor space between 500sqm and 1,000sqm or sites between 0.5ha and 1ha • other single wind turbines/telecoms mast with mast height over 17m 	200.00	210.00
Intermediate Development – Meeting Request	500.00	510.00
Major Development – Site Visit, Response & Meeting <ul style="list-style-type: none"> • 10 to 49 dwellings • All non-residential schemes with a floor space between 1,000sqm and 2,000sqm or on sites between 1ha and 2ha • change of use of building(s) with a floor space between 1,000sqm and 2,000sqm or sites between 1ha and 2ha • 2 to 9 wind turbines 	750.00	760.00
Significant Development – Site Visit, Response & Meeting <ul style="list-style-type: none"> • More than 50 dwellings • All non-residential schemes with a floor space over 2,000sqm or on sites over 2ha • change of use of building(s) with a floor space over 2,000sqm or sites over 2ha • more than 10 wind turbines • any scheme requiring an Environmental Impact Assessment 	1,000.00	1,100.00
Above meetings include a Planning Officer and a Highways Officer. Charge for additional officers (per hour)	50.00	60.00

ADULT SOCIAL CARE**2014/15****2015/16****Meals in the Community**

Family Placement Breakfast	1.90	1.90
Family Placement Lunch	2.30	2.35
Family Placement Tea	2.15	2.20
Meals - Delivered to People in Their Own Homes	3.30	3.35

Meals - Tea Time Pack Delivered to People in Their Own Homes	2.30	2.35
Meals – Day Centre Users		
Light Breakfast	1.30	1.35
Cooked Breakfast	2.00	2.05
Light Meal	1.85	1.90
Cooked Meal	3.30	3.40
Visitors and Guests		
Accommodation (per night)	11.50	11.75
Breakfast	2.90	2.95
Light Meal	3.75	3.80
Main Meal	5.10	5.15
Maximum Charges for Community Based Care		
Domiciliary Care (per hour)	11.46	11.68
Day Care (per session)	15.50	15.65
Family Placement (per session)	15.50	15.65
Dorset Gardens Support Charge (per week)	10.90	11.10
Handyperson Service (per hour)	5.40	5.50
Key Safe	33.30	33.95
Night Care Service (per week)	26.70	27.20
Transport (per journey)	1.50	1.60
Charges Community Based Services		
Pitch Charges (weekly) - Riverview Gypsy Site - 21 pitches @	54.85	55.95
Pitch Charges (weekly) - Riverview Gypsy Site - 1 pitch @	64.00	65.30
Water & Sewerage (weekly) - Riverview Gypsy Site	11.60	11.60
Pitch Charges (daily) - Travellers Site	12.15	12.40
Charges to Other Local Authorities		
Older People in Residential Intermediate Care (per week)	629.20	641.80
Adults in Supported Accommodation (per week)	545.80	556.70
Day Care - Older People (per session)	44.00	44.90
Day Care - Adults with Learning Disability (per session)	65.30	65.95
Day Care - Adults with Physical/Sensory Disability (per session)	91.50	92.40
Appointee/Receivership Charges		
	100% of Interest earned	100% of Interest earned
For Council to Act as DWP Benefits Appointee		
Securing Property	100.00	105.00
Continuous Monitoring of Property (when property holder is unable - cost per hour)	25.00	26.00
Storage of Wills (annual cost)	20.00	25.00
Property Searches, Meter Readings etc (cost per hour)	25.00	26.00
Appointeeship & Deputyship Service (per week)	5.00	6.00
Duchy of Lancaster Referrals (where people have died intestate)	Actual cost	Actual cost
Applications to the Court of Protection	Actual cost	Actual cost
Funeral Arrangements	250.00	275.00
Same day payment of personal allowances	5.00	5.00
Community Wardens/Lifeline Charges		
	2014/15	2015/16
Single Occupancy – per person charge		
Level 1 Call centre monitoring plus community warden reactive response. (Assessment and support plan, review within the first 6 weeks and then 6 monthly, unless further review is indicated.)	5.80	5.90
Level 2 Call centre monitoring plus reactive callout. Community warden visits up to two weekly, according to	7.00	7.10

assessed need and support planning.
 Level 3 Call centre monitoring plus reactive call out. 9.30 9.45
 Community warden daily visits according to assessed need
 and support planning. Assistive technology is provided
 according to assessed need.

Dual Occupancy – per person charge

Level 1	4.46	4.85
Level 2	5.56	5.65
Level 3	7.72	7.85

Multiple Occupancy (3 people all receiving service) per person charge

Level 1	4.49	4.55
Level 2	5.00	5.10
Level 3	6.47	6.60

Multiple Occupancy (4 people all receiving service) per person charge

Level 1	4.35	4.40
Level 2	4.74	4.80
Level 3	5.82	5.90

FEES PAID TO CARE PROVIDERS & SERVICE USERS**Payments for Direct Payments**

Standard Rate - Personal Assistant (hourly rate)	9.64	9.83
Standard Rate - Agency (hourly rate)	11.36	11.58
Complex Rate - Personal Assistant (hourly rate)	11.71	11.94
Complex Rate - Agency (hourly rate)	11.71	11.94
Sleeping Night	35.00	35.70

Payments for Adult Family Placements

Family Placement (per week)	396.20	404.10
Family Placement (per 6 hour session) 1 person	34.00	34.70
Family Placement (per 3 hour session) 1 person	17.00	17.35
Family Placement (per 6 hour session) 2 people	56.60	57.70
Family Placement (per 3 hour session) 2 people	28.30	28.85
Family Placement (per 6 hour session) 3 people	67.90	69.20
Family Placement (per 3 hour session) 3 people	33.95	34.60
Family Placement (night care per night)	56.60	57.75

OPEN SPACES**Allotments**

Allotment Plot	0.422p m ²	0.430 m ²
New Tenant Admin Fee (includes £20 refundable cost of key)	40.00	41.00

Cemeteries and Crematorium Charges**Purchase of Exclusive Right of Burial (50 year lease):**

Three interments	850.00	867.00
One or two interments	760.00	775.00
Cremated remains grave	450.00	459.00

Interment Fees (Mon to Thurs 10am to 3pm and Fri 10am to 2pm):

	2014/15	2015/16
1 interment - adult	675.00	688.00
2 interments - adult	785.00	800.00
3 interments - adult	890.00	908.00
1 interment – child (1 month-16 years)	300.00	306.00
2 interments – child (1 month-16 years)	330.00	336.00
3 interments - child (1 month-16 years)	410.00	418.00

Stillborn child or child not exceeding 12 months	Nil	Nil
Burial of cremated remains (Mon-Fri)	170.00	173.00
Burial of two cremated caskets at same time (Mon-Fri)	255.00	260.00
Additional fee outside of core times (<i>Monday to Thursday 10.00 a.m. – 3.00 pm, Friday – 10.00 a.m. to 2.00 pm</i>).	120.00	122.00
Saturday morning additional fee (full burials)	+50% of interment fee	+50% of interment fee
Non-resident charge for (a)-(h) above	+ 100%	+ 100%
Indemnity fee	75.00	76.50
Use of Crematorium Chapel for funeral service	100.00	102.00
Transfer of Ownership of Exclusive Right of Burial	75.00	76.50
Civil Funeral Celebrant	195.00	199.00
Grave search – up to 10 names	30.00	31.00
Memorials:		
New Headstone	170.00	173.00
Additional Inscription	35.00	36.00
Vase/tablet/book – not exceeding 12" x 12" x 12"	45.00	46.00
Vase/tablet/book – up to 18" x 12" x 12"	65.00	66.00
Vase/tablet/book – over 18" up to 30" x 12" x 12"	80.00	82.00
Registration of BRAMM registered masons	Nil	Nil
Inscription to Baby Headstone in Baby Garden	60.00	61.00
Memorial Benches (10 year lease)		
5ft hardwood bench, with engraved plaque	710.00	724.00
Renewal of 10 year lease (new bench/plaque)	580.00	592.00
Granite bench – Four Seasons Garden only	1290.00	1316.00
Renewal of 10 year lease (existing bench)	525.00	535.00
Crematorium Charges (Mon to Thurs 9am to 3.30pm and Fri 9am to 2pm):		
Cremation charge – adult	625.00	637.00
Cremation charge – child (1 year-16 years)	300.00	306.00
Cremation charge – child under 1 year	65.00	66.00
Cremation charge – after anatomical examination	335.00	342.00
Saturday morning – additional charge	+ 50%	+ 50%
Scattering of remains (cremation at Widnes Crematorium) – Monday to Friday	55.00	56.00
Scattering of remains (no attendance) when cremation has taken place at another crematorium - Monday to Friday	95.00	97.00
Casket – wooden	65.00	66.00
Aluminium	40.00	41.00
Small wooden (child)	30.00	31.00
Token box	20.00	20.50
Storage of cremated remains after one calendar month from date of cremation	65.00 per month	66.00 per month
Postage of cremated remains (by secure carrier)	By Request	By Request
Certified Extract from the Cremation Register	45.00	46.00
Civil Funeral Celebrant	200.00	204.00
Plaques (10 year lease) - Bronze plaque	240.00	245.00
Renewal for further 10 years	110.00	112.00
Granite plaque on Planter – Four Seasons/ Runcorn Cemetery Sundial	375.00	382.00
Renewal for further 10 years	155.00	158.00
Book of Remembrance -	2014/15	2015/16
2 line entry	91.00	93.00
3 line entry	118.00	120.00
4 line entry	145.00	148.00
5 line entry	172.00	175.00
6 line entry	199.00	203.00
7 line entry	226.00	230.00
8 line entry	253.00	258.00

Flower designs	78.00	80.00
Other designs	88.00	90.00
Extra line to existing entry	45.00	46.00
Slate Tablets per letter	4.00	4.10

Memorial Cards -

2 line entry	37.00	38.00
3 line entry	49.00	50.00
4 line entry	61.00	62.00
5 line entry	73.00	74.00
6 line entry	85.00	87.00
7 line entry	97.00	99.00
8 line entry	109.00	111.00
Flower designs	78.00	80.00
Other designs	88.00	90.00

Sanctum Vaults:

10 year lease	575.00	586.00
Renewal for further 10 years	260.00	265.00
20 year lease	775.00	790.00
Renewal for further 20 years	365.00	372.00
Placing 2nd casket of remains – Monday to Friday only	60.00	61.00
Lettering (per letter)	3.80	3.90
Small design	75.00	76.50
Large design	95.00	97.00
Photo tile (portrait – 1 person)	135.00	138.00
Photo tile (landscape – 2 persons)	175.00	178.50

Outdoor Facility Charges**Summer Games:**

Bowling Green Hire (Alternate weeks)	Free	N/A
Adult Bowling Green Card (Annual)	N/A	25.00
Junior Bowling Green Card (Annual)	N/A	12.50
Summer Rugby Adult	520.00	530.00
Summer Rugby Juniors - #	306.00	312.00

Winter Games:

Adult B/B Pitch Hire (Alternate weeks)	520.00	530.00
Adult Casual Hire	132.00	135.00
Junior B/B Pitch Hire (Alternate weeks)	306.00	312.00
Mini Soccer B/B Hire	229.00	234.00
Junior Casual Hire	66.00	67.00
Adult Baseball Field (Annual)	1570.00	1600.00
Junior Baseball Field (Annual)	785.00	800.00

Environmental Education:**Exhibition Unit Day Hire:**

In-house Service	500.00	510.00
Private Hire	650.00	663.00

Event Equipment Hire (per day)

Pop Up Gazebo (3m x 3m)	160.00	163.00
Walkie Talkies x 10	350.00	357.00
PA (Speakers, Amp, CD Player, Microphone)	425.00	433.00
Bandstand Hire (by written request only)	200.00	204.00
SJB Bridge Zip Wire Hire (1 hire day per year)	1200.00	1224.00

Fair and Circus Park Hire 6000 m2:

	2014/15	2015/16
Non Trading Days (per day)	155.00	158.00
Trading Days (per day)	355.00	362.00

Fair and Circus Park Hire 3000 m2:

Non Trading Days (per day)	105.00	107.00
Trading Days (per day)	260.00	265.00

ENVIRONMENTAL HEALTH SERVICES**Environmental Information****Basis for Charging - where information exists in format requested:**

Admin Charge - inclusive of copying of first sheet.	10.82	11.04
A4 –per subsequent sheet.	0.48	0.49
A3 - per subsequent sheet	0.73	0.74
A2 –per subsequent sheet	1.49	1.52
A1 - per subsequent sheet	6.11	6.23

Basis for Charging - where assistance required from Council staff to extract, interpret, or describe material (hourly rates – minimum half hour):

Manager	112.49	114.74
Professional Staff	94.45	96.34
Admin. Support	56.77	57.91
Typing Fees (hourly rate)	52.00	53.04
Postage	At cost	At cost

Environmental Protection Act

List of authorised part "B" Processes	41.62	41.62
List of authorised part "A" Processes	42.66	42.66
Copy of Application for Authorisation from file (per document)	26.01	26.01
Supply hardcopy air quality review and assessment to commercial undertakings	26.01	26.01
Assistance from Council Staff to extract, Interpret or describe above material	28.09	28.09
One months data from pollution monitoring station	353.74	353.74
Three months data from pollution monitoring station	964.45	964.45
Six months data from pollution monitoring station	1,380.61	1,380.61
Supplying a copy of consultant's report	42.66	42.66

Condemned Food Certificates

Disposal of condemned food following statutory or voluntary process	At cost	At cost
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Certification of Food Products for Export

Certificates requiring signature	60.49	61.70
Other documents requiring stamp	20.00	20.40

Kennelling of Dogs

Reclaiming of Stray Dogs	On application	On Application*
Collection of Dogs from repossessed premises	77.51	77.51
Transportation of non seized animals i.e. dogs/cats to kennels or other premises	77.51	77.51

*As agreed with Strategic Director of Policy and Resources or Director of Public Health

EPA Authorisation

Application	Statutory fee	Statutory fee
Renewal	Statutory fee	Statutory fee

Disclosure of Information (plus photocopying charge 50p per sheet)

	2014/15	2015/16
Information obtained under the Health and Safety at Work Act 1974 etc.	134.24	136.92
Voluntary Disclosure of Information	113.02	115.28

Acupuncture, Tattooing, Ear Piercing and Electrolysis

Establishments

Registration fee	104.00	106.08
Additional Individual Operator Registration	32.90	33.56
Border Agency Accommodation Inspections	72.25	72.25
Return of Seized Sound Equipment (Noise Act 1996)	127.50	127.50
Licence for Houses in Multiple Occupation	301.00	307.02
Petroleum Consolidation Regulations 2014 Certificate and Licensing (NEW for 2015/16)	N/A	Statutory Fee

Pest Control Charges

Commercial Charge for all pests (per hour, minimum 1 hour)	96.29	75.00
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School Charge: currently all schools are charged the commercial rate for all pests, the proposed charges are as follows:

Ants	52.00	53.04
Fleas	52.00	53.04
Wasps	52.00	53.04
Cockroaches	30.00	30.60
Mice	30.00	30.60
Rats	30.00	30.60

Domestic Charges - #:

Ants	52.00	53.04
Fleas	52.00	53.04
Wasps	47.00	47.94
Bedbugs	30.00	30.60
Cockroaches	30.00	30.60
Mice	30.00	30.60
Rats	Free	Free

Note - # - Currently £10.00 refunded if we are unable to treat. The proposal is to introduce a £10.00 call out fee with the remainder of the fee being refunded if we are unable to treat.

Regulatory Enforcement and Sanctions Act

Primary Authority is a statutory scheme, established by the Regulatory Enforcement and Sanctions Act 2008) and was extended by the Enterprise and Regulatory Reform Act 2013 It allows businesses who trade in more than one local authority area to form a legally recognised partnership with a single local authority in relation to regulatory compliance. This local authority is then known as its 'primary authority'. This ensures the business receives consistent advice on compliance wherever they trade. A Primary authority can direct the enforcement activity of regulators to ensure the application of regulation is consistent whilst consumers, workers and the environment are protected. There is provision within the system for Local Authorities to charge for consultancy and advice to Primary Authority Businesses. This charge can only recover the costs reasonably incurred in providing the service. The provision to charge businesses needs to be balanced with the local authority's role to promote economic growth by supporting businesses and providing advice and guidance. This is particularly important for small and medium sized enterprises who may not have access to alternative sources of regulatory advice. Therefore the first 10 hours of advice to all businesses will be free. Additional consultancy to primary authority businesses will be charged at an hourly rate of £54.06.

The first 10 hours of advice in a financial year to all businesses	Free	Free
Hourly rate for additional consultancy to primary authority businesses	53.00	54.06

COMMUNITY CENTRES**Community Groups:**

	2014/15	2015/16
Room Hire – Hall (per hour)	8.05	8.25
Room Hire – Small Room (per hour)	2.90	3.00
Room Hire – Large Room (per hour)	4.55	4.65
Room Hire – Stage (per hour)	2.90	3.00
Room Hire – Kitchen (per hour)	2.30	2.35

Room Hire – Cafeteria (per hour)	4.55	4.65
Private and Commercial Groups:		
Monday to Friday (as per Community Group Charges plus 15%)	Above +15%	Above +15%
Weekends (as per Community Group Charges Plus 50%)	Above +50%	Above +50%
Performing Rights (of total charge)	5%	5%
Sportshall at Upton Community Centre (Adults)	31.00	31.75
Sportshall at Upton Community Centre (Juniors)	25.00	25.50
LEISURE SERVICES		
Halton Leisure Card	4.00	4.00
Swimming		
Adult	3.40	3.50
Junior	1.90	2.00
Halton Leisure Card (HLC)	2.10	2.20
Under 8s admission policy applies	Free	Free
Junior Lessons(10 lessons)	39.50	41.00
Senior Lessons(10 lessons)	41.00	42.50
Aqua Classes	4.90	4.90
Sportshall		
Adult	3.70	3.80
Junior	1.85	1.90
HLC	2.20	2.25
Sportshall Block Bookings		
Half Hall BB Hire	28.00	28.50
Adult admit fee	2.20	2.20
Junior admit fee	1.15	1.15
HLC admit fee	1.35	1.35
Squash (40 min)	3.50	3.60
Junior Squash	1.75	1.80
Casual Gym/Aerobics	4.90	5.00
Junior Fitness	2.45	2.50
Health Suite	6.00	6.00
Creche per hour.	1.60	1.70
Table Tennis	2.50	2.50
Junior Table Tennis	1.25	1.25
Spectator		
Adult	0.50	0.50
Junior	0.25	0.25
HLC	0.25	0.25
Shower	1.00	1.00
Special Events – Kingsway Leisure Centre		
Half Hall Booking	41.00	42.00
Full Hall Booking	82.00	84.00
Gymnasium	32.00	33.00
Creche	25.00	26.00
Swimming Pool	60.00	60.00
Small Pool	45.00	45.00
Studio 1& 2	31.00	32.00
	2014/15	2015/16
Special Events - Runcorn Swimming Pool	50.00	50.00
Special Events - Brookvale Recreation Centre		
Swimming Pool	55.00	55.50
Sportshall Adult	66.50	66.50
Sportshall Junior	38.00	38.00
Half Hall Booking - Adult	35.00	36.00

Half Hall booking - Junior	20.00	21.00
Gymnasium - Adult	30.00	30.50
Gymnasium - Junior	20.00	20.50
Studio	25.50	26.00

ATP

Adult Casual	39.00	39.00
Junior Casual	19.50	19.50
Block Booking – Adult	33.50	34.50
Block Booking – Junior	16.75	17.25
Hockey Match - Adult	48.00	48.00

LIBRARY SERVICES**Loan Charges**

Talking Books (3 weeks)	1.25	1.30
Talking Books - Leisure Card Holders (3 weeks)	0.75	0.80
DVDs Children's collection for 1 week	1.35	1.40
Learning for Life Collection – Non book Items (3 weeks)	1.25	1.30
Learning for Life Collection – Non book Items – Leisure Card Holders	Free	Free

Fines on Overdue Items**Books, Talking Books, CDs, and Learning for Life Collection:**

Adult's Tickets (£2.00 maximum fine) (per day)	0.15	0.15
Children's Tickets	No charge	No charge
Young Person's Tickets	No charge	No charge
Leisure Card Holder (£2.00 maximum fine) (per day)	0.05	0.05
DVDs	0.55	0.55
DVDs – Leisure Card Holders (£8.00 maximum fine) (per day)	0.25	0.25
Additional Administrative Charge for Overdue Reminders	0.30	0.30

Reservation Fees

Items in Stock	Free	Free
Items Bought Into Stock	2.00	2.50
Items Bought Into Stock – Leisure Card Holders	1.25	1.50
Items Obtained From Other Libraries or British Library	8.25	9.00
Items Obtained From Other Libraries or British Library – Leisure Card Holders	5.25	6.00

Personal Computer Bookings

Printing (per page) – Black and White	0.15	0.15
Printing (per page) – Colour	0.25	0.25
Printing (per page) – Black and White – Leisure Card Holders	0.10	0.10
Printing (per page) – Colour – Leisure Card Holders	0.15	0.15

Photocopies

A4 (per sheet)	0.15	0.15
A3 (per sheet)	0.25	0.25

Fax

	2014/15	2015/16
Per Sheet Received	0.50	0.50
To UK – First Sheet	1.00	1.00
To UK – Subsequent Sheets	0.25	0.25
To Europe – First Sheet	2.00	2.00
To Europe – Subsequent Sheets	0.50	0.50
To Outside Europe – First Sheet	3.00	3.00

To Outside Europe – Subsequent Sheets	1.00	1.00
Lost Tickets		
Adults	1.60	1.80
Children and Leisure Card Holders	0.80	0.90
Room Hire		
Community Groups – Meeting Room 2 (per hour)	9.00	9.50
Community Groups – Meeting Room 3 (per hour)	9.00	9.50
Community Groups – Meeting Room 2 & 3 (per hour)	17.75	18.00
Community Groups – Meeting Room 4 (per hour)	4.50	5.00
Community Groups – Meeting Room 5 – ICT Suite (per hour)	9.00	9.50
Community Groups – Meeting Room 6 (per hour)	7.00	7.50
Community Groups – Meeting Room 7 (per hour)	5.50	6.00
Community Groups - Meeting Room - Runcorn (per hour)	6.75	7.00
Standard Rate Meeting Room 2 (per hour)	9.00	11.00
Standard Rate Meeting Room 3 (per hour)	9.00	11.00
Standard Rate Meeting Room 2 & 3 (per hour)	17.75	22.00
Standard Rate Meeting Room 4 (per hour)	4.50	6.00
Standard Rate Meeting Room 5 – ICT Suite (per hour)	9.00	11.00
Standard Rate Meeting Room 6 (per hour)	7.00	9.00
Standard Rate Meeting Room 7 (per hour)	5.50	7.00
Standard Rate Meeting Room - Runcorn (per hour)	6.75	9.00
Kingsway Learning Centre		
Meeting Room 13 Community Rate	13.00	13.50
Other Meeting Rooms Community Rate	7.00	7.50
Meeting Room 13 Council Standard Rate	16.00	16.50
Other Meeting Rooms Council Standard Rate	8.50	9.00
Block Bookings Discount (10 or more)	10%	10%
Training Kitchen / Laptops (per session)	3.00	
Private Groups (in addition to above charges)	+ 25%	+ 25%
Commercial Groups (in addition to above charges)	+ 50%	+ 50%
WASTE MANAGEMENT		
Charge for a new or replacement wheeled bin	26.00	26.50
Charge for the collection of bulky household items	21.00 - #	21.50 - #
Charges for the collection of commercial waste	Variable charges dependent upon size of containers and frequency of collection	Increase of 2% on 2014/15 charges
Note - # - (For up to 3 items - Additional items at £5.60. A maximum of 10 items per collection)		
STADIUM		
Room Hire		
Bridge Suite	400.00	410.00
Karalius Suite	200.00	205.00
Single Box	50.00	55.00
Double Box	120.00	125.00
Triple Box	180.00	180.00
Pitch Hire		
7-Aside - Peak	70.00	75.00
7-Aside - Off Peak	50.00	55.00
5-Aside - Peak	40.00	45.00
5-Aside - Off Peak	35.00	40.00
CRMZ YOUTH CENTRE		
	2014/15	2015/16
Room Hire – Art Studio (per hour)	10.00	10.00
Room Hire – Art Studio (half day)	25.00	25.00
Room Hire – Art Studio (full day)	40.00	40.00
Room Hire – Chill Out Room (per hour)	10.00	10.00
Room Hire – Chill Out Room (half day)	25.00	25.00
Room Hire – Chill Out Room (full day)	40.00	40.00

Room Hire – IT Suite (per hour)	10.00	10.00
Room Hire – IT Suite (half day)	25.00	25.00
Room Hire – IT Suite (full day)	40.00	40.00
Room Hire – Common Room (per hour)	15.00	15.00
Room Hire – Common Room (half day)	35.00	35.00
Room Hire – Common Room (full day)	60.00	60.00
Room Hire – Kitchen (per hour)	15.00	15.00
Room Hire – Kitchen (half day)	35.00	35.00
Room Hire – Kitchen (full day)	60.00	60.00
Room Hire – Main Hall (per hour)	20.00	20.00
Room Hire – Main Hall (half day)	50.00	50.00
Room Hire – Main Hall (full day)	90.00	90.00
Room Hire – Recording Studio (per hour)	15.00	15.00
Room Hire – Recording Studio (half day)	35.00	35.00
Room Hire – Recording Studio (full day)	60.00	60.00
Room Hire – Media Room (per hour)	10.00	10.00
Room Hire – Media Room (half day)	25.00	25.00
Room Hire – Media Room (full day)	40.00	40.00
Room Hire – Medical Suite (per hour)	10.00	10.00
Room Hire – Medical Suite (half day)	25.00	25.00
Room Hire – Medical Suite (full day)	40.00	40.00
Room Hire – Meeting Room (per hour)	10.00	10.00
Room Hire – Meeting Room (half day)	25.00	25.00
Room Hire – Meeting Room (full day)	40.00	40.00
Room Hire – New Build Reception (per hour)	10.00	10.00
Room Hire – New Build Reception (half day)	25.00	25.00
Room Hire – New Build Reception (full day)	40.00	40.00
Room Hire – Sensory Room (per hour)	10.00	10.00
Room Hire – Sensory Room (half day)	25.00	25.00
Room Hire – Sensory Room (full day)	40.00	40.00

PROPERTY SERVICES

Industrial Estate Service Charges	Based on actual costs for the preceding year with uplift for inflation	Based on actual costs for the preceding year with uplift for inflation
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ADULT LEARNING CLASSES

Maths	Free	-
English	Free	-
HEP Employability Skills	Free	-
Employability Skills	Free	-
Family Learning	Free	-
Children's Centre Courses	Free	-
5 Week Courses	£30	-
11 Week Courses	£60	-
12-22 Week Courses	£60	-
23-33 Week Courses	£60	-
Registration Fee for Accredited Courses (payable in addition to course fee)	£20	-

Note – Above Fees are based on academic year, charges for 2015/16 will be set July/August 2015

Note – There is fee remission entitlement of various percentages for those on benefit and tax credits

APPENDIX B

THE BRINDLEY (2015/16 & 2016/17)

2015/16

2016/17

The Theatre

Commercial Hirers (1 performance or up to 8 hours):

Monday to Thursday	1,150.00	1,173.00
Friday and Saturday	1,260.00	1,285.00
Sunday and Bank Holidays	1,380.00	1,407.00

Community Hirers (1 performance or up to 8 hours):

Monday to Thursday	725.00	740.00
Friday and Saturday	820.00	836.00
Sunday and Bank Holidays	930.00	948.00
Rehearsal Performance per 4 Hours (Monday to Thursday)	315.00	321.00
Rehearsal Performance per 4 Hours (Friday and Saturday)	370.00	377.00
Rehearsal Performance per 4 Hours (Sunday and Bank Holidays)	420.00	428.00

Halton Community Hirers

Monday to Thursday	675.00	688.00
Friday and Saturday	750.00	765.00
Sunday and Bank Holidays	850.00	867.00
Rehearsal Performance per 4 Hours (Monday to Thursday)	280.00	285.00
Rehearsal Performance per 4 Hours (Friday and Saturday)	330.00	336.00
Rehearsal Performance per 4 Hours (Sunday and Bank Holidays)	425.00	434.00

The Studio**Per 8 hour performance with technical support:**

Monday to Thursday	365.00	372.00
Friday and Saturday	425.00	433.00
Sunday and Bank Holidays	490.00	500.00

Per 4 hour rehearsal with technical support:

Monday to Thursday	210.00	214.00
Friday and Saturday	240.00	244.00
Sunday and Bank Holidays	270.00	275.00

Per 2 hour hire without technical support:

Monday to Thursday	70.00	71.50
Friday and Saturday	95.00	97.00
Sunday and Bank Holidays	130.00	133.00

Per 4 hours dressing room facility:

Monday to Thursday	130.00	133.00
Friday and Saturday	185.00	189.00
Sunday and Bank Holidays	245.00	250.00

Per 8 hours dressing room facility:

Monday to Thursday	260.00	265.00
Friday and Saturday	360.00	367.00
Sunday and Bank Holidays	480.00	490.00

Per 12 hour dressing room facility:

Monday to Thursday	360.00	367.00
Friday and Saturday	420.00	428.00
Sunday and Bank Holidays	490.00	500.00

Additional Charges

	2015/16	2016/17
Inclusion within the Brindley season Brochure	125.00	127.00
Inclusion in the Brindley's Monthly Newspaper	60.00	61.00
Brindley to manage ticket sales (per ticket)	0.40	0.40
Programme/Merchandise sales by hire company	10%	10%
Programme/Merchandise sales by Brindley staff	20%	20%

	10% of total order value	10% of total order value
Admin charge for orders made on behalf of hirer		
Additional technicians (per hour)	15.00	15.00
Pre rig (sound, lighting or stage) (Monday to Friday)	325.00	331.00
Pre rig (sound, lighting or stage) (Saturday, Sunday or Bank Holidays)	370.00	377.00
Use of the orchestra pit	140.00	142.00
Smoke Machine (day)	20.00	20.50
Smoke Machine (week)	40.00	41.00
Haze Machine (day)	20.00	20.50
Haze Machine (week)	40.00	41.00
Radio Mics (each)	28.00	28.50
Radio Mics (weekly)	84.00	86.00
1400 Lumen Projector – Studio (day)	105.00	107.00
1400 Lumen Projector – Studio (week)	335.00	340.00
Film Screen – Studio (day)	22.00	22.50
Film Screen – Studio (week)	65.00	66.00
Cinema projector & Screen	170.00	173.00
Media Package – projector, dvd, cd & laptop (day)	50.00	51.00
Media Package – projector, dvd, cd & laptop (week)	150.00	150.00
Harlequin Dance Floor (day)	65.00	66.00
Harlequin Dance Floor (week)	200.00	204.00
Steinway Grand Piano – (Theatre only) (day)	110.00	112.00
Steinway Grand Piano – (Theatre only) (week)	330.00	336.00
Steinway Grand Piano tune (Theatre only) Monday to Friday	110.00	112.00
Steinway Grand Piano tune (Theatre only) Saturday and Sunday	140.00	142.00
Additional Front of House Stewards (per hour)	15.00	15.00
Post show bar (waived if bar sales over £150)	50.00	51.00
Catering	on application	on application

REPORT TO: Executive Board
DATE: 26 March 2015
REPORTING OFFICER: Strategic Director – Policy and Resources
SUBJECT: Calendar of Meetings – 2015/16
WARDS: Borough wide

1.0 PURPOSE OF THE REPORT

1.1 To approve the Calendar of Meetings for the 2015/2016 Municipal Year attached at Appendix 1 (N.B. light hatched areas indicate weekends and Bank Holidays, dark hatched areas indicate school holidays).

2.0 RECOMMENDATION: That Council be recommended to approve the Calendar of Meetings for the 2015/2016 Municipal Year, attached at Appendix 1.

3.0 SUPPORTING INFORMATION

None.

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 RISK ANALYSIS

Should a Calendar of Meetings not be approved, there will be a delay in publishing meeting dates. This would result in practical difficulties in respect of the necessary arrangements to be made and the planning process regarding agenda/report timetables.

8.0 EQUALITY AND DIVERSITY ISSUES

Once a Calendar of Meetings has been approved the dates will be published, hence assisting public involvement in the democratic process.

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

None under the meaning of the Act.

NB Lightly shaded areas indicate weekends and Bank Holidays; dark shaded areas indicate school holidays.

	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN 2016	FEB	MARCH	APR	MAY
M	4 Early Spring Bank Holiday	1 Children Young People & Families PPB		3 Development Control Committee			2 Dev Control			1 AF – DARESBURY		4	2 Early Spring Bank Holiday
T	5	2 Corporate PPB		4 SEMINAR	1 Corporate PPB		3 Health PPB	1 SEMINAR		2 AF – A, K & R	1	5	3
W	6	3 Business Efficiency	1 AF – B & HL	5	2 Children, Young People & Families PPB		4 Health & W Board	2		3 COUNCIL	2 SPECIAL COUNCIL	6	4
T	7 Parliamentary and Local Elections	4 Executive Board	2 Executive Board SEMINAR	6	3 Executive Board	1 Executive Board	5 Executive Board	3		4 SEMINAR	3	7 Executive Board	5 Local and PCC Elections
F	8 Local Election Count	5	3	7	4	2	6	4	1 New Year's Day	5	4	8	6
S	9	6	4	8	5	3	7	5	2	6	5	9	7
S	10	7	5	9	6	4	8	6	3	7	6	10	8
M	11 Development Control	8 Development Control	6 Development Control	10	7	5 Dev Control Cttee	9	7	4 Children, Young People & Families PPB	8 Dev Control Cttee	7 Dev Control Cttee	11	9 Development Control (prov)
T	12	9 Health PPB	7	11	8 Health PPB	6	10 Safer PPB	8 Dev Control Cttee	5 Corporate PPB	9	8 Health PPB	12 Dev Control Cttee	10
W	13 Health & Wellbeing Board	10	8 Health and Wellbeing Board AF – B, F & HV	12	9 Environment and Urban Renewal PPB	7 SEMINAR	11 Regulatory Committee	9 COUNCIL	6 Employment, Learning, Skills & Community PPB	10 Standards Committee AF – B & HL	9 Health & W Board	13 COUNCIL	11
T	14	11 SEMINAR	9	13	10 SEMINAR	8	12	10 Executive Board	7	11 Executive Board	10 Executive Board	14	12
F	15	12	10	14	11	9	13	11	8	12	11	15	13
S	16	13	11	15	12	10	14	12	9	13	12	16	14
S	17	14	12	16	13	11	15	13	10	14	13	17	15
M	18	15 Employment, Learning, Skills & Comm PPB	13 AF - Daresbury	14	14 Dev Control Cttee	12 Schools Forum	16 Employment, Learning, Skills & Community PPB	14	11 Dev Control Cttee	15	14 Schools Forum	18	16
T	19 Executive Board (Selection Committee)	16 Safer PPB	14	18	15 Safer PPB	13	17	15	12 Health PPB	16	15 Safer PPB	19	17
W	20	17 Regulatory Committee	15 COUNCIL	19	16 Health & W Board Regulatory Committee	14 COUNCIL	18 Business Efficiency Board	16	13 Health & W Board Environment & Urban Renewal PPB	17	16 Regulatory Committee Mayoral Committee	20	18
T	21	18 Executive Board	16	20	17 Executive Board	15 Executive Board	19 Executive Board	17	14 Executive Board SEMINAR	18	17	21	19
F	22 Annual Council	19	17	21	18	16	20	18	15	19	18	22	20 Annual Council (prov)
S	23	20	18	22	19	17	21	19	16	20	19	23	21
S	24	21	19	23	20	18	22	20	17	21	20	24	22
M	25 Spring Bank Holiday	22 AF – G, HB, H & M Schools Forum	20	24	21 Employment, Learning, Skills & Community PPB	19 Children, Young People & Families PPB	23	21	18 Regulatory Committee	22 Children, Young People & Families PPB	21 Employment, Learning Skills and Community PPB	25	23
T	26	23 H C, NN, NS & WH	21	25	22	20 Corporate PPB	24	22	19 Safer PPB	23 Corporate PPB	22	26	24
W	27	24 Environment & Urban Renewal PPB	22	26	23 Business Efficiency Board	21	25 Environment and Urban Renewal PPB	23	20 Schools Forum	24 Business Efficiency Board	23 Environment & Urban Renewal PPB	27	25
T	28	25	23	27	24	22 SEMINAR				25 Executive Board	24 Executive Board	28	26
F	29	26	24	28	25	23	27	25 Christmas Day	21	26	25 GOOD FRIDAY	29	27
S	30	27	25	29	26	24	28	26 Boxing Day	22	27	26	30	28
S	31	28	26	30	27	25	29	27	23	28	27	31	29
M			27	31 Summer Bank Holiday	28		30	28 Bank Holiday	24	25 AF – G, HB, H & M	28 EASTER MONDAY		30 Spring Bank Holiday
T		29	28		29	27		29	26 AF – H C, NN, NS & WH	29	29		31
W		30 AF – A, K & R	29		30	28		30	27 AF – B, F & HV		30		
T			30 (31 Friday)			29 (30 Friday)		31	28 Executive Board (29 Friday)		31		

REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director – Policy and Resources

PORTFOLIO: Resources

SUBJECT: Annual Review of Constitution 2015

1.0 PURPOSE OF REPORT

1.1 The purpose of the report is to seek the approval of the Council to a number of changes to the Constitution.

2.0 RECOMMENDATION: That Council be recommended to approve the changes to the Constitution as set out in Appendix 1.

3.0 BACKGROUND

3.1 The revised version picks up the changes to the Council's working arrangements that have taken place during the year, as well as other changes which are intended to assist the Council to operate more effectively.

3.2 The proposals for change have been considered by the Chief Executive and the Executive Board Member for Resources in accordance with Article 16.02. Apart from the purely technical changes, the proposed amendments that are considered to be of particular significance are listed in Appendix 1 to this report.

4.0 POLICY, FINANCIAL AND OTHER IMPLICATIONS

4.1 The implications of the Anti-Social Behaviour, Crime and Policing Act 2014, the Public Services (Social Value) Act 2012 and the Local Government Transparency Code 2014, have been considered as well as other changes in the law. However, no further amendments, over and above those already outlined, are required at the present time. Any other required changes during the period 2015/16 will be the subject of further reports when dates and details are available.

5.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

5.1 Children and Young People in Halton.

5.2 Employment, Learning and Skills in Halton.

5.3 A Healthy Halton.

5.4 A Safer Halton.

5.5 Halton's Urban Renewal.

The changes proposed are designed to support the continued delivery of the Council's priorities.

6.0 RISK ANALYSIS

6.1 The Council needs to ensure that its Constitution is regularly updated so that it continues to support efficient, transparent and accountable decision-making by the authority.

7.0 EQUALITY AND DIVERSITY ISSUES

7.1 None.

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

None under the meaning of the Act.

Proposed Significant Changes to the Constitution

Procurement Standing Orders

These have been amended to keep up with changes in procedures. Of note are new standing orders for Structuring of Contracts/Contract Extensions, Mandatory Information Questionnaire, Procurement Risk Assessment and Supplier Relationship Review, as well as changes required by the introduction of the Public Services (Social Value) Act 2012. A full set of the Procurement Standing Orders, showing track changes, together with a summary of those changes, is available for inspection.

Finance Standing Orders

Part 9 – INCOME - has been re-worded to provide greater clarity for Officers on income control measures.

Standing Orders Relating to Duties of Proper Officers and Delegation to Officers

New Standing Orders have been added under the following sections to accommodate legislative changes:

- Planning and Transportation
- Licensing, Environmental Health and Consumer Protection
- Matters relating to the Licensing Act 2003

Other updates have been made to reflect the changes to the Management Structure in Children's Services.

Local Government Transparency Code

The introduction of this Code allows members of the press and public who are present during the public part of a meeting, to have the right to film, audio-record, take photos and use social media (such as tweeting and blogging) to report proceedings of meetings. This has been included in Appendix 1 (Citizen's Rights of Access to Information, Meetings etc) and Appendix 6 (How to have your say at a Development Control Committee).

Health and Social Care Act

Pursuant to Section 244 of the Act as amended, the Council is asked to delegate its scrutiny functions under that Act and any Regulations made under it, to the Health Policy and Performance Board.

Anti-Social Behaviour Crime and Policing Act 2014 - Public Spaces Protection Orders

Powers available to the Council under Part 4, Chapter 2 of the Act are subject to a separate report on this agenda. This allows for the setting of penalty levels and discounts for early payment of Fixed Penalty Notices which have been issued for breaches of Public Spaces Protection Orders. This is delegated to the Strategic Director, Communities in consultation with the Portfolio holder for Community Safety.

REPORT TO: Executive Board

DATE: 26 March 2015

REPORTING OFFICER: Strategic Director Policy & Resources

SUBJECT: Directorate Plans 2015 - 2018

WARDS: Borough wide

1. PURPOSE OF THE REPORT

- 1.1. To progress the adoption of Directorate Plans for the period 2015 -18, as a basis for action and performance monitoring.

2. RECOMMENDED: That

- 1) the draft Directorate Plans for the three Directorates be received; and**
- 2) the Chief Executive, in consultation with the Leader, be authorised to make any final amendments and adjustments that may be required.**

3. SUPPORTING INFORMATION

- 3.1 Each Directorate of the Council is required to develop a medium-term Business Plan in parallel with the budget. Such plans will be subject to an annual review and refresh in order that they remain fit for purpose taking into account of any future changes in circumstances, including any future funding announcements that may emerge. Draft Service Objectives and Performance Indicators and targets have been developed by each Department and this information is included within the Appendices to each Directorate Plan. These departmental objectives and measures will form the basis of the quarterly Directorate Overview Performance Reports that will be presented to the Board during 2015 - 18.
- 3.3 Elected Members are engaged in the development of Directorate Plans, primarily through the autumn 2014 cycle of individual Policy and Performance Board meetings. This approach allowed members to enter into a dialogue with Lead Officers concerning key themes for each strategic priority area and the development of specific improvement activities and targets for the coming year.
- 3.4 Following this the draft Directorate Plans, in tandem with the 2015 – 18 draft budget, are presented for to Executive Board for approval,. This will ensure that decisions on Business Planning are linked to resource allocation.

3.5 Information for each of the Directorates is contained within the following appendices:-

Appendix 1 - Children and Enterprise

Appendix 2 - Communities

Appendix 3 - Policy and Resources

3.6 It should be noted that plans can only be finalised once budget decisions have been confirmed and that some target information may need to be reviewed as a result of final outturn data becoming available post March 2015.

4.0 POLICY IMPLICATIONS

4.1 Directorate Plans form a key part of the Council's policy framework and reflect known and anticipated legislative changes.

4.2 Elected Member engagement is consistent with "Best Value Guidance", to consult with the representatives of a wide range of local persons.

5.0 OTHER IMPLICATIONS

5.1 Directorate Plans will identify resource requirements relevant to the plan period.

6.0 IMPLICATIONS FOR THE COUNCIL'S 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 translated into operational activity.

6.2 In accordance with the Council's performance management framework arrangements for the provision of Quarterly Performance Monitoring Reports will continue for 2015 - 18. Individual Priority Based Reports will be provided to relevant PPB's with Executive Board receiving quarterly Directorate Overview Reports.

7.0 RISK ANALYSIS

7.1 The development of a Directorate Plan, will allow the authority to both align its activities to the delivery of organisation and partnership priorities and to provide information to stakeholders as to the work of the Directorate over the coming year.

8.0 EQUALITY AND DIVERSITY ISSUES

8.1 There are no specific.

9.0 REASONS FOR DECISION

9.1 To inform Executive Board on the process undertaken in developing Directorate Plans 2015-18 and establish their approval.

10.0 ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

10.1 Draft versions of all three Directorate Plans were considered by Policy and Performance Boards and approved by the Strategic Directors, before being submitted to Executive Board.

11.0 IMPLEMENTATION DATE

11.1 The Directorate Plans form the basis for action and performance monitoring from April 2015.

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

12.1 There are no relevant background documents to this report.



**Children & Enterprise
Directorate**

BUSINESS PLAN

April 2015 to March 2018

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1.0 Foreword from Strategic Director

The Children & Enterprise Directorate (CED) Business Plan for 2015 to 2018 comes at a time of continuing change. The Directorate has a dual responsibility to both the Council and contributes to the strategic priorities of Halton Children's Trust and the Employment, Learning & Skills multi-agency partnerships. All partners remain committed to these partnerships.

Halton Children's Trust partners are working together to meet the aims and objectives of the Children & Young People's Plan for Halton that has been agreed to direct its work from 2014-17. This commitment to working in partnership is crucial as we look to work through tough economic times, with reducing resources, while maintaining the same high quality level of service for our children and young people and their families in Halton. We have been successful in achieving this so far but we must continually look to improve to achieve the highest levels of performance in the years ahead, particularly as the bar has been raised by the current Ofsted Inspection Frameworks for both our School Improvement service and also the full continuum of Children's Social Care services from early help through to child protection for unannounced inspections. For the latter, we experienced first-hand the scale of the inspection process when Ofsted inspectors arrived for the unannounced four week inspection in November 2014. Work is continuing to ensure we are fully prepared across services for a similar inspection of School Improvement.

We are now attracting large-scale investment from a range of sectors and many employment opportunities for Halton residents have resulted or will develop over the years ahead from these but more work needs to be done increase the number of employment opportunities in Halton and to break the cycle of worklessness in some parts of the Borough.

Despite facing many challenges, I believe that the Directorate is well placed to meet each challenge and continue to work to improve outcomes for our children and young people, as well as their families and businesses in Halton. We are involving our children and families within our work to a greater extent than ever before. This has brought significant changes to groups such as the Halton Children's Trust Board and documents such as the Trust's Participation Strategy will ensure even further engagement and involvement in the years ahead. This is to be welcomed and should be encouraged wherever possible, involving the children and families that we serve in all our work. We will be ensuring that all in the Directorate fully understand this vision and the objectives that we are working together towards achieving during the lifespan of this document.



Gerald Meehan

Strategic Director
Children & Enterprise Directorate



2.0 Introduction

The Children and Enterprise Directorate (CED) plays a key role within the Council structures and in ensuring the Council achieves its objectives. Whilst CED works to the key priorities that appear within Halton's Children & Young People's Plan of Halton Children's Trust and economic development programme, it is a business unit within its own right, requiring leadership and direction provided by this Plan.

Business planning encourages the development of a blueprint for the ongoing performance management of the Directorate and, without it; the preparation needed to manage performance is missing. Without ongoing performance management, the strategies and plans developed through business planning will not be implemented and will fail to impact upon the activities of the Directorate, or on outcomes for service users.

This document is a key business planning document and should be used alongside performance information when developing service and team plans. It aims to:-

- identify the key objectives for the Directorate over the next 12 months;
- improve the quality of the services provided; and
- deliver better outcomes for service users.

The plan is underpinned by the principles and strategic objectives Halton Borough Council has adopted in its Corporate Plan 2011 - 2016. It aims to be a key reference document for elected members, staff in the Directorate and our partner agencies. It provides the rationale and framework for the major areas of the Directorate's activity. It does this by taking account of the national, inter-agency and Council planning and budget priorities and inter-weaves these with what we know - or what our service users and carers tell us - about how services should be developed in order to meet needs and expectations more effectively. The plan needs to be understood in the context of a wide range of other documents. The main strategic documents are:-

- Sustainable Community Strategy for Halton: 2011 – 2026;
- Halton Local Development Framework;
- The Borough Council's Corporate Plan 2011 - 2016;
- Halton Children & Young People's Plan 2014 – 17
- Halton Regeneration Framework 2013 – 28
- Liverpool City Region Growth plan
- Northern Futures Debate

These commit the Borough Council and its partners to achieving explicit and realistic priorities over the coming year. This Business Plan highlights the Children and Enterprise Directorate's elements of those commitments within the context of the Government's overall agenda for local government. The achievement of these continues to depend on partnerships with many other agencies, and members are committed to testing these achievements.

This document does not describe all the day-to-day activities that makes up the Directorate's work, but sets out the overall framework within which that work takes place. It needs to be remembered, however, that it is the everyday assessment of needs and arrangement of services to meet those needs that is the fundamental task of the Directorate. Undertaking this effectively requires the continuing dedication and enthusiasm of staff, together with the Directorate's commitment to recruit, retain and train the staff able to meet the challenges of the future.

EXECUTIVE SUMMARY

Priorities	Integrated Commissioning of services to meet the needs of children, young people and families in Halton	Effectively supporting the child through the Halton Levels of Need Framework when additional needs arise	Improving achievement and opportunities for all through closing the gap for our most vulnerable children and young people
Key Objectives	<ul style="list-style-type: none"> • Ensure Early Years, school and Post-16 provision for children is sufficient and sustainable • Improve outcomes through effective joint commissioning, with emphasis on our most vulnerable children and young people • Improve outcomes for children and young people through integrated and targeted youth support 	<ul style="list-style-type: none"> • Improve outcomes for Children in Care and Care Leavers • Improve outcomes for all children and families through integrated processes to deliver Early Intervention • Recruit and retain Children's Social Care Managers to deliver the necessary level of scrutiny and management oversight to ensure effective care planning 	<ul style="list-style-type: none"> • Improve provision in all inspected settings, with an ambition that all are judged to be good or outstanding. • Improve attainment at all stages for all children and young people • Close the gap in attainment between vulnerable groups and their peers through early identification of need and effective use of the Pupil Premium
Major Activities Undertaken 2014-15	<ul style="list-style-type: none"> • Partnership working to reduce NEET and increase participation post 16 • Implementation of the Alternative Provision Strategy • Capital Investment & Maintenance Programme • Increased range and volume of youth provision. • Launch of commissioning service with Cheshire West. • Launch of Pan-Cheshire Missing from Home Service • Continued success of Inspiring Families initiative and embedding within Early Intervention model. • Launch of Halton Children & Young People's Plan and Participation Strategy. • Development of Local Offer and Children's Trust websites 	<ul style="list-style-type: none"> • Embedding new Halton Children's Trust Levels of Need Framework within working practice. • Developing further Early Intervention resource across the Trust through the new service. • Redesign of Children & Families Department. • Safeguarding Unit – merged management with Cheshire West and Chester. • Inspection of services through Ofsted Single Inspection Framework • Embedding improved coordination and oversight of services around CSE and Missing from Home. • Development and launch of Halton Neglect Strategy 	<ul style="list-style-type: none"> • Development of further Transition activities for children & young people 0-25 • Implementing the Children & Families Act 2014, including SEND, as well as relevant aspects of Care Act 2014. • Closing the Gap, Peer Challenge and Virtual School for Vulnerable Pupils • Develop schools' and settings' understanding of the Ofsted Inspection Framework requirements. • Implementing Pupil Premium Plus for Children in Care. • Implementing the 2014 Primary and Secondary National Curriculum. • Efficiency review of Learning & Achievement Service.
Challenges	<ul style="list-style-type: none"> • Raising the Participation Age • Information, Advice & Guidance • Early Intervention Grant • Capital • Early Years • Provision • Workforce Development • Sustainability 	<ul style="list-style-type: none"> • Changing social care landscape • Ensuring intervention and support at the earliest stage. • Adapting and implementing new ways of working • Ensuring we support children in residential care • Safeguarding 	<ul style="list-style-type: none"> • Ensuring similar influence and involvement with all schools in Halton. • Meeting the requirements of Children & Families Act. • Understanding all factors that need tackling to close the gap

Priorities	Driving Economic prosperity of Halton to the benefit of residents and the workforce
Key Objectives	<ul style="list-style-type: none"> • Strategically manage and maintain the Council's assets in order to provide a sustainable flow of income and capital receipts as well as ensure that they are safe and fit for purpose • Deliver a comprehensive development and investment service • Deliver a comprehensive employment, learning and skills service
Major Activities undertaken 2014-15	<ul style="list-style-type: none"> • LCR Combined Authority Economic Development and Employment Learning and Skills Portfolios • Contributing to the implementation of the LCR's and Halton's European Funding allocation. • Securing external funding for key strategic priorities in Halton • Working with MerseyLink to deliver agreed job, training, supply chain and school engagement outcomes for local people, schools and businesses • Supporting new business start-ups in Halton • Servicing investment enquiries from both inward investors and local companies wishing to expand • Improving engagement with key companies in the Borough • Delivering the Business Improvement Districts Programme 2013 – 2017 • Working with the private sector to develop a retail bid for Runcorn • Delivering ERDF 4.2 Programme or Successor Programme • Delivering the RGF 3 & 4 Liverpool City Region Business Growth Grant Programme for grant between grant between £10,000.00 and £1 million • Delivering LEP 'New Markets Programme' • Delivering the Mersey Gateway Visitor Economy Strategy • Managing the commercial property database and service enquiries for commercial property • Managing and improve the company database and develop a user friendly CRM system • Working with others to maximise the external resources accessed by the Borough Council • Encouraging new apprenticeships and traineeships across the borough • Continuing the office accommodation rationalisation programme that has more the halved the number of Council buildings and accommodation space, saving the council in the region of £4m. • The council has achieved a 12.38% carbon reduction since the 2006/07 baseline year and a 10.61% reduction since 2010/11 as such the reduction target has been met within a 3 year period as opposed to 5. Carbon emissions associated with corporate sites have been reduced by 27.71% • Supporting the new adult learning and skills tutor contracts • Revising the Council's homeworking Policy to take account of major road works which will continue to take place as part of the Mersey Gateway Development • Improving and managing the Council's assets for the benefit of the community to improve service delivery. • Maximising rental income from our Operational estate by actively seeking other public sector partners to share accommodation where feasible in order to reduce expenditure. • Mersey Gateway roadworks, acquisitions/disposals/ demolitions • Supporting business in the town centres through the Town Team and town centre grants • Development agreement Bayer • Venture Fields Barwood • SciTech Daresbury
Challenges	<ul style="list-style-type: none"> • Changes in shopping habits impacting on the vibrancy of town centres • Combined Authority will impact on how funding is allocated for regeneration in Halton • Delivery of outcomes required for Mersey Gateway • Low land values affects investment on key strategic sites • Funding regimes out of sequence, leading to delays in completion of projects • Difficult sites to remediate in Halton require greater remediation • National transfer of assets • Mersey Gateway – in short-term project is likely to cause delays to adjacent sites • Impact of Welfare Reforms – e.g. more people on the Work Programme with mental health problems • Payment by results and more challenging targets in Work Programme • The Government's approach to funding skills development has changed and will continue to do so, placing employers much more in the driving seat of skills and qualifications funding and development.

3.0 Key Messages

3.1 OVERALL DIRECTORATE STRATEGIC DIRECTION

The structure for the Directorate is set out in detail in Section 6 but in summary is split into four departments as follows:

- Children & Family Services
- Children's Organisation & Provision
- Learning & Achievement Services
- Economy, Enterprise and Property

In addition the Children's Safeguarding Unit reports directly to the Strategic Director.

The key messages in terms of outcomes achieved within each objective during the last 12 months are outlined below. Although these have been split by Department, this is to ensure clear accountability is in place for each objective. In order to achieve our objectives as a Directorate, all Departments need to work collectively towards meeting each objective and so responsibility is shared. By working towards each objective, we will be working towards our Directorate vision, which is described in more detail in Section 4.2 but is outlined below:

We believe that to drive economic prosperity we need to increase opportunities for all, including our most vulnerable young people, providing appropriate support if needed from Early Intervention through to Safeguarding, with integrated commissioning of services to deliver improved outcomes through the effective use of available resources.

3.2 MAJOR ACTIVITIES UNDERTAKEN 2014-15

Lead Department	Objectives	Outcome 2014-15
Children & Family Services	<ul style="list-style-type: none"> • Improve outcomes for Children in Care and Care Leavers • Improve outcomes for children and families through embedding integrated processes to deliver Early Intervention. • Recruit and retain Children's Social Care Managers to deliver the necessary level of scrutiny and 	<p><i>Children & Family Department service redesign</i></p> <ul style="list-style-type: none"> • From September 2014, redesigned services are in place for Child In Need and Child in Care services, with fostering and adoption teams within the latter service. • There is an increase in social workers and refocused and additional management capacity with the aim of reducing caseloads and improving outcomes for children. • The principle behind the redesign has been put into practice and this includes the introduction of practice leads in the service, whose primary responsibilities include supervising a small cohort of 5 social workers, and allocating and authorising work, also additional social work posts have been introduced. • The restructure enables a learning culture within children's services to strengthen and will give staff more support, with an emphasis on staff development, this will ultimately lead to a skilled workforce that provides a high quality service to children and their families. • At the same time as the service redesign, the policy resource to the department has been updated, extended to offer further research information and is now accessible as an online facility – www.online-procedures.co.uk/halton/ <p><i>Early Intervention Offer</i></p>

	<p>management oversight to ensure effective care planning</p>	<ul style="list-style-type: none"> • The new offer established three multi-agency integrated co-located teams to co-ordinate and support early intervention. • The next phase is underway, working with partner agencies to identify further staff to join the teams to support our multi-agency, team around the family approach to early intervention. • The Contact And Referrals Team (CART) has been enhanced with the addition of 2 CAF support workers and police resource and is now the one front door for both Early Intervention and Children's Social Care. • Following consultation it was agreed to embed Halton's Inspiring Families approach into the new Early Intervention offer. <p><i>Halton Neglect Strategy</i></p> <ul style="list-style-type: none"> • The Strategy was developed in 2014 and endorsed by Halton Children's Trust and Halton Safeguarding Children's Board. • It is informed by an analysis of the prevalence and patterns of neglect in Halton with a delivery plan to address on a partnership basis the issues identified.
<p>Children's Organisation & Provision</p>	<ul style="list-style-type: none"> • Ensure Early Years, School and Post-16 Provision for children is sufficient and sustainable. • Improve outcomes through effective joint commissioning, with emphasis on our most vulnerable children and young people • Improve outcomes for children and young people through integrated and targeted youth support 	<p><i>Childcare Sufficiency Assessment</i></p> <ul style="list-style-type: none"> • 2014 Childcare Sufficiency Assessment review identified the position in relation to the Early Years and Childcare market at the end of quarter 4 2013 -14. The review included an updated Action Plan. • Key actions are to continue to identify 2 year old free entitlement places for 2013/14 and 2014/15 and to work with 3 and 4 year old free entitlement providers in the Upton Children's Centre reach area to increase provision. <p><i>Post-16</i></p> <ul style="list-style-type: none"> • Development of new specialist post 16 provision through the opening of a new sixth form at Ashley School which specialises in placement for students with Social Communication needs or an Autistic Spectrum Condition(ASC) who are higher functioning but vulnerable. This allows more students to access post-16 facilities within the borough and increase their opportunities for independent living. <p><i>Childminders</i></p> <ul style="list-style-type: none"> • Level 2 Safeguarding Training has been delivered to all Childminders. Satisfactory Childminders have been targeted with support visits and additional training. A programme of Safeguarding and Welfare Audits has been targeted at after school clubs who had a satisfactory grade and is now being rolled out to all settings. <p><i>Raising the Participation Age (RPA)</i></p> <ul style="list-style-type: none"> • Since April 2014 the Raising Participation Age (RPA) Strategy has been launched. Staff have been recruited to support and implement the strategy, which has achieved significant cost savings. <p><i>Teenage Pregnancy</i></p> <ul style="list-style-type: none"> • ONS data for quarter 4 2012, shows Halton's teenage conception rate is at its lowest level ever. Halton had 27 less conceptions, than its statistical neighbour's average and has now seen a 36.1% reduction from the baseline in 1999 and a 48.6% reduction from 2007, when the rate was at its highest.

		<p><i>Customer Care</i></p> <ul style="list-style-type: none"> The Children's Customer Care Manager was relocated to the Children and Enterprise, Policy and Performance Team in April 2014. <p><i>Implementation of the Alternative Provision (AP) Strategy</i></p> <ul style="list-style-type: none"> The AP Strategy is being implemented with Halton's schools. A group of senior leaders review AP cohorts, identifies those not meeting expectations (rates of progress and attendance) and agrees interventions. This group also monitors Children in Care (CIC) in AP as a priority. The process flags poor performing providers to schools. A database is now held of all young people attending AP and a directory of quality assured AP produced.
<p>Learning & Achievement</p>	<ul style="list-style-type: none"> Improve provision in all inspected settings, with an ambition that all are judged to be good or outstanding. Improve attainment at all stages for all children and young people. Close the gap in attainment between vulnerable groups and their peers through early identification of need and effective use of the Pupil Premium. 	<p><i>School Performance Analysis</i></p> <ul style="list-style-type: none"> Following the publication of 2014 test and assessment outcomes a detailed analysis of school performance has been undertaken. Ofsted outcomes are included as part of the data set, as well as feedback from the Early Years Consultant Teachers and school improvement officers. In providing levels of support the categorisation of private and voluntary settings is undertaken by the Early Years Consultant Teachers (EYCTs). This information has enabled officers to benchmark performance of schools' end of key stage attainment and progress against national outcomes Over the last twelve months, the EYCTs have focussed upon child development and have linked the stages of child development to observations. Further training around observation, planning and assessment cycle has up skilled practitioners in planning next steps to meet individual children's needs. A number of schools in Halton have been engaged in an action research project group focused upon closing the attainment gap. Analysis for the cohort of young people that fall within the remit of the Virtual School for Vulnerable Groups has been undertaken. <p><i>0-19 Division</i></p> <ul style="list-style-type: none"> The 0-19 Division was subject to an Efficiency Programme Board Review to ensure that there is sufficient capacity within the school improvement team and within the resource available, to continue to deliver a high quality service for schools and settings. <p><i>Primary and Secondary Curriculums</i></p> <ul style="list-style-type: none"> The new Primary and Secondary Curriculums came into place in September 2014. There is no statutory document to say 'how' to teach the new national curriculum; rather the curriculum sets out the 'what' with a high level of content understanding. As a result it allows greater freedom; how it is implemented will be down to individual schools. The Programmes of Study are generally shorter, setting out the core content, especially in foundation subjects. They are fuller for key stages 1 – 3 Maths and English; this is because they are considered to be especially important. <p><i>Children & Families Act 2014</i></p> <ul style="list-style-type: none"> The key aspects came into force from September 2014, giving greater protection to vulnerable children, better support for children whose parents are separating, a new system to help children with special educational needs and disabilities, and help for parents. As

		<p>part of this the Halton Local Offer of services available to families in Halton was launched in September 2014.</p> <p><i>Revised Ofsted Framework</i></p> <ul style="list-style-type: none"> • A revised Ofsted framework came into effect on the 1st September 2014. This framework includes a new separate judgement for Early Years and Sixth Form provision which may have an influence on the overall effectiveness grading based on the quality of the Early Years or Sixth Form provision. <p><i>Pupil Premium Plus for Children in Care</i></p> <ul style="list-style-type: none"> • In line with new practice guidance the model adopted in Halton is an individual child needs-led model to ensure that each child in care has access to the level of additional funding according to their identified needs. In accordance with the grant conditions set out by the DfE, this fund will be managed by the Virtual School Head and be used to close the attainment gap between children in care and their peers. Schools can request the funding via a high quality and effective Personal Education Plan and the impact of the funding will be reviewed on a termly basis. <p><i>Early Years</i></p> <ul style="list-style-type: none"> • Early Years data for 2014 saw a 9% increase in Good Level of Development (GLD) attainment and the target was exceeded. An analysis of pupil outcomes has revealed that 87 Halton children, representing 6% of the cohort, missed GLD by one area. Analysis shows that much of this was due to not achieving the level required for writing. Intensive training is being delivered to the EY sector and reception teachers. Briefings are being delivered to headteachers to explain the Early Years assessment process and Good level of development in further detail.
<p>Economy, Enterprise and Property</p>	<p>Strategically manage and maintain the Council's assets in order to provide a sustainable flow of income and capital receipts as well as ensure that they are safe and fit for purpose</p>	<p><i>Carbon Management</i></p> <ul style="list-style-type: none"> • The council has achieved a 12.38% carbon reduction since the 2006/07 baseline year and a 10.61% reduction since 2010/11 as such the reduction target has been met within a 3 year period as opposed to 5. Carbon emissions associated with corporate sites have been reduced by 27.71%. <p><i>Asset Management</i></p> <ul style="list-style-type: none"> • The phase 2 works to upgrade facilities at Lowerhouse Lane Depot are now complete and the site is fully operational circa £800K. • We are currently in the process of vacating John Briggs House which will lead to further revenue savings from 2015/16. • The upgrading of the archive storage facilities at Picow Farm Depot are now fully complete and operational. • Further refurbishment works at the Municipal Building have now been completed on floor 6 which will help further improve agile working arrangements. • Completion of the new visitors centre at Runcorn Hill and the sports pavilion at Widnes Rec is anticipated by the end of April 2015. • The proposed New Travellers site in Runcorn is anticipated to start on site in early 2015 with completion by mid-summer 2015 • Works to provide additional parking facilities on the former Moor lane business centre site for the health centre.

- The successful relocation of numerous staff members to further enhance agile working arrangements.
- The successful completion of the schools capital repairs programme consisting of circa 20 individual projects at a total value of £1m
- The successful completion of a number of maintenance projects to corporate buildings.
- The successful delivery of the Repairs and Maintenance SLA to circa 40 schools.
- The successful delivery of the Cleaning SLA to 35 schools
- The successful delivery of the FM and Caretaking Service to corporate sites.
- The successful appointment of the Consultants Arcus under a new 3 year term contract.
- The successful appointment of asbestos consultants on a term contract basis, and the undertaking of circa 140 Asbestos management surveys to both school and corporate sites.
- The successful appointment of new term contractors to undertake roller shutters and intruder alarm servicing.

Land and Property Management

- The Investment Estate continues to perform well with 93% of the Industrial Estate and 94% of the Commercial Estate occupied.
- Arrears - We have a pro-active approach to the collection of income and chasing of arrears in respect of the Investment Estate and the total arrears are currently less than 0.5% of total income.
- Property Services has been working with colleagues in Children's Services to capture and document all third party lettings within Community School sites and over the last 6 months 6 Licence agreements have been completed with a further 8 agreements scheduled for completion during 2015.
- Accommodation Strategy: The office accommodation rationalisation programme has been running for seven years. From 31st January 2015 we will occupy only four buildings, totalling 10,700m². In 2007 we occupied twelve buildings, totalling 21,362m². This has resulted in a saving in the region of £4m.

Agile Working

- During the last financial year a framework for the development of an Agile Working Policy was agreed. A staff survey was then used to inform the next steps and actions required to continue with the implementation of the Council's agile working policy and also support business continuity management issues arising from the construction of the Mersey Gateway.
- The successful relocation of numerous staff members to further enhance agile working arrangements.
- Developing a Managers' Guide which addresses frequently asked questions relating to agile working will be the next stage of implementing the agile working policy.

Norton Priory Museum

- Heritage lottery approval has now been granted for the Monastery to Museum 900 project. Works are now progressing with the design team in order to progress with the project and move towards the procurement stage of the build contract. It is anticipated that work will

commence on site in early March 2015 with completion being due by May 2016. The council played a lead role in bringing forward the Norton Priory new build and refurbishment heritage lottery funded project

3MG

- The A5300 link road was completed in September 2014. Planning Permission was granted for HBC Field on 8 September 2014. A new planning application has been submitted for the latest Rail Sidings scheme and this will be considered by Development Control Committee later this year. The rail scheme is progressing through Network Rail's approval process. Good progress is being made on the proposals for a Biomass Plant and a new bridge which will span Stewards Brook.

SciTech Daresbury

- Complete Techspace development.
- £3.57m EZ Capital Grant awarded, first payment of £1m received by Halton BC.
- £1.1m bid to ERDF for Phase 1b Techspace; bid approved.
- ERDF £1,140,929 for Tech Space Two Enterprise Zone £3,578,217 for Site preparation, land acquisition and site connectivity Totalling - **£4,719,146**

Runcorn Regeneration

- The Council have a Memorandum of Understanding with Neptune. It is recognised that regeneration in Runcorn can only be achieved through a phased development over a number of years. The Council and Neptune will need to explore further; the financing, contamination, highways, public transport and planning issues.

Former Fairfield High School

- Work progressing on site design and marketing of residential plots.

St Michael's Golf Course

- The third Party has re-submitted the waste recovery plan with the issues raised by the Environment Agency (EA) addressed. Next steps, subject to the EAs approval of the plan, are to develop the Waste Permit Application to the EA and Planning submission to HBC.

St Paul's Quarter

- The BE group were appointed to provide commercial advice for a defined area which includes from Moor Lane up to the Police Station on Kingsway. An Investment and delivery plan have been completed.

G-Park (former Bayer site)

- The Development Agreement with Gazeley is almost completed and has been shared with BIS for their scrutiny and approval. Gazeley continue to have monthly marketing meetings with HBC and agents. Discussions are taking place between HBC and Gazeley to agree the process/procedures for funding the site remediation.

		<p><i>Venture Fields (Barwood)</i></p> <ul style="list-style-type: none"> Pure Gym has now opened. A planning application for the Dennis Road frontage is expected shortly. <p><i>East Runcorn</i></p> <ul style="list-style-type: none"> Bridgewater Gardens, the first private sector led development within Castlefields, by Keepmoat Homes, completed and sold their first 29 units of the 86 unit scheme. This scheme is one Keepmoat fast selling developments nationally and has exceeded all sales targets. The high quality and aspirational architectural design secured by the Council, has led Keepmoat to adopt this design corporately as best practice. Construction has been accelerated to meet demand in 2015 and further Council land is being brought forward to ensure housing building momentum is maintained. Total investment secured to date £8m <p><i>Castlefields</i></p> <ul style="list-style-type: none"> £7,310,000 investment secured to deliver a further 57 mix tenure homes across 3 development sites within Castlefields between 2015 – 2018 by Liverpool housing trust and Plus Dane Housing Group. 														
	<p>Deliver a comprehensive development and investment service</p>	<p><i>Halton Business Support Programme</i></p> <ul style="list-style-type: none"> The Halton Business Support Programme, which finishes in September 2015, offers free support to Halton businesses. The scheme is highly successful and continues to engage the Halton business community. The programme has assisted a range of Halton businesses of Micro to Medium size. A key priority will be to seek funding to continue this activity during the course of this business planning period. <table border="1"> <thead> <tr> <th>Measure</th> <th>To date</th> </tr> </thead> <tbody> <tr> <td>Enquires / Contacts</td> <td>252</td> </tr> <tr> <td>Businesses Assisted</td> <td>118</td> </tr> <tr> <td>Jobs Created</td> <td>56</td> </tr> <tr> <td>Jobs Safeguarded</td> <td>14</td> </tr> <tr> <td>Enhanced GVA to date</td> <td>7</td> </tr> <tr> <td>GVA Uplift to date</td> <td>£3,016,554</td> </tr> </tbody> </table> <p><i>Business Growth Fund Grants</i></p> <ul style="list-style-type: none"> Sixteen confirmed projects and a potential £1,296,775 of grant distributed to Halton businesses via the Liverpool City Region Business from the Regional Growth Fund (RGF) Programme. <p><i>European Programme</i></p> <ul style="list-style-type: none"> '5 comprehensive Portfolios have been developed for Halton on the themes of Blue-Green, Business, Inclusive, Innovative, Place and Connectivity, in line with LCR themes/Portfolios. Projects within these Portfolios will be rolled out as the Programme develops. <p><i>Grants secured for Community Projects</i></p> <p>Sankey Canal – Coastal Communities Fund - £653,708 Halton Heritage Partnership – Heritage Lottery Fund - £55,200 Catalyst Science Discovery Centre - £90,000 – Royal Society of Chemistry Connecting Cheshire - £2.12m – BDUK</p>	Measure	To date	Enquires / Contacts	252	Businesses Assisted	118	Jobs Created	56	Jobs Safeguarded	14	Enhanced GVA to date	7	GVA Uplift to date	£3,016,554
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Halton Carers Centre - £419,000 – Big Lottery Fund
 Widnes Rugby League Club - £44,570
 Hale Village Hall - £500,000 in principle support from Big Lottery Fund
 Totalling - **£4,086,742**

- Funding Enquiries Received in 2014 - **100**
- Bid Writing Manual produced for local voluntary sector organisations and for possible income generation if sold further afield. Training was delivered on the Manual and we also ran a successful Funding Fair in October with the theme of Buildings and the Environment. This was attended by Big Lottery Fund, Heritage Lottery Fund and WREN and was aimed at organisations who are in the process of delivering large-scale buildings or environmental schemes.

Town and Local Centres

- Work continues on the 2014 arts programme for the Old Town with the Council's Arts Development Team. A further £25K of funding has been identified for the group to spend on projects this financial year.
- The Council has awarded £86,000 to owners and occupiers of shops in Widnes and Runcorn town centres to support physical and environmental improvements.
- The Council has supported a number of town centre events including: the Runcorn Christmas Festival; World War One anniversary events; Love Your Local Market (LYLM); and Runcorn Street Festival.
- £2,215,000 investment and planning permission secured to deliver 18 affordable homes on difficult Council own site, at Murdishaw local centre. The foundation for joint working between local partners were laid in 2014 as this scheme has the potential to act as a catalyst for further investment and improvement to the neighbourhood over the next few years.

Development of a comprehensive employment, learning and skills service in particular sector specific skills pathways that meet the needs of Halton's growth employment sectors e.g. the Knowledge Economy; Logistics; Construction

Adult and Family Learning

- Self-development / social behaviour (learners and clients)
- Introduced bespoke HEP/Employability courses which lead to local jobs for local people Courses developed in conjunction with employers
- Raised aspirations of adults accessing children's centres
- Creation of sustainable employment eg: childcare
- Attitude of staff towards clients / learners is conducive to a positive outcome
- Open 360 course
- Advisor performance with PG6 (ESA) clients – again related to staff attitude
- Partnership with Wellbeing Enterprise has had a positive impact on our work with adults with issues such as mental health
- Value of 'arts' in supporting regeneration, including self-employment
- 'Creative industries'
- Positive progression opportunities for the most difficult to engage learners/clients
- Continued services and achievement of MPLs despite staff resource being an issue.
- Work programme national accounts are looking into HPIJ to deliver recruitment at local level

Merseylink Timebank

- Merseylink Timebank Round 1 applications – applications for the first round of Merseylink’s Timebank were received and processed in Q2. These included requests for time from HBC Regeneration, the voluntary/community sector and the education sector. An opportunity to bid for remaining ‘days’ was also available in Q3.

Economic Regeneration - The Combined Authority

- The Liverpool City Region Combined Authority was established on 1st April 2014. The membership comprises the six Local Authority areas and the Local Enterprise Partnership. The purpose of the Combined Authority is to bring about closer partnership working to lead large-scale City Region strategies on transport, housing, economic development and skills. A protocol has been developed for each of these themes.
- The Combined Authority aims to build on strong links with businesses, and will also enable access to funding opportunities to support growth across the Liverpool City Region. Discussions are taking place on a joint capital funding approach which aims to streamline the plethora of regeneration funding programmes that operate in the Liverpool City Region.

Apprenticeships

- Corporate Apprenticeship Briefing for HBC managers took place on 13th October 2014 and its aim is to increase the numbers of apprentices currently employed by HBC and provide managers with all the information and advice they need to create an apprenticeship.
- The 2nd LCR Apprenticeship Awards took place at Knowsley Hall on 20th June.

Skills Shows

- Following on from the successful Skills Show Experience held at Aintree Race Course in June 2014 as part of the International Festival of Business (IFB), 2 IFB mini skills shows took place on 24th October 2014 at Langtree Stadium, St Helens and Hugh Baird College on 20th November 2014. These events were for all young people residing in the Liverpool City Region.
- The Skills Show on the Road - the roadshow toured the country during October 2014 and November 2014, getting young people excited about the world of work and letting them discover opportunities that will shape their future.

The International Festival for Business

- The International Festival for Business (IFoB) took place across the Liverpool City Region in June and July 2014 and was marketed as a gathering of the world’s most inspiring businesses. Bringing together cities from throughout the UK for 61 days of events, exhibitions and showcases, IFoB was billed as the largest event of its kind in the UK since the Millennium Fair of 2000 and the Festival of Britain in 1951.

4.0 Factors affecting the Directorate

4.1 CHALLENGES

Below is a summary of the challenges that the Directorate as a whole will face and consider within its work during 2015-16.

Regeneration

- Keeping to timescale on major initiatives – e.g. Mersey Gateway, Widnes Waterfront, town centres, 3MG, Sci Tech Daresbury
- Changes in shopping habits impacting on the vibrancy of town centres
- Combined Authority will result in how funding is allocated for regeneration in Halton
- Low land values affects investment on key strategic sites
- Funding regimes out of sequence, leading to delays in completion of projects
- Difficult sites to remediate in Halton require greater remediation
- Mersey Gateway – in short-term project is likely to cause delay to adjacent sites
- Disposal programme is on track, but the supply of HBC land for sale for development is starting to run out and projected receipts are already accounted for in the capital budgets
- Efficient delivery of the European programme, ensuring Halton's priorities are met within the LCR framework
- Underlying all these challenges is the need to secure external funding where appropriate to ensure delivery of projects.
- Changes to how Construction Design and Management contracts are managed.

Local Enterprise Partnership

- Government has announced the first instalment of "Growth Deals" for the Local Enterprise Partnerships (LEPs) in England. Growth Deals are part of the Government's response to the Heseltine Review which proposed devolving spending from Central.
- The Liverpool City Region received £46m 2015/16 £30.4 per head and £232m or £153.4 per head 2015/21.
- Combined Authority Liverpool City Region Growth Hub- an initial funding package of £550,000 will support the development of a LCR Growth Hub, a virtual organisation providing business support services across the LCR; Given the LEP are seeking to integrate all LCR Local Authorities and Chambers and, potentially, private sector partners there are a number of data sharing and other issues to be resolved before such a system would be acceptable to partners.

Regional

- Involvement in linking of the region's strategic regeneration economic priorities with the EU Commission's aim to align European funding for the period 2014-20
- The Combined Authority will deal with strategic economic development, transport, housing and employment and skills.
- A Combined Authority is regarded as the best model to support economic growth and secure more jobs, in Halton and across the Liverpool City Region. This will help us signal to businesses and Government that we are serious about working together.
- Looking to attract devolved powers and funding from Government

Schools & Academies

- Development of school sixth forms, academies and free schools
- Staff funded through school buyback.
- Attainment gap for young people attending alternative provision
- School funding formula
- Revise special school provision within the Borough for higher functioning pupils with ASC and social communication difficulties
- Provision of SEN expert to support parents of children with SEN around exclusions appeals
- Children & Families Act 2014 implementation.
- New national curriculum
- Inspection of school improvement services and increasing levels of expectation

Employment

- Sourcing of sufficient jobs, including apprenticeships
- Pockets of worklessness
- Growing the number of business start-ups
- Growing competition in labour market
- Reductions in Public Sector presents problems to Halton as an area with high public sector employment
- Impacts of the Welfare Reforms , for example more people on the Work Programme with mental health problems
- Efficiency review ongoing
- Payment by results and more challenging targets in Work Programme

Adult Learning

- Revise training provision to meet payments by results requirements
- Oversupply in wrong areas of provision
- Payment by results on NCS
- Reducing proportions with no qualifications
- Equipping people with the right skills needed by employers

Information, Advice & Guidance for young people

- Reduced and revised provision

Implementing national programmes

- Troubled Families
- SEND Reforms

Provision

- 2, 3 and 4 year olds
- After school for older age range

Participation

- Raising the Participation Age for all.

Early Intervention

- Ensuring right support at the earliest stage.

Early Intervention Grant

- Reduction in funding
- Funding the vulnerable 2 year olds

Sustainability

- Contracting resource base
- Services to young people, including CRMZ, HRMZ, VRMZ

Specialist Assessments

- Managing capacity and timely support within Autism Pathway
- Seamless continuum

Commissioning

- To improve health outcomes for Children
- Commissioning efficiencies with CWAC
- Delivery of commissioning priorities
- Integration of children's, CCG and Public Health commissioners

Capital

- Future levels of capital strategy funds
- Combined funding for all representatives
- Shortfalls in investment and capital
- Post-16 funding

Workforce Development

- Recruitment and retention
- Core competencies
- Social Work Reform agenda
- Single Work Programme
- Meeting People Plan objectives
- Workforce profile
- Capacity

Early Years

- Integrated strategy and provision
- Changes to Early Intervention Grant
- Sufficiency (growth of provision for 2 year olds)

Health

- Improving Child Health
- Integration with Clinical Commissioning Groups, Public Health and liaison with Community Providers

Safeguarding

- Ensuring all fully aware & understand
- Meeting needs at the appropriate level

4.2 DIRECTORATE PRIORITIES 2015-16

The Directorate has continued to successfully improve the services provided for our children and young people. This has been evidenced by externally validated inspections of services, and in a range of performance indicators. To maintain this and continually improve, a set of overarching priorities to be driven by the Directorate's Senior Management Team (SMT) have been agreed to provide direction for this Plan. These take into consideration the national agenda, internal and external factors that are and will affect the Directorate and also the main activities and achievements of the Directorate. These are set within the resource constraints that the Directorate is currently faced with.

Four priorities have been agreed to cover cross-cutting themes that link together the work of the Directorate and the Children's Trust. These are:

- *Integrated Commissioning of services to meet the needs of children, young people and families in Halton*
- *Effectively supporting the child through the Halton Levels of Need Framework when additional needs arise*
- *Improving achievement and opportunities for all through closing the gap for our most vulnerable children and young people*
- *Driving the economic prosperity of Halton to the benefit of residents and the workforce*

These have been combined into an overall vision for the Directorate within the resource constraints:

We believe that to drive economic prosperity we need to increase opportunities for all, including our most vulnerable young people, providing appropriate support if needed from Early Help through to Safeguarding, with integrated commissioning of services to deliver improved outcomes through the effective use of available resources.






























To achieve our objectives, lead officers have been designated, one for each priority, and there will be a strong emphasis on cross-collaboration from across all Departments within the Directorate.

Each work stream will utilise the existing meeting groups within the Directorate and wider partnerships, such as the Children's Trust and Employment, Learning and Skills Partnership.

The focus on these priorities and how we align our services with those of partners in the Children's Trust will be particularly important within the current difficult economic climate that we are facing.

The matrix below depicts the structure of the priorities for the Directorate from 2015/16, with a colour coding system used to show examples of where Business Critical Issues will cut across the four priorities and this cross-collaboration will be utilised in work going forward. These Business Critical Issues closely relate to the service objectives set out in the appendices of this document.

These are the key priorities that we will focus upon as a Directorate in 2015 – 16 in order to ensure improved outcomes for children, young people and families in Halton.

Overarching Themes	<p>Effectively managing our resources to deliver services with a particular focus on:</p> <ul style="list-style-type: none"> Working across departments to meet the requirements of the Ofsted action plan Role of the local authority as corporate parent Child Sexual Exploitation Budget constraints – focus on our most vulnerable and patterns of demand New models of service delivery – Early Intervention, Children & Families Department Welfare Reform Growing Halton's Economy Early Years Provision in Halton Attainment – Early Years (Phonics and Early Years Foundation Stage), Key Stage 4 			
Outcome Focussed Directorate Priorities	Integrated Commissioning of services to meet the needs of children, young people and families in Halton 	Effectively support the child through the Halton Levels of Need Framework when additional needs arise 	Improving achievement and opportunities for all through closing the gap for our most vulnerable children and young people 	Driving the economic prosperity of Halton to the benefit of residents and the workforce 
	 Agree common understanding of commissioning across Directorate, Council and with partners	 Use the Munro Review of Child Protection to ensure excellent standards of practice to improve outcomes for CYP.	 Close the attainment gap between vulnerable groups and their peers by early identification of need through appropriate support.	 Maximising and developing the Borough's existing and future regeneration assets.
	 Support the long-term sustainability & development of key service providers	 Continue to embed common understanding of Early Intervention and Neglect.	 Implement and embed Halton SEND support and the Local Offer.	Maintain HBC assets to provide sustainable flow of income and capital
	 Ensure Early Years, school and post-16 provision is sufficient, sustainable and high quality	 Improving outcomes for all children and young people through safeguarding.	 Provide targeted support to all schools in Halton by tracking pupil progress and attainment and through the use of school to school support.	Interface with the Private Sector and employer facing services & Support Inter-Business Activity
	 Ensure sufficient integrated and targeted support for young people	 Safeguarding – review capacity and caseloads for social workers.		 Business Improvement Districts
	 Develop role as broker or commissioner of services as well as provider	 Prepare our Children in Care and Care Leavers for successful and healthy adulthood.	 Implementing the implications of Raising the Participation Age	 Apprenticeships  Mersey Gateway
	 Work with other partners to ensure we improve outcomes for all, focusing on our most vulnerable.	 Recruit and retain Children's Social Care managers to ensure management oversight and ensure effective care planning		 Contribute to tackling inequalities, such as within Health and Child & Family Poverty
	 Improving Child Health in partnership with Health & Wellbeing Board.		 Welfare Reform and the single Programme	
	 Continue to embed Inspiring Families approach within Early Intervention.		Town Centre Vitality Develop business Charter for Social Responsibility	
			 Low Carbon Economy	
	Priority Lead	A. McIntyre	T. Coffey	A. McIntyre/G. Bennett

Economy, Enterprise and Property Department Business Priorities

A. Maximising and developing the Borough's existing and future regeneration assets.

In the past, Halton has successfully developed a spatial strategy and Master planning approach to supporting the economic regeneration of Halton. Despite being geographically relatively small, the borough contains a number of important sites and strategic regeneration assets within its boundaries. 'Big opportunities' and 'Big Projects' have been used to drive the economic transformation of Halton.

Therefore, Halton Council's economic regeneration team has been responding to recent policy announcements such as the Northern Futures Initiative, and the Adonis and Heseltine Reviews, by setting out the contribution Halton can make to transform the economic future of the North. It is anticipated that further work and lobbying will be required to ensure that Halton's projects and programmes feature prominently in City Region proposals to Government, notably the 'Growth Deals'.

B. Maintain HBC assets in order to provide a sustainable flow of income and capital

- Optimise capital and revenue receipts and deliver projects within the Council's estate.
- Optimise receipts from industrial and commercial property holdings.
- Optimise use of Operational Estate and maximise income through shared occupation.
- Proactive energy management and support to regeneration projects involving Council assets.

Asset Review Panel

It is evident from recent asset acquisitions and disposals that it is important for the Council to examine the need for, and performance of the assets it holds.

To emphasise this point, a significant proportion of the Council's budget is set aside for property related expenditure. Therefore, given the scale of the expenditure there is merit in undertaking a review of the Council's Property Assets and Sites. Such a review would raise corporate awareness of the financial resources invested in property/site assets. It would also help us to prioritise our assets to ensure they are used in the most effective way. It was agreed that the review would benefit from a significant input from Members and, therefore, a Member Assets Review Panel has been established to oversee this work. During the next 12 months the panel will:-

- explore ways of minimising and reducing property/site related costs associated with the delivery of Council services;
- evaluate whether property/site related assets are sufficient and in a condition to help meet corporate/service objectives;
- consider alternative methods of property provision;
- investigate opportunities for sharing assets.

Agile Working

During the last financial year a framework for the development of an Agile Working Policy was agreed. A staff survey was then used to inform the next steps and actions required to continue with the implementation of the Council's agile working policy and also support business continuity management issues arising from the construction of

the Mersey Gateway. Developing a Managers' Guide which addresses frequently asked questions relating to agile working will be the next stage of implementing the agile working policy.

C. Interface with Private Sector and Employer facing Services and Support inter business activity

The Local Government Growth White Paper stated that Government's primary focus has been on rebalancing the economy towards private sector employment. There is an emphasis on rebalancing the economy both sectorally and geographically and a move to 'shift power to local communities and businesses'; 'increase confidence to invest'; and 'tackle barriers to growth'.

A number of new initiatives have been introduced which are designed to encourage private sector enterprise, and create sustainable private sector jobs.

Other measures focus on Innovation and Access to Finance; for example, Technology and Innovation Centre (TICs) aimed at translating research into economic benefit. Equally, Government is investing in the low carbon economy by creating the Green Investment Bank.

Additionally, in January 2011, the Department for Business Innovation and Skills launched the "Bigger, Better, Business – Helping small firms start, grow and prosper" prospectus. This sets out proposals on how Government ensures that business start-ups, and existing small and medium sized businesses can access the information and business advice they need. The 'Get Britain Working' initiative includes support for people who have been out of work for shorter periods and includes support for self-employment, volunteering, work placements and apprenticeships.

Government has centralised the support being provided to businesses and this led to a vacuum being created in respect of the level and quality of support being offered to business in the City Region and as a consequence, Halton.

The six Liverpool city region districts have successfully applied for European Funding to support existing businesses in the area. Halton has been awarded a grant of £350,000 European Regional Development Fund which will be managed by the Council's Economy, Enterprise and Property Department. Coupled with other initiatives being forward with partners in Cheshire, and existing in-house schemes we will see a better service to businesses being provided in 2013/14. The delivery of these schemes is a key priority for the Council.

The Government sees the development of the country's skills base as fundamental to supporting economic growth and improving individual life chances. Funding is being allocated to help low skilled and disadvantaged people and those seeking work.

The Skills for Sustainable Growth Strategy sets out the Government's reform of the further education and skills system.

It is expected that the Liverpool Region City Deal will feature more prominently in the work of the Employment Learning and Skills division in the next financial year – as a Member of the Liverpool City Region Employment and Skills board the City Deal will be the vehicle for creating 10,000 Additional New Jobs Created with SMEs over the next three years through a unified job creation investment fund for Small and Medium Size Businesses; the Deal will also see the establishment of a

Skills for Growth Bank - an employer-owned mutual to simplify skills funding through grants and loans to businesses.

Halton's Local Economic Assessment (LEA) has provided a clear understanding of our local economy.

We have used the LEA to support the development of the Liverpool City Region's growth sectors.

We also promote business networks and inter-trading through a variety of events, sponsored by the Chamber of Commerce including networking, meet the buyer events as well as themed and focused sector events.

However, we need to continue to promote business to business supply chain communication, the aeronautics industry in and around manor park being one example.

D. Business Improvement Districts (BIDs)

BIDs are a partnership between local authorities and local businesses to provide additional services or improvements to a specified area. This is funded in whole or in part by an additional levy to the non-domestic rates. Halton successfully operates two BIDs in the industrial areas of Astmoor and Halebank.

During the next financial year the Council will be working with Runcorn Shopping Centre (Halton Lea) to develop a joint BID with Runcorn Town Centre.

The development of a BIDs application is beneficial because:

- They support the long-term sustainability of town and city centres.
- They enable these centres to approach the management of the trading environment and public space in a proactive and planned way allowing them to gain and retain competitive advantage.
- As budgets are further reduced they can provide a sustainable means of funding for town centre development and build upon success whilst sharing the cost in an equitable way between those parties that benefit.

E. Apprenticeships

The Council can maintain its leadership role in driving the borough's economic regeneration by incorporating actions in the Council's People Plan which contribute to reducing unemployment and raising skills levels of the borough's residents.

There are a number of benefits associated with this. For example, by "growing our own" we can ensure that our workforce has a Halton DNA, reflects the demographic profile of the borough but also injects a renewed vibrancy and energy into our workforce.

F. Mersey Gateway Regeneration Strategy – Realising economic benefits

The Mersey Gateway Project is 'more than just a bridge'. It is expected to act as a catalyst for local and sub-regional economic growth and the Council is committed to work with partners to ensure the economic benefits are maximised.

The Mersey Gateway is a complex project and to understand how it will interface with the impact areas will require an in depth knowledge of the bridge approach routes and of regeneration.

Now that The Mersey Gateway is underway, a co-ordinated role which provides a proactive and targeted regeneration approach is needed to produce the greatest benefits and bring about the cohesive regeneration of the areas adjacent and within the route of the Mersey Gateway line.

Initial priorities will include:

- Building on the Mersey Gateway Regeneration Strategy to produce a baseline study of areas for development;
- Identification of opportunities for development including potential projects;
- Development an Investment and Delivery Plan for Mersey Gateway sites
- Preparing a Portfolio which presents opportunities for Inward Investment

G. Promote greater Digital Connectivity

Connections and Connectivity is a significant strength for the Borough and it has good road, rail and air links which contribute to Halton's economic competitiveness and its growing reputation as a hub for logistics. However, businesses tell us that digital connectivity has a significant impact on their ability to compete.

Develop digital hubs which bring communities and businesses together to use the latest digital communications technology. Work with other Local Authorities to understand and experience best practice available nationally and internationally.

H. Welfare Reform and the Single Programme

Welfare reform is a key priority for Government and will have a major impact on Halton's Employment Learning and Skills and Community agenda. The Single Programme was introduced last year with the underlying principle of 'making work pay', but proposed further reforms will place demand on our services as more people on benefits are encouraged to find work and, therefore, seek training and development to support them.

The Work Programme provides an advice and employability service to long term unemployed people. Those eligible for the Work Programme are mandated to the provision offered through HPIJ for a period of 52 weeks. The traditional HPIJ service was available to any adult living in the borough and, in the main, individuals voluntarily referred them to the provision.

The Work Programme has required a very different type of model. Firstly, JCP mandatorily refers long term unemployed residents to the Work Programme. Secondly, income is generated per customer, so the more customers the Employment Officers see, the more income that can be generated. It is a performance oriented model that is driven by volume (quantity). The relationship that Employment Officers were able to build up with their customers in the past is not possible with a commercially driven contract such as the Work Programme, and we have had to redesign our structures to reflect this. The emphasis is on advising customers and supporting them into employment as quickly as possible. The potential income to be earned from getting customers into employment is significant and the longer the individual remains in employment, the more income that can be generated. The contract has demanded a complete change of culture to the existing

HPIJ operation – no longer focusing on a holistic service for individuals who had volunteered to be supported into employment but focusing on getting people in the door, seen, and out of the door into employment in the shortest possible time.

I. Promoting Town Centre Vitality

It is acknowledged that our town centres are part of our 'offer' to visitors and inward investors, but also contribute to improving the quality of life of local residents, making Halton a good place to live. There is a requirement to drive up footfall and increase the numbers of people that shop, work in and use our town centres. Strong management of town centres required commercial principles to be robustly applied and it sometimes seems as if innovation and change in the town centres is slowed by the adoption of public sector systems to deliver in a private sector environment.

There will, no doubt be a requirement to re-invest in the physical fabric of our town centres. In Runcorn, there is a good understanding of its USP arising from the physical assets that it holds. Regarding Widnes, further work is needed to better understand the role and function of the town centre in the future.

Although the forthcoming Retail Study will provide an improved understanding of why people visit or do not visit our town centres, further work is needed with the private sector (including retailers and traders) to prioritise, and to confirm what our respective sectors can or cannot deliver in our town centres.

Runcorn has benefitted from funding from the High Street Innovation Fund. Widnes is currently using section 106 funding to support a number of town centre initiatives. For relatively small sums of money a high level of goodwill and positive media have resulted.

This is also in part due to the fact that the Council has promoted an ongoing communication channel with town centre stakeholders through the Runcorn Town Team. This has enabled the Council to not only manage expectations, but also enabled the community to help themselves.

It has also demonstrated that 'softer' small scale measures can have a significant impact on increasing confidence in town centres.

However, these funds are time limited. In Runcorn, work is progressing on a Business Improvement District (BIDs) application, as a way of providing sustained public and private sector funding for the future. This initiative is being led by the private sector.

We should explore whether any of the Widnes town centre operators would be willing to lead on a similar approach. Additional resource would be needed if we were to introduce a Widnes Town Team.

At the Hive, the Council employs CBRE to manage the maintenance of the leisure park. Perhaps we should consider whether this concept could be further developed elsewhere?

J. Develop a Business Charter for Social Responsibility

Halton Borough Council's procurement division with its 'Doing Business in Halton' events, has been leading the way to create a "level playing field" for Halton's businesses to compete with larger companies from outside the area.

Partners have worked together to simplify systems, provide information and training in submitting tenders.

The added value of local firms can be factored into procurement decisions, in relation, for example, to quicker response times and greater responsiveness to local requirements.

However, in improving our support offer to businesses, it is not unreasonable to ask businesses to formally commit to employ locally, pay the living wage as well as commit to sustainable and ethical practices.

All newly contracted Council supplies would be required to sign up to the charter and draw up action plans which become the terms of their contracts. Build on the Social Value checklist when scoring applications for contracts.

We could also support socially conscious businesses in the borough to enter the market by offering reduced business rates, grants, loans or free office space.

We could expand our Halton Employment Partnership (HEP) offer to increase our proactive approach to helping local businesses recruit local people. (N.B. This is currently funded small-scale through the Work Programme contract).

Work with organisations such as the Business in The Community Partnership to further encourage businesses to contribute to the 'Preparing for adulthood – Pathway to Employment and supported employment' agendas.

However, there are many earlier interventions or "building blocks" that needed to be implemented first if a young person, young (disabled) person is to be 'made ready for work'.

Therefore, work needs to be accelerated in the following areas:

Developing a Pathway to Employment Plan.

Producing a directory of organisations and activities which support the Pathways to Employment agenda to be used as a conduit for the exchange of best practice.

Giving consideration to joint "case reviews" of young people.

This approach could be broadened to include other vulnerable groups, for example, care leavers, NEETs.

Producing a 'what makes a good employee checklist'.

Using Halton's Business Improvement Districts as a pilot for promoting the Pathway to Employment principles identified in the report, not least in raising awareness and identifying success stories/role models.

K. Low Carbon Economy

A future priority is to develop significant growth and value in Halton's economy by exploiting the commercial opportunities for low carbon and the marine economy associated with the port, river, off shore renewables, hydrogen resources, specifically for decentralised low carbon energy, transport and resource efficiency.

There are several initiatives which will be progressed during the plan period i.e.:-

- *Heat Networks* – Decentralised Energy Network to support the power infrastructure needed to allow the significant expansion plans in East Runcorn to be delivered in a sustainable way. This will support the ongoing development of the East Runcorn area of change enabling security of energy supply, cheaper energy costs and reduced carbon emissions.
- *Retrofit* - Domestic, commercial and industrial retrofit is a key challenge and provides a basis for the delivery of a package of energy efficiency measures for retrofitting all building types.
- The development of a *low carbon hydrogen fuel infrastructure* would be part of a wider plan to develop Ultra Low Carbon transport capability in the Liverpool City Region. H2 energy is zero carbon and Halton has a UK unique capability with bi-product sources from Ineos Chlor and other sites.
- Developing the *Green Supply Chain* to support Halton companies to innovate and diversify into new markets, technologies and supply chains and develop and train staff in new skills to take advantage of emerging new markets. I.e. renewables will also be taken forward.

L. Sector Development

The Construction Halton initiative acknowledges that the forecast scale of development and other construction related activity in the borough offers significant potential for moving people from benefits into work.

We have progressed Construction Halton to facilitate a range of measures to deliver community benefits from construction related work, in the form of employment, apprenticeships, training and work experience opportunities. Colleagues from the Employment Learning and Skills Division have met with the Mersey Gateway team and the three remaining consortia to discuss development of employment and skills plan as part of the bid process.

The aims of Construction Halton are to provide a mechanism that will ensure people from disadvantaged groups and areas within Halton are able to access jobs and training opportunities arising in the construction industry.

Continuation of the Science Halton initiative - the combined Science, Technology & Advanced Manufacturing Group and Halton Science Action Group is a priority.

Research undertaken by **Amion Consulting** shows that some 3300 STAM jobs in Halton will be created over the next 20 years, although there will be a real decline in chemical related businesses. In addition, it shows that of the net demand for skilled

recruits, 55% will need level 4 skills or above, 70% will require a level 3 or above and 15% will require level 2 or below.

Furthermore, **skills gap analysis** relating to the local STAM sector shows that the largest skills gap in Halton exists at level 4 and above, which is not surprising given the absence of HE institutions in the borough. We will work with education partners to promote further level 4 courses offered by Halton providers to be validated by HE institutions.

Similarly, the Bioscience Sector has the lowest number of course places to available jobs and shows skills gaps at level 4, level 2 and below level 2. We need to ensure the curriculum at level 2 and below addresses the gap in training for the biosciences.

Following the announcement on the Enterprise Zone at Daresbury we have been working with colleagues at the Science Technology Facilities Council (STFC) to develop a Skills Strategy for Sci-Tech Daresbury. This is set to continue.

The Ports, Logistics and Maritime sector has over 1,700 firms and employs approximately 28,000 people. Through initiatives such as the Super port and Atlantic Gateway, Halton's strategic position and proximity to a wide range of water, as well as other infrastructure assets needs to be further exploited. We would, therefore, regard maintaining our presence through, for example, the Super port Panel as a way of protecting and further developing Halton's interests.

4.3 EXTERNAL FACTORS

In order to meet the Business Critical Issues and priorities for the Directorate, external factors need to be considered that are outside of the Directorate's control but inform and help to set the context for much of the Directorate's work.

POLITICAL	ECONOMIC CLIMATE
Marmot Review of Health Inequalities	Deprivation
Change of Government in 2015	National Careers Service
Troubled Families Programme	Apprenticeships
The DWP Work Programme	Northern Funds Futures initiative
Better Regulation – Red Tape Challenge	Youth Contract
Heywood 16 – 24 Review	Talent Match
School Capital and Funding	European Structural and Investment Funds (ESIF) Programme
GCSE and A Level Reforms	Adonis Review & Heseltine Review
	Competition for external funding
SOCIAL FACTORS	TECHNOLOGICAL DEVELOPMENTS
National Child & Family Poverty Strategy 14-17	Digital Accessibility
Demographic Changes	Universal Jobmatch
Post-16 Transport to Education and Training	Job seekers allowance online
Universal Infant Free School Meals	
LEGISLATIVE FACTORS	ENVIRONMENTAL FACTORS
Public Services (Social Value) Act 2012	Mersey Gateway
Care Act 2014	Low Carbon Economy
Children & Families Act 2014 (including SEND Reforms)	Minimising waste production, increasing recycling and reducing waste to landfill
Education Act 2011	Tackling Environmental Crime and promoting positive behaviours
National Care Leaver Strategy	Flood Risk Management
Legal Aid, Sentencing & Punishing of Offenders Act 2012	Road Safety and Street Lighting
Revisions to Adoption & Fostering Legislation	Liverpool City Region Transport agenda/ Local Transport Plan Block Funding
Welfare Reforms <ul style="list-style-type: none"> • Single Programme • Universal Credit 	Ofsted Child Sexual Exploitation Thematic Reports
Ofsted Framework for School Improvement	
Ofsted Framework for Early Years Providers	
Ofsted Framework for the Inspection of services for children in need of help and protection, children looked after and care leavers – version 3, updated 2014.	
Ofsted Framework for Early Years Foundation Stage (EYFS)	
Ofsted Framework for Inspection of Children's Centres	
Ofsted Annual Report	
Childcare Payments Bill	
Supporting pupils at school with medical conditions	
Serious Crime Bill	
Schools Causing Concern statutory guidance 2015.	

5.0 Organisational Initiatives

There are a number of initiatives that have been developed at an organisational level in order to ensure consistency and synergy between individual business units of the Council. As such these initiatives are relevant to the work of all Directorates of the Council and have implications for, and are supported by, the work of the individual departments that sit beneath them. Such initiatives include:-

5.1 Equality, Diversity and Community Cohesion

Halton Council is committed to ensuring equality of opportunity within all aspects of its service delivery, policy development and as an employer. This commitment is reflected in a range of policy, strategies and framework documents, which underpin the work of the Council in its day-to-day operation and in the services it delivers. In particular this is encapsulated in the Council's Single Equality Scheme which contains the following **policy statement**.

The Council seeks to create a culture where people of all backgrounds and experience feel appreciated and valued. It is committed to achieving equality of opportunity in both its service delivery mechanisms and employment practices. Service users, job seekers and employees will be treated fairly and without discrimination. Discrimination on the grounds of, ethnicity, religion or belief, gender, transgender, marital status, sexuality, disability, pregnancy / maternity, age or any other unjustifiable reason will not be tolerated.

The Council is opposed to unlawful and unfair discrimination (including harassment of any kind). The Council will take appropriate action wherever instances of discrimination and harassment occur, in the delivery of services and in the course of employment. It will work with its partners to develop effective procedures and policies to combat all forms of discrimination and to share good practice.

Should you require any additional information concerning the Scheme please contact the Policy Officer lead for Equality & Diversity, Corporate Policy team.

In addition, the council is committed to building and sustaining community cohesion within Halton. For us, a cohesive community is one that has:

- A defined and widely shared sense of the contribution of different individuals and groups to a future local or national vision
- A strong sense of an individual's local rights and responsibilities and that people with different backgrounds should experience similar life opportunities and access to services and treatment
- A strong sense of trust in institutions locally, and trust that they will act fairly when arbitrating between different interests and be subject to public scrutiny.
- A strong recognition of the contribution of the newly arrived, and of those who have deep attachments to a particular place – focusing on what people have in common.
- Positive relationships between people from different backgrounds in the workplace, schools and other institutions.

The Council has developed a systematic approach to examine and address the equality implications of its existing and future policies, procedures and practices through the use of a Community Impact Review and Assessment process.

These are an important part of our commitment to promote equality of opportunity for all Halton's residents. They have been developed as a tool for ensuring that equality, social inclusion and community cohesion issues can be considered when drawing up policies or proposals which affect the delivery of services, the delivery of the Council's functions and the employment practices of the authority. They are also a tool for ensuring and demonstrating that the Council continues to meet its obligations under the Public Sector Equality Duty in carrying out all of its policies, services and functions.

The Community Impact Review & Assessment process should always be undertaken as part of

- New or revised policy developments
- Budget reviews
- As part of the Council's Efficiency Programme which may lead to changes to services and / or staffing arrangements.
- Whole service functional reviews to demonstrate that the Council remains compliant with Public Sector Equality Duties.

More detailed guidance can be accessed via the Council's website.

The Public Sector Equality Duty requires the authority to publish equality information annually. As a result the progression of quality related issues will be monitored annually through the performance reporting process.

As a result of such assessments any actions considered to be of high priority will be monitored and reported through the Council's Quarterly Performance Reporting process.

The Directorate Equality & Diversity Group has been expanded to become a multi agency group for the Children's Trust. The group has updated and broadened the Equality Scheme already in place for CED to take into account the additional duties and implications of the Equality Act 2010 and to allow the Scheme to be a useful multi agency document

5.2 Environmental Sustainability

The Council is committed to taking a lead and setting an example in tackling climate change. The Council has developed a Carbon Management Plan that will support the Council in managing its carbon emissions and developing actions for realising carbon and financial savings and embedding carbon management into the authority's day to day business.

The Plan was reviewed and updated during 2011/12, with a revised energy emissions reduction target and it is now set at a reduction of between 5% and 10% over 2010/11 figures over a 5 year period. The main measure included in the revised Plan is the Green House Gas emissions indicator, which differs from the previous carbon emissions indicator. The total GHG emissions figure for 2013/14 was 23,078 tonnes CO₂ which equates to a 5.61 % reduction since 2012/13, a 10.6% reduction since 2010/11 and a 12.4% reduction since the 2006/07 baseline year. This total figure breaks down as follows:-

Corporate buildings	- 8734 tonnes CO2
Schools	- 6935 tonnes CO2
Street lighting	- 5696 tonnes CO2
Vehicle fleet	- 1311 tonnes CO2
Business Miles	- 402 tonnes CO2

To improve the focus on achieving its targets the Directorate, through the Carbon Group, will develop specific plans and, where appropriate, specific reduction targets around buildings and vehicle fleet and business miles.

The qualification designation in respect of phase two of the Carbon Reduction Commitment (CRC) has changed which means that the council are no longer captured by the scheme, this being effective from April 1st 2014.

Positive work being undertaken in Halton includes:

- carbon management plan
- work with schools on the Eco schools programme
- energy efficiency works implemented to date
- awareness raising with officers/managers
- Sustainable Projects office focusing initially on working with managers re energy management,
- the installation of a number of solar/PV panel systems to take advantage for the feed in tariffs.

Eco-friendly solar/PV panels which have been installed at the Stadium have generated 43,437 kw/h of energy in the first full year, which is in excess of predictions. The result of this is that over £14,000 of income has been generated through the feed in tariff, this together with the saving in energy costs of circa £4000 means that the system has generated a total saving to the Council of over £18,000.

The Council has also worked with the Energy Saving Trust to develop opportunities for reducing emissions in the wider community. The opportunities will form the basis of a Corporate Climate Change Strategy. The Directorate will contribute to and support specific actions within the overall Strategy.

The Council is committed to improving a good quality of life for the people of Halton and one of the ways this can be achieved is through allotment gardening. Being part of the allotment gardening community brings an opportunity to meet and share experiences with people from all walks of life. There are also health and social benefits which can give plot-holders a sense of well-being. Our aim is to continue to build on the good practices and positive improvements, but the biggest obstacle is the shortage of growing space.

5.3 Risk Management

Risk Management, which forms a key element of the strategic and performance management processes of the Council, is a business discipline that is used to effectively manage potential opportunities and threats to the organisation in achieving its objectives.

Risk assessments are the process by which departments identify those issues that are, or may be, likely to impede the delivery of service objectives. Such risks are categorised and rated in terms of both their probability, i.e. the extent to which they

are likely to happen, and their severity i.e. the potential extent of their impact should they occur.

Following such assessments a series of risk treatment measures are identified that will mitigate against such risks having an adverse impact upon the delivery of departmental / organisational activities. All high risks and the implementation of their associated mitigation measures will be monitored and reported through the Council's quarterly performance monitoring arrangements.

5.4 Arrangements for managing Data Quality

Good quality data provides the foundation for managing and improving services, determining and acting upon shared priorities, and accounting for performance to inspecting bodies and the local community.

In recognising this, the Council has developed a Corporate Data Quality Strategy that will provide a mechanism by which the authority can be assured that the quality of its data remains robust and fit for purpose. This strategy, which will remain subject to periodic review, identifies five Key Corporate Objectives and establishes the key dimensions of good quality data i.e. that data is:-

Accurate:	For its intended purpose;
Valid	By being consistently recorded and used in compliance with predetermined definitions and rules;
Reliable	By reflecting stable and consistent data collection processes;
Timely	By being made available as soon as possible after the activity or event and in line with organisational requirements;
Relevant	For the purpose intended;
Complete	In that the monitoring of incomplete, missing or invalid data is avoided as far as is possible.

In supporting the delivery of the corporate strategy the Directorate will ensure that appropriate systems and processes are in place to secure the quality of its data and that such systems are subject to periodic and risk-based review.

Given the transfer of Public Health to Local Authorities from 1st April 2013, Halton Borough Council are part of the 5 Borough's partnership with Health and other partners and are currently applying to connect to health systems. In order to connect the Council is required to complete an Information Governance Toolkit assessment up to level 2 (there are 3 levels in total). The Information Governance Toolkit is a performance tool produced by the Department of Health (DH). It draws together the legal rules and central guidance set out above and presents them in one place as a set of information governance requirements

The purpose of the assessment is to enable organisations to measure their compliance against the law and central guidance and to see whether information is handled correctly and protected from unauthorised access, loss, damage and destruction.

Where partial or non-compliance is revealed, organisations must take appropriate measures, (e.g. assign responsibility, put in place policies, procedures, processes and guidance for staff), with the aim of making cultural changes and raising information governance standards through year on year improvements.

The ultimate aim is to demonstrate that the organisation can be trusted to maintain the confidentiality and security of personal information. This in-turn increases public confidence that 'the NHS' and its partners can be trusted with personal data.

6.0 Organisational & Directorate Structure

The Council is committed to consistently managing the delivery of its services in the most cost efficient way that maximises the effectiveness of its available resources.

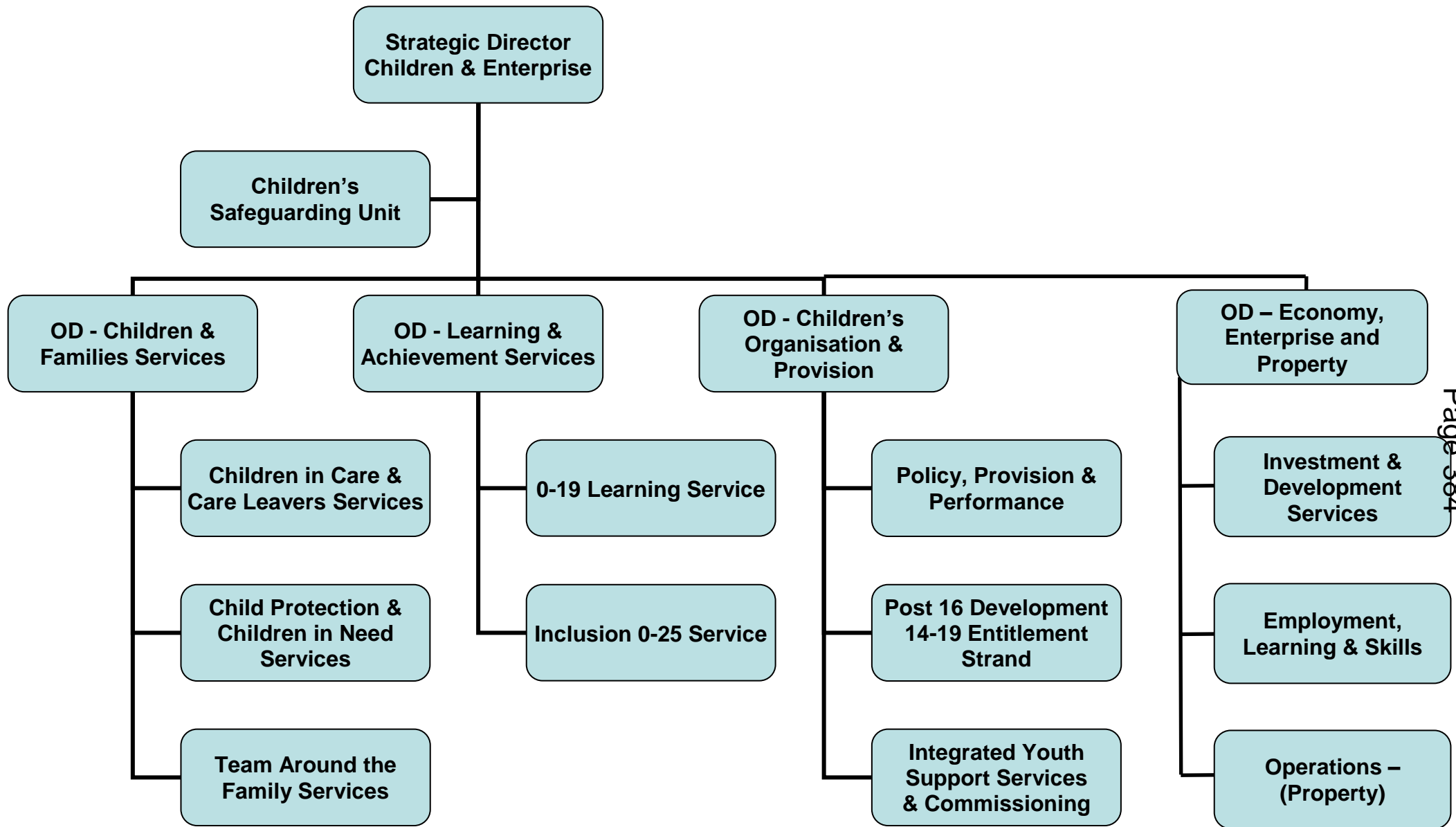
The Council recognises the value of corporate working and that effective communication channels, both internally between Directorates and externally with partners, are a pre-requisite to success. It therefore has in place complementary arrangements at different organisational levels to ensure that the organisation works as an integrated and unified entity.

In support of this approach results-based matrix management practices, through for example project implementation groups, are used to bring together expertise and knowledge from across the organisation in order to optimise the response to community needs and aspirations.

Lead Officers are identified to drive and direct corporate initiatives to bring together elements of the Councils activities which, for the purposes of day to day management, may sit within all or any of the different Directorates.

Each of the Directorate Plans is aligned to and supports the delivery of one or more of the Councils six organisational and five partnership strategic priorities as detailed within the Corporate Plan and Sustainable Community Strategy respectively.

The chart overleaf provides an overview of those functions that fall within the Children & Enterprise Directorate.



6.1 CHILDREN AND FAMILIES SERVICES

This Department provides services to children and families from Universal to Complex Needs, as set out in Halton's Level of Need Framework. The services aim to support and protect children, ensuring that they are safe and have the opportunity to reach their potential. We aim, together with partners, to narrow the gap in outcomes for these most vulnerable children. For the majority of children this will be with their families, and we will provide services and support to families to achieve this. When this is not possible we provide services to ensure that children live somewhere that is safe, caring and appropriate to their needs.

The Department's main responsibilities are summarised in the work of the 3 divisions detailed below.

Team around the Family

- Children's Centres - provision of the full core offer and extended services
- Early Intervention
- Co-ordinated early targeted intervention based on holistic family assessment
- Parenting Programmes
- Family support across the levels of need continuum
- Provision a range of accessible short breaks for disabled children
- Integrated services for Young Carers
- Provision of short breaks for disabled children

Children in Need & Child Protection

- Assessing promptly the needs of children and families in need at point of entry – Contact And Referral Team.
- Planning and delivering integrated services for vulnerable children and families across the Levels of Need Framework.
- Crisis and emergency intervention in families.
- Child Protection services,
- Targeted interventions with the most vulnerable children in need and their families
- Assessing the needs of children 0-17.

Children in Care & Care Leavers

- Care Leavers services
- Recruitment, assessment and support for adoptive parents and foster carers
- Provision of Residential Care
- Support to Children in Care to improve outcomes
- Inter-agency Working

6.2 LEARNING AND ACHIEVEMENT SERVICES

The Department works in partnership with schools and settings to raise standards of attainment and achievement. This work is undertaken by a team of specialists who focus on for example the curriculum, attendance, inclusion and behaviour within the different phases of education. School Improvement Partners (SIPs) are also a key part of this Department. We work together with the other departments to achieve the best possible outcomes for all young people and to narrow the gap in outcomes for the most vulnerable young people.

The Department's main responsibilities are summarised in the detail below:

0-19 Learning

- EYFS and Key Stages 1 – 4 and School Sixth Form standards of achievement and attainment
- Monitoring of all schools and settings – categorisation
- Support and intervention for satisfactory / requiring improvement and inadequate schools and settings
- Statutory assessment and moderation – EYFS, KS1 & K2
- NQT registration, monitoring, quality assurance and induction programme
- SACRE
- Support for Head Teacher recruitment
- Head Teacher induction, leadership and succession planning
- Virtual Head for Children in Care and Vulnerable Pupils
- Portage service
- Provision of additional resources and support for higher needs band of children in pre-school settings including Enhanced Provision
- Support for development of Music, school games and disability sports in schools.

0-25 Inclusion

- Statutory assessments for pupils with Special Educational Needs & Disability (SEND).
- Statutory duties covering all areas of SEND for young people to the age of 0-25.
- Provision of Additional resources and support for higher needs band of pupils including Enhanced Provision.
- Presentation of the LA case at SENDIST Appeals
- Statutory provision of support to parents of children & young people with Special Education Needs & Disability – Halton SEND Partnership.
- Behaviour, attendance and exclusions with the statutory duty to provide SEND Expert support for pupils at Exclusion Appeals.
- Transition.
- SEND service delivery for schools covering areas such as cognition and learning, visually impaired and hearing impaired, Autism, Speech Language and Communication.
- Monitoring of provision and outcomes of provision for children and young people in the higher needs band of provision.
- Monitoring of provision and outcomes for pupils placed out of borough in all provision.

6.3 CHILDREN'S ORGANISATION AND PROVISION

The Department is responsible for the management, co-ordination and delivery of all capital programmes aimed at transforming children's environment. It leads and facilitates the strategic arrangements for joint commissioning of services to children, young people and their parents and carers within the Directorate, Statutory Partners, the Independent Sector, Voluntary and Community organisations. It ensures there is sufficient good quality early years provision, sufficient school places, provides a range of advice and guidance on Governor issues, and ensures schools meet their statutory requirements with regard to Learning Outside the Classroom. Critical incident support is also provided to schools and educational establishments. In addition it co-ordinates the effective delivery of youth support, sexual health services and policy and performance support to the Directorate and Halton Children's Trust.

The main responsibilities of each team are detailed below:

Policy, Provision & Performance

- Early Years Sufficiency.
- Policy and Performance.
- Child and pupil place planning (schools and other settings).
- School Transport.
- Services to schools and settings (SLAs).
- Information, support and guidance for schools and Children's Services settings.
- Learning Outside The Classroom
- Technical Support
- Critical Incident Support.
- Governor Support.
- Local Education Partnership (LEP)
- Capital – development of educational property and maintenance of educational estate
- Children's Centres Capital
- Childcare
- Sufficiency & Suitability Childcare
- Accessibility
- Families Information Service
- SEND Local Offer
- Customer Complaints

Post 16 development and 14-19 entitlement strand

- Pupil Referral Unit
- Raising the Participation Age (RPA) agenda
- Local Authority Commissioning for young people with High Needs
- Alternative Provision Strategy
- Education Business Partnership
- Duty to secure sufficient suitable education and training opportunities to meet the reasonable needs of all young people in Halton.
- Delivery against the six key priorities identified within the 14-19 Strategic Commissioning Statement 2013-2014
- 14-19 Apprenticeship Strategy
- 14-19 NEET Strategy
- Ensure there is sufficient and suitable provision for, and Improve participation and achievement of vulnerable groups
- Access to Independent, Advice and Guidance
- Plan to meet the requirements of the raising of the participation age

Integrated Youth Support Services and Commissioning

- Inspiring Families Programme
- Integrated planning and commissioning
- Effective delivery of Integrated Youth Support
- Deployment of youth support services
- Deployment of sexual health services including Teenage Pregnancy
- Substance Misuse.
- Alcohol Services.
- Anti-Social Behaviour.
- Community Safety.
- Information, Advice and Guidance Services.
- Promoting Positive Activities.

6.4 CHILDREN'S SAFEGUARDING UNIT

The Safeguarding Unit consists of lead officers for Safeguarding in Halton including Children's Services, Halton Clinical Commissioning Group, Education, and Police. This co located and virtual team strengthens multi agency working, making efficient use of knowledge and expertise across the Directorate and Halton Children's Trust.

Members of the Safeguarding Unit are responsible for identifying the themes and issues, which impact on the delivery of front line practice. Through scrutiny, challenge and support, the Unit will continuously enhance standards and good practice through quality assurance and professional development.

The Unit informs and is informed by national and local guidance as well as research, to positively enhance the delivery of front line services to vulnerable children and young people in Halton.

Core Business of the Unit

- Developing sector-led improvement through formalised integrated arrangements with Cheshire West & Chester
- Providing an Independent chairing service within the Child Protection and Children in Care systems and for those children in need.
- Independent review of Foster carers
- Responsibility for the management of allegations against adults who work with children, including the statutory role of Local Authority Designated Officer (LADO)
- Via the Halton Safeguarding Children Board manager, providing all the business support requirements for HSCB.
- Lead responsibility for the rigorous auditing of practice within Children & Families and Early Intervention multi-agency services.
- Lead role in multi-agency practice reviews.
- Supporting safeguarding practice in educational settings.
- To support engagement of the community in safeguarding.
- Multi agency support, challenge and scrutiny.
- Lead role in awareness raising, training and service delivery on Child Sexual Exploitation
- Education Safeguarding in schools

6.5 ECONOMY, ENTERPRISE AND PROPERTY

A key aim of the Department is to use the borough's regeneration projects and programmes to create an environment that is attractive to business, which leads to the creation of jobs and, in turn, will help to improve the quality of life of people living and working in Halton. This is set out in the Council's Strategic Regeneration Framework 2013-28 that recognises that improving the Borough's economy is the key to making Halton a better place to live and/or work. This Strategy focuses on six drivers of economic prosperity which are:

- Enhancing quality of life
- Improving business performance
- Supporting growth and investment
- Growing the Low Carbon Economy
- Raising skills and reducing unemployment
- Place-shaping and connectivity

This Regeneration Framework has been used to inform the Liverpool City Region's Strategic Local Investment Plan (2014-2017). The Plan is designed to develop a shared understanding of where the significant economic site opportunities are spatially located, and further, to identify which of those sites are capable of attracting short-term investment and jobs. The ultimate objective is to build towards having a shared list of priority schemes at a city-region level.

Similarly, it will support the development of the LCR European Union Investment Strategy (2014-2020) and draft Liverpool City Region Local Growth Plan (2015-2016)

The three key drivers that relate to this Department complement the Liverpool City Region context by focusing on business performance, supporting growth and investment and raising skills and reducing unemployment.

The Department comprises the following divisions: -

Investment and Development Services

The work of the Division includes bringing forward and implementing the borough's major physical development sites (including town centres, housing regeneration, watersides and brownfield land reclamation); managing the Council's property and strategic assets (property services), including Widnes Market Hall, coordinating and acting upon the borough's inward investment and business enquiries, encouraging and supporting businesses to expand; for example, providing advice and guidance on grant support, development and planning issues, transportation; improving the image of the borough's industrial areas; and helping businesses to become more competitive. The division also provide a Council (and Borough) - wide external funding service as well as supporting the Council's representatives in European, Regional and sub-regional forums and committees.

Employment Learning and Skills

This Division focuses on developing and delivering initiatives which create secure and safeguard jobs in the Borough. It hosts the Halton People Into Jobs (HPIJ) initiative, who manage the Work Programme contracts on behalf of Halton, as well as the Youth Employment Gateway contract. The Halton Employment Partnership Team now focuses on employer engagement and now manages the job brokering service. The Division also supports a wide range of self-employment and business start-up initiatives.

The Work Programme provides an advice and employability service to long term unemployed people. Those eligible for the Work Programme are mandated to the provision offered through HPIJ for a period of 52 weeks, which is a change to the traditional HPIJ service which was available to any adult living in the borough and, in the main, individuals voluntarily referred themselves to the provision.

The Work Programme contract for Halton was awarded to Prime Contractors Ingeus and A4E; Ingeus have subcontracted their share of the contract to the council's Halton People into Jobs team, whilst A4E have subcontracted half of their share. This means HPIJ are delivering 75 per cent of the Work Programme in Halton. To improve accessibility for Widnes clients, HPIJ has now relocated to a more central location within the Halton Direct Link.

This Division also delivers a wide range of adult and family learning courses across the borough. It also leads the borough's Halton Employment Partnership which acts as a one stop shop for employer local job seeker recruitment needs, as well as sector led employment initiatives such as Construction Halton and Science Halton. Key

areas of activity in the Division are: - Adults and Community Learning – providing opportunities for adults to access a wide range of learning experiences within their local area; Skills For Life – improving literacy and numeracy skills amongst adults; Family Learning – which gives all family members an opportunity to learn with their children or learn about how they can further support their children.

The Government's approach to funding skills development has changed, especially over the last 12 months, and will continue to do so, placing employers much more in the driving seat of skills and qualifications funding and development. As the pressures on public funding for skills development continue to grow, the way these funds are deployed becomes all the more critical and requires careful planning and joined up thinking. The Halton Employment Partnership (HEP) model that is now embedded in the council's work with employers is an example of where skills pathways have been developed to meet the growth employment sectors.

HEP has already undertaken a range of projects associated with supporting specific growth sectors. This included the Tesco chilled distribution centre, which focused on basic logistics pre-employment training, including Fork Lift Truck licence acquisition and Health & Safety training. In addition, additional skills development for staff who were employed was supported through mainstream FE contracts. Most recent is the development of a range of skills pathways for the new Mersey Gateway contract. HEP has been working in partnership with Merseylink both prior to the announcement of preferred bidder and afterwards to map out the employment and skills requirements of the project. The plan that has been developed is perhaps the most refined of all the skills pathway plans that HEP has developed with employers; this is possibly because of the plan cutting across a number of sectors, not just construction.

Operations – (Property)

The Division exists to provide corporate support to all areas of the Council in relation to the management, maintenance and development of the Council's property portfolio and regeneration schemes.

The Division is responsible for a number of areas of work, the primary function however is to ensure that the Authority's accommodation is fit for purpose, and meets the needs and expectations of members, officers and the public alike.

The Facilities Management section manages the maintenance, security, caretaking and cleaning to all corporate sites and provides a repairs and maintenance and cleaning buy back service to schools. In addition they play a significant role in carbon management and helping to reduce carbon emissions, they provide a building surveying service, and carry out a significant amount of construction related procurement.

The Capital Works section project manages all capital works from inception to completion on corporate building together with numerous projects on Education premises.

Recently along with colleagues in Asset Management, the Division has supported the Mersey Gateway team in respect of the necessary site assembly and demolitions needed to deliver the Mersey Gateway project.

The above roles reflect Halton's successful spatial strategy and Master planning approach to supporting the economic regeneration of Halton.

7.0 Resources

The Directorate faces a number of challenges in ensuring that it has the resources available to support the delivery of its service objectives during a period of reducing financial resources.

7.1 BUDGET SUMMARY AND SERVICE COSTS

To be added once confirmed

7.2 HUMAN RESOURCE REQUIREMENTS

The Directorate employs approximately 700 staff, and together with school staff, are considered to be the Directorate's most valuable asset. The Directorate (and the Council as a whole) is committed to training and developing its staff and has a system of Employee Development Reviews twice a year to produce Personal Action Plans for each employee setting out future learning and development plans, and setting individual work based performance targets. These are complemented by more regular supervision which review progress with personal development and are one of the key processes by which performance and service outcomes are monitored.

Supervision is not just about getting the job done; it is also about investing time and energy in developing and motivating staff for the benefit of the individual and the organisation as a whole and ultimately the local community. Good supervision will result in well-trained and motivated staff who are clear about their role within the organisation and the tasks they need to achieve.

A major requirement for the Directorate will be the continuing implementation of the new Integrated Children's Workforce Strategy for Halton's Children's Trust. The key aim of the strategy is a workforce that is reformed, integrated and making the best contribution possible to Halton's Children & Young People's Plan.

7.3 ACCOMMODATION AND PROPERTY REQUIREMENTS

The accommodation requirements of the Directorate have been impacted upon by the efficiency programme. The continued development and embedding of Team Around the Family services will further influence the Directorate's needs as the ambition is to establish community based accommodation providing front line access for all services through effectively utilising Children's Centres, GP practices and the secondary provision developed through the Building Schools for the Future programme.

7.4 ICT REQUIREMENTS

The Directorate has an ICT Development Plan mapping out its ICT requirements and areas for development. There are number of major ICT projects that will be central to the development of the Directorate and act as enablers for service delivery.

Carefirst 6/Electronic Social Care Record (ESCR)/Integrated Children's System (ICS)

Implementation of Carefirst 6 collaboratively with ICT Services and the Adults and Community Directorate is critical in providing an effective ICT solution for Children's Social Care. There are statutory requirements relating to ICS and ESCR as well as the benefits the system will provide in terms of operational efficiency. The process will require new ICT infrastructure, scanning and new working arrangements. Implementation of Carefirst 6 continues and will be completed over the next 12 months. The delivery of IT enhances support and frontline practice.

Synergy CYP Database

This database allows web based access to core pupil information and will be developed to replace existing modules allowing wider and more flexible access opportunities. Wider access to Duty Desk, School Health and PCT Teams will help to better inform practitioners. .

Synergy Connect - Children Centre Management of Information System

Synergy Connect is a flexible, web based database allowing development of its components depending on the service provider's engagement or to tie in with local or national requirements. Together with the CYP Database, once in place it will enable the exchange of information on the regular basis. The system has been used to record data from health personnel to enable integrated reporting of performance

Schools Information Management System/Virtual Learning Environment Support Service

The Policy & Resources Directorate provides a support service to schools for the Virtual Learning Platform and the Schools Information Management System (SIMS). A new centralised server is now in place and the project is being developed to centralise the SIMS software / data within the Local Authority data centre. Schools will link into the database through the appropriate security settings.

Halton and Perspective Lite - Distribution of Performance Data Reports to Halton Schools - Primary and Special Schools

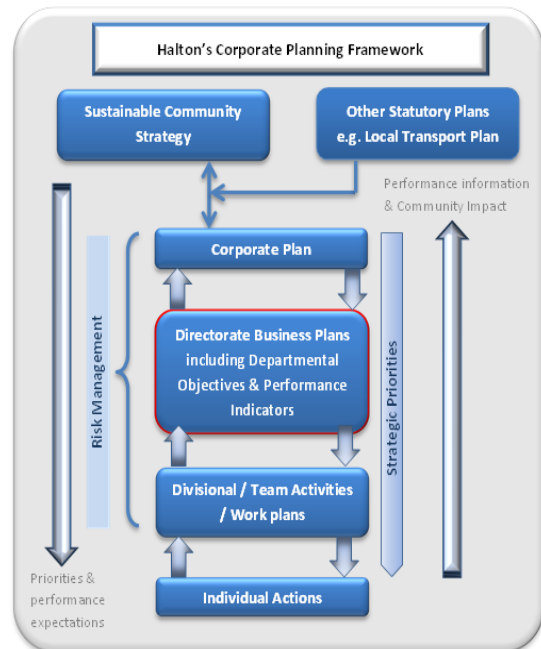
The Council has moved to a new web based system to improve the management process of circulating and reviewing school performance data reports. This system is called Perspective Lite and is developed by Angel Solutions in partnership with the NCER cic - National Consortium for Examination Results. Previously Council used the Intranet to communicate school performance data reports to schools. The Intranet can only be accessed by Headteachers from their school PC whereas Perspective Lite can be accessed from any PC - using the appropriate Headteacher login details.

8.0 Business Planning

Directorate Plans form an integral part of the authority's corporate planning framework, as illustrated within the diagram opposite.

This framework ensures that the Council's operational activities are complementary to the delivery of its community aspirations and legal and statutory responsibilities.

Such plans, and the Quarterly Monitoring Reports that flow from them, are an essential tool in enabling the public, Elected Members, Senior Management, and staff how well Council departments are performing and what progress is being made in relation to improving the quality of life within the borough and service provision for local people, businesses and service users.



Performance Monitoring and Reporting

It is imperative that the Council and interested members of the public can keep track of how the Council and its Departments are progressing and that mechanisms are in place to enable councillors and managers to see whether the service is performing as planned.

As a result Departmental progress will be monitored through:

- **The day to day monitoring by Strategic Directors through their regular interaction with Operational Directors;**
- **Provision of Quarterly progress reports to Corporate and Directorate Management Teams;**
- **The inclusion of Quarterly progress reports as a standard item on the agenda of all the Council's Policy and Performance Boards.**
- **Publication of Quarterly monitoring reports on the Council's intranet site.**

In demonstrating its commitment to exploiting the potential of Information and Communications Technology to improve the accessibility of its services and related information an extensive range of documentation, including this plan and its associated quarterly monitoring reports, are available via the Council's website at <http://www3.halton.gov.uk/content/councilanddemocracy/council/plansandstrategies>

Additionally information and assistance can be accessed through any of the Council's Halton Direct Link facilities (HDL) or the Council's libraries.

Appendix A: Departmental Service Objectives & Performance Indicators

Corporate Priority:	Children and Young People				
Area of Focus:	14- Effective Family Services				
Service Objective:	<ul style="list-style-type: none"> CED01: Improve provision in all inspected settings, with an ambition that all are judged to be good or outstanding. 				
Key Milestones (15-16)	a.	Develop, implement and monitor the action plan in response to the Ofsted inspection of children's services in November 2014 (OD, CFS)			
	b.	Complete RAG categorisation process for all EYFS settings by October 2015 and identify actions, including levels of support and intervention, required to improve inspection outcomes (DM 0-19, LAS)			
	c.	Based upon data analysis and feedback from the Cross Service Monitoring Group undertake categorisation process for all schools by October 2015 and identify actions, including levels of support and intervention, required to improve inspection outcomes. (DM 0-19, LAS)			
	d.	Instigate a dialogue with Ofsted and LEP leads to inform commissioning statement priorities (DM 14-19, COPS)			
	e.	Through the annual conversation, ensure that the performance of all children's centres is in line with expectations. This will need to take into account any changes required as a result of changes to Ofsted frameworks. (DM Team around the Family, CFS)			
Key Milestones (16-17)	f.	Commissioning statement priorities reflect Ofsted and LEP priorities (DM 14-19, COPS)			
	g.	Complete RAG categorisation process for all EYFS settings by October 2016 and identify actions, including levels of support and intervention, required to improve inspection outcomes (DM 0-19, LAS)			
	h.	Based upon data analysis and feedback from the Cross Service Monitoring Group undertake categorisation process for all schools by October 2016 and identify actions, including levels of support and intervention, required to improve inspection outcomes. (DM 0-19, LAS)			
	i.	Through the annual conversation, ensure that the performance of all children's centres is in line with expectations. This will need to take into account any changes required as a result of changes to Ofsted frameworks. (DM Team around the Family, CFS)			
Key Milestones (17-18)	j.	Commissioning statement priorities reflect Ofsted and LEP priorities (DM 14-19, COPS)			
	k.	Complete RAG categorisation process for all EYFS settings by October 2017 and identify actions, including levels of support and intervention, required to improve inspection outcomes (DM 0-19, LAS)			
	l.	Based upon data analysis and feedback from the Cross Service Monitoring Group undertake categorisation process for all schools by October 2017 and identify actions, including levels of support and intervention, required to improve inspection outcomes. (DM 0-19, LAS)			
	m.	Through the annual conversation, ensure that the performance of all children's centres is in line with expectations. This will need to take into account any changes required as a result of changes to Ofsted frameworks. (DM Team around the Family, CFS)			
Linked Indicators:	Proposed measures	Latest performance	Targets		
	CED001: Percentage of maintained educational settings with overall effectiveness of Good or Outstanding (previously CYP09)	81% 31/08/2014	2015/16 82%	2016/17 84%	2017/18 86%

	CED002: Percentage of children's centres (where judged as a group apply two judgements per group until all centres inspected under the group framework) with overall effectiveness of Good or Outstanding (New)	86% 31/12/2014	100%	100%	100%
	CED003: Proportion of children living in the 10% most deprived LSOA engaging with Children's Centre services (New)	86% 31/03/2014	90%	95%	95%
	CED004: Percentage of Early Years settings (pre-schools, daycare and childminders) with overall effectiveness of Good or Outstanding (New)	83% January 2015	83%	84%	85%
Responsible Officer:		Strategic Director, Children and Enterprise Directorate			

Corporate Priority:	Children and Young People				
Area of Focus:	14- Effective Family Services				
Service Objective:	CED02: Ensure Early Years, school and Post-16 provision for children is sufficient and sustainable				
Key Milestones (15-16)	a.	Early Years Childcare sufficiency undertaken annually and action plan implemented, and ensure a range of support for the growing population of funded vulnerable two year olds is appropriate within Early Years Foundation Stage settings (DM, Policy, Provision and Performance, COPS)			
	b.	Basic needs analysis undertaken for school place provision in the primary and secondary sector, and appropriate capital funding streams determined to support any required investment (DM, Policy, Provision and Performance, COPS)			
	c.	Review of Specialist provision available for Halton children and young people (DM, Inclusion, LAS)			
	d.	Review and evaluate the commissioning statement to take account of the changing post 16 landscape and LEP priorities (DM, 14-19, COPS)			
Key Milestones (16-17)	e.	Early Years Childcare sufficiency undertaken annually and action plan implemented, and ensure a range of support for the growing population of funded vulnerable two year olds is appropriate within Early Years Foundation Stage settings (DM, Policy, Provision and Performance, COPS)			
	f.	Basic needs analysis undertaken for school place provision in the primary and secondary sector, and appropriate capital funding streams determined to support any required investment (DM, Policy, Provision and Performance, COPS)			
	g.	Revised Commissioning statement published (DM, 14-19, COPS)			
Key Milestones (17-18)	h.	Early Years Childcare sufficiency undertaken annually and action plan implemented, and ensure a range of support for the growing population of funded vulnerable two year olds is appropriate within Early Years Foundation Stage settings (DM, Policy, Provision and Performance, COPS)			
	i.	Basic needs analysis undertaken for school place provision in the primary and secondary sector, and appropriate capital funding streams determined to support any required investment (DM, Policy, Provision and Performance, COPS)			
	j.	Revised Commissioning statement published (DM, 14-19, COPS)			
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	CED005: Take up of Early Years Entitlement for vulnerable 2 year olds	500	550	600	650
	SCS CYP05 Percentage of 16-18 yr olds not in education, employment or training		8.5%	7.5%	7%
	SCS CYP13 Percentage of young people progressing to Higher Education		25%	25%	25%
Responsible Officer:		Operational Director, Children's Organisation and Provision			

Corporate Priority:	Children and Young People				
Area of Focus:	14- Effective Family Services				
Service Objective:	CED03: Improve outcomes for children and young people through effective joint commissioning and appropriate service delivery, with emphasis on our most vulnerable children and young people				
Key Milestones (15-16)	a.	Review, implement and evaluate the joint commissioning of a MFH and CSE Cheshire service by March 2016 (DM IYSS & Commissioning, COPS)			
	b.	Review the function of the CSE team and effectiveness of the protocol (DM Safeguarding, Quality & Assurance)			
	c.	Identify opportunities for joint commissioning SEN support and provision (DM, Inclusion, LAS)			
	d.	Strengthen the capacity of commissioned services to provide direct work to children and adult victims of domestic abuse (DM IYSS & Commissioning, COPS)			
Key Milestones (16-17)	e.	Review, implement and evaluate the joint commissioning of a MFH and CSE Cheshire service by March 2016 (DM IYSS & Commissioning, COPS)			
	f.	Review the function of the CSE team and effectiveness of the protocol (DM Safeguarding, Quality & Assurance)			
	g.	Identify opportunities for joint commissioning SEN support and provision (DM, Inclusion, LAS)			
	h.	Review the capacity of commissioned services to provide direct work to children and adult victims of domestic abuse (DM IYSS & Commissioning, COPS)			
Key Milestones (17-18)	i.	Review, implement and evaluate the joint commissioning of a MFH and CSE Cheshire service by March 2016 (DM IYSS & Commissioning, COPS)			
	j.	Review the function of the CSE team and effectiveness of the protocol (DM Safeguarding, Quality & Assurance)			
	k.	Identify opportunities for joint commissioning SEN support and provision (DM, Inclusion, LAS)			
	l.	Review the capacity of commissioned services to provide direct work to children and adult victims of domestic abuse (DM IYSS & Commissioning, COPS)			
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	SCS SH04: Reduce the number of Young People who repeatedly run away in Halton	56 MFH 14 CIC Q2 2014/15			
	CED010: Timeliness of return interviews conducted with those missing from home/care				
	CED011: Domestic Abuse/Violence placeholder measure				
	CED012: Percentage of referrals to Children's Social Care identifying CSE as a concern where the CSE screening tool has been used should the referrer be a professional				
	CED013: Percentage of young people who have received direct work to reduce risks of CSE report feeling safer				
CED014: Percentage of social workers and managers attending basic awareness CSE training					
Responsible Officer:	Divisional Manager, IYSS & Commissioning				

Corporate Priority:	Children and Young People				
Area of Focus:	14- Effective Family Services				
Service Objective:	CED04: Improve outcomes for children and young people through integrated and targeted youth support				
Key Milestones (15-16)	a.	Evaluate outcomes of current interventions e.g. Teens and Tots, C-card scheme and identify actions, including new ideas and interventions required to meet targets, related to reductions in teenage conceptions. (DM IYSS & Commissioning, COPS)			
	b.	With Public Health ensure young people are aware of sexual clinics and how to access them. (DM IYSS & Commissioning, COPS)			
	c.	Ensure the most vulnerable young people e.g. children in care, young offenders and dis-engaged young people are aware of the risk associated with substance misuse. (DM IYSS & Commissioning, COPS)			
	d.	Further develop and evaluate substance misuse treatment pathways, between hospitals and community services. (DM IYSS & Commissioning, COPS)			
Key Milestones (16-17)	e.	Analysis the performance of services, projects and interventions related to reducing teenage conceptions and continue to review throughout the year. (DM IYSS & Commissioning, COPS)			
	f.	Conduct annual analysis of services, projects and interventions related to reducing substance misuse and hospital admissions related to substance misuse. (DM IYSS & Commissioning, COPS)			
	g.	Complete needs assessment related to teenage conceptions and substance misuse and review current strategies. (DM IYSS & Commissioning, COPS)			
Key Milestones (17-18)	h.	Achieve improved outcomes for children and young people and ensure Halton is on par with the National and North West averages for teenage conceptions and substance misuse related hospital admissions. (DM IYSS & Commissioning, COPS)			
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	SCS CYP15: Under 18 conception rate, percentage changes from 2009 baselines (58.9 rolling quarterly average)	43.9 Q2 2014/15	54.7 rolling quarterly average	53.0 rolling quarterly average	51.5 rolling quarterly average
	SCS CYP07: Rate of CYP admitted to hospital for substance misuse from 2010/11 (22.7 rate per 10,000 baseline)	17.26 Q2 2014/15	24.6	23.1	21.9
Responsible Officer:	Divisional Manager, IYSS & Commissioning				

Corporate Priority:	Children and Young People				
Area of Focus:	13- Educational Attainment				
Service Objective:	CED05: Improve attainment at all stages for all children and young people				
Key Milestones (15-16)	a.	Undertake a review of outcomes for Early Years (OD, COPS)			
	b.	Conduct the annual analysis of school performance data for all primary, secondary and special schools during September to December 2015 (with further reviews undertaken at key points in the performance data release cycle) (DM, 0-19, LAS)			
	c.	Ensure appropriate deployment of school improvement support for identified schools and settings, including school to school support as appropriate (DM, 0-19, LAS)			
	d.	Develop a post 16 Monitoring Framework that evaluates the breadth and quality of post 16 provision with Greater Merseyside leads (DM, 14-19, COPS)			
Key Milestones (16-17)	e.	Conduct the annual analysis of school performance data for all primary, secondary and special schools during September to December 2016 (with further reviews undertaken at key points in the performance data release cycle) (DM, 0-19, LAS)			
	f.	Ensure appropriate deployment of school improvement support for identified schools and settings, including school to school support as appropriate (DM, 0-19, LAS)			
	g.	Post 16 Monitoring Framework implements (DM, 14-19, COPS)			
Key Milestones (17-18)	h.	Conduct the annual analysis of school performance data for all primary, secondary and special schools during September to December 2017 (with further reviews undertaken at key points in the performance data release cycle) (DM, 0-19, LAS)			
	i.	Ensure appropriate deployment of school improvement support for identified schools and settings, including school to school support as appropriate (DM, 0-19, LAS)			
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	SCS CYP03 Proportion achieving 5+ GCSE A*-C including English and Maths		65%	66%	67%
	CED006: Achievement of Level 2 qualification at 19		88%	89%	90%
	CED007: Achievement of Level 3 qualification at 19		53%	54%	57%
	CED015: Percentage of primary schools below the floor standard (65% achieving L4+ Reading, Writing and Maths at KS2)	12% 2013	4%	0%	N/A
	CED016: Percentage of secondary schools below the floor standard (45% achieving 5+ GCSE A*-C including English and Maths)	0% 2013	0%	0%	0%
	SCS CYP Early Years Foundation Stage percentage achieving a good level of development	46% Q2 2014/15	55%	58%	60%
	SCS CYP02 Proportion achieving level 4 KS2 Reading, Writing and Maths	79% Q2 2014/15	82%	84%	N/A
	CED017 Increase the percentage of pupils making at least expected progress in English from KS2 to KS4		74%	76%	78%
	CED018 Increase the percentage of pupils making at least expected progress in Maths from KS2 to KS4		69%	72%	74%
	CED019 Progress by 2 levels at KS2		91%	92%	N/A

	Reading				
	CED020 Progress by 2 levels at KS2 Writing		94%	95%	N/A
	CED021 Progress by 2 levels at KS2 Maths		92%	94%	N/A
Responsible Officer:		Divisional Manager, 0-19			

Corporate Priority:	Children and Young People					
Area of Focus:	13- Educational Attainment					
Service Objective:	CED06: Close the gap in attainment between vulnerable groups and their peers through early identification of need and effective use of the Pupil Premium					
Key Milestones (15-16)	a.	Analyse, evaluate and report end of Key Stage achievement outcomes, including success in closing the gap by December 2015, and identify areas of need and support for: <ul style="list-style-type: none"> • Children in Care • Free School Meals and non-Free School Meals (DM, 0-19, LAS) 				
	b.	With schools monitor the impact of the Pupil Premium in closing the gap between Free School Meals pupils and non-Free School Meals pupils nationally (DM, 0-19, LAS)				
	c.	Refine and evaluate the education and healthcare plan process, with a report and recommendations produced by September 2015 (DM, Inclusion, LAS)				
	d.	Analyse the levels of absence, including persistent absence, across all phases on a termly basis (DM, Inclusion, LAS)				
	e.	Analyse those previously involved in two year old placements to ensure this provision is closing the gap between the most vulnerable children and their peers (DM, 0-19, LAS)				
Key Milestones (16-17)	f.	Analyse, evaluate and report end of Key Stage achievement outcomes, including success in closing the gap by December 2016, and identify areas of need and support for: <ul style="list-style-type: none"> • Children in Care 				
	g.	Free School Meals and non-Free School Meals (DM, 0-19, LAS)				
	h.	With schools monitor the impact of the Pupil Premium in closing the gap between Free School Meals pupils and non-Free School Meals pupils nationally (DM, 0-19, LAS)				
	i.	Analyse the levels of absence, including persistent absence, across all phases on a termly basis (DM, Inclusion, LAS)				
Key Milestones (17-18)	j.	Analyse those previously involved in two year old placements to ensure this provision is closing the gap between the most vulnerable children and their peers (DM, 0-19, LAS)				
	k.	Analyse, evaluate and report end of Key Stage achievement outcomes, including success in closing the gap by December 2017, and identify areas of need and support for: <ul style="list-style-type: none"> • Children in Care 				
	l.	Free School Meals and non-Free School Meals (DM, 0-19, LAS)				
	m.	With schools monitor the impact of the Pupil Premium in closing the gap between Free School Meals pupils and non-Free School Meals pupils nationally (DM, 0-19, LAS)				
Key Milestones (17-18)	n.	Analyse the levels of absence, including persistent absence, across all phases on a termly basis (DM, Inclusion, LAS)				
	o.	Analyse those previously involved in two year old placements to ensure this provision is closing the gap between the most vulnerable children and their peers (DM, 0-19, LAS)				
	Linked Indicators:	Proposed measures	Latest performance	Targets		
				2015/16	2016/17	2017/18
CED022 Achievement gap at KS2 Reading, Writing and Maths L4+ FSM and peers		18% provisional Q2 2014/15	14%	10%	N/A	
SCS CYP11 Achievement gap at KS4 5+ GCSE A*-C including English and Maths FSM and peers		24% Q2 2014/15	22%	20%	18%	
CED008: Inequality gap in achievement at Level 3 by age of 19			16%	15%	15%	
CED009: Inequality gap in		26%	25%	24%		

achievement at Level 2 by age of 19					
CED023 SEN/Non-SEN achievement gap KS2 Reading, Writing and Maths	Awaited	33%	33%		
CED024 SEN/Non-SEN achievement gap KS4 5+ GCSE A*-C including English and Maths	Awaited	27%	27%		
SCS CYP16 Percentage of Children in Care achieving expected outcomes at KS2 and KS4	KS2 L4 R 80% L4 W 60% 2L progress 80% KS4 All indicators 11% 3L progress E 55% 3L progress M 27%	Due to small cohorts and statistical variation, targets are not stated. Analysis of the small cohort conducted on individual basis for these children to underpin resulting performance.			
SCS CYP12 Identification of SEN at School Action and School Action Plus		18%			
CED025 Secondary School persistent absence rate	Awaited	5%	5%		
CED026 Rate of permanent exclusions from school	0.02% Q2 2014/15	0.35%	0.35%		
CED027 Absence of Children in Care	8% overall	4% overall	4% overall	4% overall	
CED028a Absence of Children in Need					
CED028b Absence of Children subject to a Child Protection Plan					
CED029 Close the gap in achievement between those previously in receipt of 2 yr old early years entitlement and their peers at EYFSP					
CED057 Percentage of pupils placed in a KS1/ KS2 Resource Base for a year that have made 2 sublevels progress in Reading, Writing and Maths is over 60%					
Responsible Officer:	Divisional Manager, Inclusion				

Corporate Priority:	Children and Young People				
Area of Focus:	14- Effective Family Services				
Service Objective:	CED07: Recruit and retain Children's Social Care Managers to deliver to necessary level of scrutiny and management oversight to ensure effective care planning				
Key Milestones (15-16)	a. Monitor and review effectiveness of marketing, recruitment and retention strategy (OD, CFS)				
	b. Implement relevant sections of the action plan from Ofsted Inspection November 2014 – this is a linked milestone to CED01 (a) (OD,CFS)				
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	CED030 Percentage of Principal Manager and Practice Lead posts filled by permanent staff		95%	95%	95%
	CED031 Social Work vacancy rate for FTE (as per Workforce return)	Sept 2014: 10.6	5	5	5
	CED032 Agency rate for Social Work for FTE (as per Workforce return)	Sept 2014: 17.1	2	2	2
	CED033 Social Work Assessments completed within 45 working days	61% Q2 2014/15	95%	95%	95%
	CED034 Social Work Assessments completed within 15 working days				
	CED035 Child Protection Plans lasting 2 years or more	0% Q2 2014/15	0%	0%	0%
	CED036 Children subject to a child protection plan for a second or subsequent time	11% Q2 2014/15	10%	10%	10%
	CED037 Child Protection cases reviewed in timescale	98.7% Q2 2014/15	100%	100%	100%
	CED038 Children in Care cases reviewed in timescale	100%	100%	100%	100%
	CED039 Pre-proceedings diversions: Percentage of cases where pre-proceedings work diverted children from care				
	CED040 Average caseload per social worker		18	18	18
	CED041 Timescales for cases in court, within 26 week timescale				
Responsible Officer:	Divisional Manager, Child Protection & Children in Need				

Corporate Priority:	Children and Young People				
Area of Focus:	16- Safeguarding Children				
Service Objective:	CED08: Improve outcomes for all children and families through integrating processes to deliver Early Intervention				
Key Milestones (15-16)	a. Evidence of reducing referrals to Children's Social Care and improved outcomes for children and young people evidenced in performance outcomes (DM Children in Need & Child Protection, CFS)				
	b. Improve outcomes for families involved in Troubled Families project, as evidenced by maximising the payment by results income (DM Team Around the Family, CFS)				
	c. Develop Halton's offer in line with the Complex Dependency bid (DM Team Around the Family, CFS)				
	d. Continue to develop Halton's Early Intervention through multi-agency processes and teams at a locality level (DM Team Around the Family, CFS)				
	e. Implement and roll out the e-CAF system (DM Team Around the Family, CFS)				
	f. Effectively using the performance information to ensure that Early Intervention is responsive to the trends of those being referred to Children's Social Care (DM Team Around the Family, CFS)				
Key Milestones (16-17)	g. Improved outcomes for children and young people evidenced in performance outcomes (<i>need to indicate which performance outcomes</i>)				
Key Milestones (17-18)	h. Improved outcomes for children and young people evidenced in performance outcomes (<i>need to indicate which performance outcomes</i>)				
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	CED042 Number of multi-agency interventions (e.g. CAF) which are in place and operating	251 Q2 2014/15	350	400	
	CED043 Number of children involved in early intervention (e.g. CAF) (All those who have had a CAF at any point in the rolling year)				
	CED044 Rate of referrals to Children's Social Care per 10,000 0-18 year olds				
CED045 Number of parents who have received a package of targeted parenting support (through a parenting course or 1:1 support)					
Responsible Officer:	Divisional Manager, Team Around the Family				

Corporate Priority:	Children and Young People				
Area of Focus:	14- Effective Family Services				
Service Objective:	CED09: Improve outcomes for Children in Care and Care Leavers				
Key Milestones (15-16)	a. Monitor the implementation of the Care Leaver Action Plan (DM Children in Care and Care Leavers, CFS)				
	b. Monitor the implementation of the multi-agency strategy for Children in Care (DM Children in Care and Care Leavers, CFS)				
	c. Achieve improved outcomes for children in care and care leavers (DM Children in Care and Care Leavers, CFS)				
Key Milestones (16-17)	d. Achieve improved outcomes for children in care and care leavers				
Key Milestones (17-18)	e. Achieve improved outcomes for children in care and care leavers				
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	CED046 Emotional and behavioural health of Children in Care (average SDQ score) (do we still need this?)	13.8 2013/14	14	14	
	CED047 Stability of Children in Care (3+ placements)	3.1% Q2 2014/15	5.4%	7.4%	
	CED048 Stability of Children in Care (long-term placement)	74% Q2 2014/15	78%	80%	
	CED049 Care Leavers in suitable accommodation at 19, 20 & 21	93% Q2 2014/15	90%	93%	
	CED050 Care Leavers in Education, Employment and Training at 19, 20 & 21	57% Q2 2014/15	65%	75%	
	CED051 Percentage of children in care under section 20		18%	16%	14%
	CED052 Percentage of children in care placed with parents		8%	7%	5%
	CED053 Timeliness around permanency arrangements for children in care (adoption, SGO, other permanency arrangements)				
	CED054 Percentage reduction of external provision for children in care to reduce spend				
	CED055 Timeliness of placements for Children in Care for adoption	100% Q2 2014/15	Due to small cohorts and statistical variation, targets are not stated. Analysis of the small cohort conducted on individual basis for these children to underpin resulting performance.		
Responsible Officer:	Divisional Manager, Children in Care and Care Leavers				

Corporate Priority:	Effectiveness and Efficiency				
Area of Focus:	23- Operational Land and Property				
Service Objective:	CED10: Strategically manage and maintain the Council's assets in order to provide a sustainable flow of income and capital receipts as well as ensure that they are safe and fit for purpose				
Key Milestones (15-16)	a.	Commence demolition of Widnes Police Station December 2015			
	b.	Commence Sci-Tech Daresbury Tech Space April 2015			
	c.	Commence lease Agreement at St. Michael's Golf Course May 2015			
	d.	Completion of road at Johnson's Lane by March 2016			
	e.	Identify end user for Bayer site by March 2016			
	f.	Complete viability appraisals on Crossville Site June 2015			
	g.	Commence Crossville Development March 2016			
	h.	Commence Phase 2 Castlefields Lakeside Development July 2015			
Key Milestones (16-17)	i.	Commence development of Bayer site by March 2017			
	j.	Complete Astmoor Development Brief April 2016			
Key Milestones (17-18)	k.	Complete Development of Venturefields Site June 2017			
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	CED058 Greenhouse gas (GHG) emissions indicator		24,425 tonnes CO ₂ E	24,425 tonnes CO ₂ E	
	CED059 Reduce the average unit cost per workstation year on year		£4754.94 (-5%)	£4564.74 (-4%)	£4382.15 (-4%)
Responsible Officer:	Operational Director, Employment, Enterprise and Property Department				

Corporate Priority:	Halton's Urban Renewal				
Area of Focus:	7- Increased Local Employment				
Service Objective:	CED11: Deliver a comprehensive development and investment service				
Key Milestones (15-16)	a. Undertake evaluation of Business Support Programme by September 2015 (OD, Employment, Enterprise and Property Department)				
	b. Development of a marketing and promotions plan for the borough's markets by June 2015 (OD, Employment, Enterprise and Property Department)				
Key Milestones (16-17)	c. Implement a Retail Business Improvement District in Runcorn April 2016 (OD, Employment, Enterprise and Property Department)				
	d. Review Bid Writing Manual by March 2016 (OD, Employment, Enterprise and Property Department)				
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	CED060 Occupancy of HBC Industrial Units		90%	90%	
	CED061 Occupancy of Widnes Market Hall		95%	95%	
	CED062 Number of investment enquiries per annum		250	250	
	CED063 Inward investment enquiry conversion rate percentage		10%	10%	
	CED064 Number of funding enquiries per annum	100	110	120	130
	SCS ELS01 Increase the number of active enterprises within the borough		2800		
	SCS ELS02 Increase the proportion of business diversity within the following sectors: Knowledge Economy, Superport, Low carbon/green, Visitor Economy		28.5%		
CED065 Proportion of successful funding bids		25%	30%	35%	
Responsible Officer:	Operational Director, Employment, Enterprise and Property Department				

Corporate Priority:	Employment, Learning and Skills				
Area of Focus:	6- Skilled Local Workforce				
Service Objective:	CED12: Deliver a comprehensive employment, learning and skills service				
Key Milestones (15-16)	a.	Work with colleagues to roll out a digital inclusion strategy across the borough by March 2016 (Divisional Manager, Employment, Learning and Skills)			
	b.	By March 2016 provide a comprehensive programme of training through targeted 'Inspire' and 'Continuous Improvement Workshops' (Divisional Manager, Employment, Learning and Skills)			
	c.	Submit proposal for year 2 delivery of the Youth Employment Gateway (Work Factor) programme by November 2015 (Divisional Manager, Employment, Learning and Skills)			
	d.	Complete the annual Matrix review to retain Matrix accreditation across the ELS division by December 2015 (Divisional Manager, Employment, Learning and Skills)			
	e.	Deliver year 5 of the A4e/Ingeus Work Programme contracts (initially 5 yr contracts) by June 2015 (Divisional Manager, Employment, Learning and Skills)			
	f.	Secure extension to A4e/Ingeus Work Programme contracts (initially 5 yr contracts) by June 2015 (Divisional Manager, Employment, Learning and Skills)			
Key Milestones (16-17)	g.	By June 2016 create a Coaching and mentoring team amongst the tutors which will promote professional discussion and create opportunities to learn and apply new skills in an atmosphere of trust and open professional relationships (Divisional Manager, Employment, Learning and Skills)			
	h.	Implement delivery of A4e/Ingeus Work Programme contracts for year 6 by June 2016 (Divisional Manager, Employment, Learning and Skills)			
Linked Indicators:	Proposed measures	Latest performance	Targets		
			2015/16	2016/17	2017/18
	CED066 Number of new apprenticeship starts in Halton Borough Council		5	10	
	CED067 Overall success for learners through the adult learning programme		90%	90%	
	CED068 Number of tutors graded good or outstanding	80%	82%	85%	88%
	CED069 Number of schools and nurseries engaged in family learning		28	30	
	CED070 Number of residents supported to get online		380	450	
	CED071 Number of new (additional) interventions undertaken by the service		3	5	
	CED072 Number of starts on DWP programme (A4E)		454	454	
	CED073 Number of starts on DWP programme (Ingeus)		1118	1118	
	CED074 Achieve 128% performance against DWP targets on the A4e Work Programme contract for customer groups PG1, PG2, PG6a and PG6b		128%	128%	128%
CED075 Achieve 128% performance against DWP targets		128%	128%	128%	

	on the Ingeus Work Programme contract for customer groups PG1, PG2, PG6a and PG6b				
	CED076 Monthly reviews of performance of the Work Programme contract undertaken		100%	100%	
	CED077 Number of new starts into permitted/paid work for local people with disabilities (over 12 month period)		15	15	
	CED078 Number of new business start-ups in the Borough		25	25	
	SCS ELS03 Increase the number of people classed as self-employed		7.25%		
	SCS ELS04 Reduce the proportion of people with no qualifications		11%		
	SCS ELS05 Increase the percentage of people achieving NVQ Level 4 and above		24.75%		
	SCS ELS 09 Increase the gross weekly earnings by residents		To close the gap to the nearest CIPFA Statistical Neighbours		
Responsible Officer:		Divisional Manager, Employment, Learning and Skills Division			

Key for Priorities:

Integrated Commissioning of Services to meet the needs of children, young people and families in Halton	
Effectively supporting the child through the Halton Levels of Need Framework when additional needs arise	
Improving achievement and opportunities for all through closing the gap for our most vulnerable children and young people	
Driving the economic prosperity of Halton to the benefit of residents and the workforce	



**Communities
Directorate**

BUSINESS PLAN

April 2015 to March 2018

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1.0 FOREWORD

The Communities Directorate has a broad remit to deliver services across a community with varying needs. Business Planning allows us to meet those needs in a structured and measurable way. The Communities Directorate Business Plan provides a clear framework by which our performance can be judged. It is a way of showing how the services it provides, directly or commissioned from other agencies, meets the needs of local residents.

Our vision of service is critical and the Directorates vision is:

“To promote effective, affordable, quality services that are accessible, equitable, timely and responsive and to enable individuals and groups in Halton to make informed choices.”

It is essential that we meet the requirements of our community, develop programmes of work which map to our vision and additionally align with legislative changes and local and National agendas. Significantly, for the coming period, the introduction of the Care Act 2014 sets out substantial changes to social care practice in areas of:

- Early intervention and prevention
- Assessments and eligibility
- Charging and financial assessments
- Care and Support
- Protecting adults from abuse and neglect
- Carers rights

Associated with this legislative transformation is a new funding stream for adult social care in conjunction with Clinical Commissioning Groups. We have developed an Integrated Transformation Fund (Better Care Fund) Plan that sets out our joint vision and aims over the next five years. Meeting the requirements of this agenda will shape a substantial volume of activity for services offered in relation to social care.

The Community and Environment Department continues to provide good quality services in relation to addressing active citizenship, community safety, community cohesion and safeguarding an environment and neighbourhoods which allows people to thrive. Responsibilities under the Department include libraries; sports, arts and cultural venues; school meals and catering services; a network of community centres; waste management and open spaces.

All Council services face challenges; in particular year-on-year reductions in budget and the requirement for ongoing efficiencies, requiring reviews of contractual arrangements. The Directorate continues to provide quality and responsive services through innovative and resourceful performance.



Dwayne Johnson
Strategic Director, Communities Directorate

2.0 INTRODUCTION

Business planning and performance management are key tools by which public sector organisations are expected to ensure their services, and those they commission, are meeting the needs of the population they serve efficiently and effectively. In our Directorate, they underpin the ideology of the Department of Health, Audit Commission and the Care Quality Commission in their inspections, reports and guidance to Local Authorities on the most appropriate way to manage business.

Business planning is the process of developing the blueprint for the ongoing performance management of the Directorate and, without good business planning, the preparation needed to manage performance is missing. Without ongoing performance management, strategies and plans developed through business planning will not be implemented and will have no impact upon actual activities of the Directorate, or on outcomes for service users and carers.

This document is a key business planning document and should be used alongside performance information when developing service and team plans. Its overall aims are to:-

- identify the key objectives for the Directorate over the next 12 months;
- improve the quality of the services provided; and
- deliver better outcomes for service users and carers.

The plan is underpinned by the principles and strategic objectives Halton Borough Council (HBC) has adopted in its Corporate Plan 2011 - 2016. It aims to be a key reference document for elected members, staff in the Directorate and our partner agencies. It provides the rationale and framework for the major areas of the Directorate's activity. It does this by taking account of the national, inter-agency and Council planning and budget priorities and interweaves these with what we know - or what our service users and carers tell us - about how services should be developed in order to meet needs and expectations more effectively.

The plan needs to be understood in the context of a wide range of other documents. The main strategic documents are:-

- Sustainable Community Strategy for Halton: 2011 – 2026;
- The Borough Council's Corporate Plan 2011 - 2016;

These plans/strategies commit the Borough Council and its partners to achieving explicit and realistic priorities over the coming year. This Business Plan highlights the Community Directorate's elements of those commitments within the context of the Government's overall agenda for local Government. The achievement of these elements continues to depend on partnerships with many other agencies, and members are committed to testing these achievements.

The plan does not attempt to describe all the day-to-day activities that make up most of the Directorate's work, but only to set out the overall framework within which that work takes place. It needs to be remembered, however, that it is the everyday assessment of needs and arrangement of services to meet those needs that is the fundamental task of the Directorate. Undertaking this effectively requires the continuing dedication and enthusiasm of staff, together with the Directorate's commitment to recruit, retain and train staff who are able to meet the challenges of the future. None of this is straightforward. However, this does not diminish the Directorate's determination to deliver improved outcomes for our service users and carers. It makes it even more of a challenge, but one which we will seek to tackle as effectively as possible through partnership with other agencies and corporate working across the Borough Council.

3.0 KEY MESSAGES

Overall Directorate Strategic Direction

The Council and its partners have reaffirmed the direction within the Council's Corporate Plan and the Sustainable Community Strategy for Halton, and the general strategic direction and priorities are clearly articulated. In this context, the Directorate's strategic direction becomes clearer and, at a macro level, includes the following:

- Community Leadership;
- Commissioning;
- Empowering and brokering of services;
- Providing direct services;
- Regulatory functions; and
- Promotion and prevention.

Strategic Priorities and Challenges

Based upon the national, regional and local picture, there are a number of key strategic priorities and challenges which the Directorate must consider.

In particular, provisions for adult health and social care needs will be shaped by major legislative reform and the continued integration of social care and health services. The introduction of the Care Act 2014, and its implications on service delivery, as well as the provision requirements resulting from the Council's bid to the Better Care Fund, will form a significant amount of activity during the coming period.

The Directorate Plan reflects operational requirements while also taking into account the position and priorities of related Policy and Performance Boards. These two elements bond closely together to form the strategic outlook for the directorate. These priorities have been established as:

Health Policy and Performance Board

- Prevention
- Safeguarding
- Personalisation of Care and Support
- Quality Assurance
- Access to Care Services (including seven-day working)

Safer Policy and Performance Board

- Alcohol abuse
- Domestic abuse
- Anti-Social Behaviour – new tools and power
- Consumer Protection

Corporate Services Policy and Performance Board

- Enhancing residents quality of life through the Stadium and Catering Services; and
- An efficient, personal, professional Registration Service that touches everyone in Halton during their lives.

Employment, Learning & Skills and Community Policy and Performance Board

- Enhancing residents' quality of lives through sport and recreation, library and cultural services.

Environment and Urban Renewal Policy and Performance Board

- Minimising waste production, increasing recycling and reducing waste to landfill
- Tackling Environmental Crime and promoting positive behaviours
- Delivering services to help to maintain safe and attractive public open spaces and parks
- Provision of new cemetery.

Scrutiny Reviews

The Policy and Performance Boards continue to review and scrutinise areas of note. A number of scrutiny reviews have been undertaken during 2014 including (for the Health PPB) Care at Home and (for the Safer PPB) Domestic Abuse. Areas for scrutiny for 2015-16 will be chosen early into the year.

Financial Pressures

The Council continues to operate within a challenging financial climate. Despite these constraints we are obligated to meet our statutory responsibilities across all areas of operation and the Directorate will continue to play a key supporting role in this endeavour, for example through effective financial management and the integration of national policy initiatives with efficient arrangements for service delivery.

Integration

In a move towards greater integration across the work of the Council and NHS, the position of Operational Director for Transformation, as a joint venture between the NHS Halton Clinical Commissioning Group and the Communities Directorate, forms a pivotal arrangement for ensuring cohesive and cost-effective approaches to services. In particular, requirements of the Care Act 2014 will necessitate effective collaboration between health and social care provision.

Priorities in Focus

The priorities for the Plan have been set against a backdrop of extensive legislative change and increased financial pressures. They reflect the service requirements for the Borough, the focal areas identified by the Council's Policy and Performance Boards, and consider areas for development in relation to forthcoming issues faced by the Authority.

The following section outlines particular priorities emerging for the Directorate. The list is not exhaustive.

3.1 Health, Wellbeing and Social Care

3.1.1 The Care Act 2014

The **Care Act 2014** sets out a single, modern law for adult care and support that replaces outdated and complex legislation. The Act provides an opportunity to develop and promote a change in culture that reflects good practice into statute.

The premise underpinning the Act is that, if adult care and support in England is to respond to future challenges it must help people to stay well and remain independent.

To achieve this the Directorate must undertake activity to:

- Promote people's wellbeing
- Enable people to prevent and postpone the need for care and support
- Put people in control of their lives so they can follow opportunities to realise their individual potential

Fundamental to the provision under the Care Act is the requirement to work with both current and future service-users to identify and anticipate needs. **Prevention and early intervention** are key to this, and work undertaken by the Directorate is well-established and structured. Additional active engagement with the community will form new areas of work and the transfer of the Health Improvement Team (HIT) from the NHS to the Authority will underpin this approach. Approaches to **wellbeing** will be planned and delivered in cohesive and efficient ways, and will further ensure the integration of health and social care agendas.

The Directorate strives to put individuals at the heart of the provision and **Personalisation** has been embedded across adult social care services. The Care Act consolidates and legitimises the person-centred care and support approaches taken by the Authority and requires further development on process and practice already in place.

Among other duties aimed at enhancing person-centred approaches, the Act requires the Directorate to:

- Produce individual care and support plans for service-users and their carers (The Authority has a duty to assess whenever it appears there are care and support needs)
- Support and review a person's financial situation in relation to their personal budgets and direct payments
- Provide information and advice on eligibility for support

As with all additional duties coming under the Care Act, this will require workforce training and capacity development, and action plans will be rolled out over the coming period.

The Care Act provides a new statutory framework for adult protection. **Safeguarding** is everyone's business, and keeping people safe and ensuring that they are treated with respect and dignity continues to be a high priority for Halton Borough Council. Halton has an established multi-agency Safeguarding Board arrangement which has been a positive move forward in dealing effectively with safeguarding issues in a more cohesive way. The multi-agency team has a good skill mix and knowledge base in leading on safeguarding across Health and Social Care and on cases that have a complex safeguarding element to them. Its remit now needs to be expanded to take account of the Care Act's enquiry, inter-agency information sharing and continuity of care duties.

The Care Act significantly changes the provision for **carers**, who now have the same right as the person they care for in terms of assessment, support plan, direct payments, and service access. Wide-ranging work including engagement with carers across Halton is to be planned and undertaken to address these changes.

3.1.2 **Mental Health**

As the local older population increases due to people living longer, we have seen a significant increase in the number of people diagnosed with **dementia**. As a result of this we have developed the local dementia strategy - 'Living Well with Dementia in Halton: 2013-2018' - that aims to address the needs of people with dementia and their carers. The strategy outlines the importance of early diagnosis, particularly in Primary Care, access to services in the community and improved quality in accommodation based service provision, for example, residential care. The strategy has an associated action plan and implementation of this plan is the responsibility of the local Dementia Partnership Board.

Further activity around the area of dementia will involve the formation of a new **Halton Dementia Action Alliance** which will be jointly supported by the Authority and the CCG.

Following a Supreme Court ruling the Council has seen, and is set to further see, an increase in **Deprivation of Liberty Safeguards (DoLs)** applications. The judgements in the cases 'P v Cheshire West and Chester Council and another' and 'P and Q v Surrey County Council' determined arrangements made for the care and/or treatment of an individual lacking capacity to consent to those arrangements and state decisions to continuous supervision and control without option. The Council's arrangements and policy will need to be reviewed in line with this change.

Acute and related Mental Health Services – the redesigned pathways around acute services, aimed at preventing admissions and aiding recovery, are now well established. The Council's Mental Health social workers have co-located with colleagues from the 5 Boroughs NHS Foundation Trust and there is a multi-agency Mental Health Strategic Commissioning Board (CCG, HBC, 5 Boroughs and others) which oversees strategic developments. Current pressures include those upon acute beds in line with the national position, and continuing pressure upon the community care budget. A new Mental Health and Wellbeing Commissioning Strategy has been produced which sets out priorities up until 2018. Key in this is the preventative work undertaken by the Council's Public Health function. The Council's Mental Health Outreach team is currently piloting work with GP surgeries in order to identify people

who may benefit from this service and therefore prevent relapse, a further priority will be extending the range of day services and work related opportunities.

3.1.3 **Prevention**

There is growing recognition that **Loneliness** is a formidable problem with 10-13% of the population estimated to be acutely lonely. There is increasing evidence that people who are lonely are more likely to use health and social care services and a developing confirmation, through personal stories, of the emotional costs and misery that loneliness can cause. A Loneliness Strategy is now in place and incorporates various strands to help combat the issue. The **Visbuzz pilot project** (which uses tablet technology to keep people in touch with their family and friends, a befriending service, various social groups, tele-friending, intergenerational services and care homes twinned with schools are just some of the ways in which the Directorate has been addressing this particular challenge.

Falls are one of the Health and Wellbeing Board's key priorities in Halton. Falls are a leading cause of mortality due to injury amongst people over 65. Falls can have a serious impact on the quality of life of older people and can undermine the independence of an individual. Falls may be caused by a person's poor health or frailty, or by environmental factors, such as trip hazards inside and outside their home. Halton's Falls Strategy was implemented during 2013 and will be monitored through its action plan.

3.1.4 **Integration**

Developments across the health, wellbeing and social care landscape reinforce the requirements for social services to work in closer partnership with NHS and Health Services.

Since April 2013 Halton Borough Council and Halton Clinical Commissioning Group (HCCG) have had a Section 75 Agreement in place for the commissioning and provision of services for people with complex care needs. Pooling financial resources from Adult Social Care, Continuing Health Care, Intermediate Care and a range of grant allocations, the two organisations are working on improving the effectiveness and efficiency of services to ensure Halton people with complex needs will continue to receive high quality care and support into the future. This will continue to be achieved through streamlining assessment, support planning, commissioning and contracting arrangements. This work is led through the Complex Care Partnership Board with Marie Wright (portfolio holder for Health and Wellbeing) and Mike Wharton (portfolio holder for Resources).

Halton Borough Council and NHS Halton Clinical Commissioning Group are continuing to actively work together in conjunction with our partners on Halton's Urgent Care Working Group. A review and redesign of provision is being undertaken with emphasis on quality of and access to service.

The Better Care Fund (BCF), launched through the Spending Round in June 2013 and highlighted as a key element of public service reform, has a primary aim to '...drive closer integration and improve outcomes for patients and service users and carers'. The fund in Halton builds on the pooled budget arrangements already in place between the Council and the NHS Halton CCG, with a total BCF fund of £42M. The BCF fund covers the two-year period from April 2015 to March 2017. A portion of the funding is related to performance in non-elective admissions, which has been

set at a reduction of 3.5% over the two-year period. There are 19 schemes within the BCF and the monitoring of these schemes will be undertaken by the Better Care ECB and Better Care Board. Progress will be reported regularly to the Health and Wellbeing Board who have overall responsibility for the BCF.

For more information about the BCF, click on the link [here](#).

Additionally, the Council and HCCG are working with frontline health and social care teams to review our overall approach. Frontline integrated services include the following:

The **Care Homes Project** is a partnership project between Bridgewater Community NHS Trust, Halton Borough Council, Halton Clinical Commissioning Group, Halton and St Helens NHS and Warrington and Halton Hospitals NHS Trust. National and local audit data from the Care Quality Commission identifies that there are a range of healthcare interventions and services that may not be easily accessible to people who live in residential and nursing homes and as such their healthcare needs may not be appropriately met. These include the following areas: end of life care planning; medical cover; mental health support; dietetics and nutritional advice; access to therapy services; access to specialist services - tissue viability, falls, etc.; access to psychiatric services; access to Geriatricians; and multi-agency working.

A joint working initiative, in the form of a pilot entitled **'Living Well'**, is currently taking place across the community. The pilot engages with a number of agencies who come into contact with those 75 years and over. It involves conducting memory screenings, loneliness and falls assessments, and results in referrals where appropriate. The pilot runs until December 2014 after which evaluation is to take place to look at the potential for further development of the services being offered.

3.1.5 **Managing Needs and Access to Service**

Factors affecting **Urgent Care** requirements – for example, an ageing population and increased frailty; pressures on acute services across the NHS; changes to access of services (GP appointment systems); the need for rapid assessment and measures to defer more complex care - have impacted on Halton's need to take action. Halton is working closely with the CCG to look at the requirements for **Urgent Care Centres** within Runcorn and Widnes and will continue to collaborate on needs.

Intermediate Care multi-disciplinary team – the team help people stay living safely and independently in their homes for longer and with a better quality of life. They offer a wide range of Home Care, Intermediate Care and Reablement Services seven days a week that includes support from nurses, care assistants and occupational therapists. The team also support people recovering from a hospital stay and needing temporary help to maintain their independence and quality of life at home.

A shared out-of-hours **Emergency Duty Team** is already in place across Halton and St Helens, and is the subject of a formal partnership agreement. The current arrangement has drawn some interest from two local authorities who have engaged in preliminary discussions about joining the partnership. Halton Borough Council will be working in partnership with St Helen's Council to scope out and consider in detail the potential for developing future collaborations with these authorities.

3.1.6 **Complex Care**

The 2014/15 **Joint Health and Social Care Self-Assessment Framework** (SAF) builds on the 2013/14 submission released in late September 2014 and formally

submitted in January 2015. The SAF requires the local validation and sign-off by individuals who use services and the Learning Disability Partnership Board. Resultant data and information will be used to ensure a targeted approach is made towards ensuring that people with a learning disability are supported to stay healthy, be safe and live well.

The **Halton Autism Strategy** action plan is to be refreshed following the release of Government revisions to the implementation of the National Autism Strategy in 'Think Autism – Fulfilling and Rewarding Live (an update)'. Halton's alignment to the updated paper will ensure that local priorities parallel the national agenda and ensure that partners and stakeholders are engaged in the process and implementation of the action plan up to 2016. The annual self-assessment of progress made against the baseline position in 2012 will highlight evidence of good practice which can be shared and remaining challenges which need to be addressed.

The Department of Health's "Transforming Care a National Response to Winterborne View Hospital" set out a timetabled action plan with 63 areas that would improve the lives of individuals with Learning Disabilities and/or Autism. The action plan is designed to be implemented nationally with guidance and good practice cascaded to Local Authorities and CCGs for local implementation. In response, Halton has formed '**Halton Winterbourne Strategic Group**', a multi-agency strategic group that monitors and holds to account professionals working with individuals who are either an inpatient or are placed out of borough within a care home setting. This group reports to the Health and Wellbeing Board, Better Care Fund Board and Learning Disabilities Partnership Board.

The Local Authority and CCG are taking a joint approach to the completion and implementation of all the above programmes with a clear focus on improving life opportunities for individuals with Learning Disabilities and/or Autism. The Autism Strategy continues to be implemented. In 2015 the **Learning Disability Strategy** and **Transition Strategy** will be launched building on existing good practice and national developments, with particular reference to the Care Act (2014) and the Children and Families Act (2014), focussing on Special Education Needs Disabilities (SEND).

The **Positive Behaviour Support Service (PBSS)**, introduced in 2010, is aimed at meeting the needs of individuals with Learning Disabilities and/or Autism. PBSS employs Board-certified Behaviour Analysts (BCBA) who work with children and adults who present behaviours that challenge services and the team is a pivotal member of multi-agency teams. Halton's PBSS is the first of its kind within the country and, being based on evidence of positive outcomes, ensures that individuals access services and are given real-life opportunities. The PBSS team's model has been nationally recognised, winning the prestigious BILD Award for Innovation and Leadership during 2014. Building on this accolade and disseminating best practice will be key to service development. A **Positive Behaviour Support Strategy** is due for completion and will be taken forward over the next period. The strategy is informed by the recent publication by the LGA and NHS England, 'Ensuring Quality Services' and formalises Halton's innovative approach.

3.1.7 **Homelessness and Housing**

In line with the need to make savings and reduce pressure on already tight budgets, the Council's programme of Efficiency Reviews continues. **Halton Support Housing Network** is being reviewed as part of this programme and, during 2015, this will include a need to evaluate requirements for active support of complex needs.

The Council's **Housing Solutions** service has implemented effective prevention services. This foundation will be built upon over the coming period and re-evaluation of service needs will follow. Early intervention has the potential to create significant savings on more complex service requirements.

In the coming year, the Housing Solutions Team will be working towards accreditation under the Government's **Gold Standard** framework for homeless services, which is funded by the Department of Communities and Local Government and based on the Government report 'Making Every Contact Count'. This accreditation process comprises a sector-led peer review designed to deliver a more efficient and cost effective homelessness prevention service. The review follows a 10 step continuous improvement approach that starts with a pledge for local authorities aspiring to 'strive for continuous improvement in front line housing services' and culminates in an application for the Gold Standard Challenge.

Following consultation with young people across the Borough a **Youth Homelessness Strategy** is to be developed during 2015.

With new housing in mind, the authority is engaged with the **Liverpool City Region Combined Authority's Housing and Spatial Planning Board** and its developing role to recommend priorities across the City Region. The Board will look at managing the scale, mix and distribution of new housing development and the allocations of pooled public/private sector/LEP (local enterprise partnership) housing resources to meet key strategic priorities.

3.2 Safety, Community and Environment

3.2.1 Safety

The Halton Community Safety Team – is a multi-agency team of specialists committed to promoting community safety and harm reduction so that Halton is a safe place to live, work, and visit. Its purpose is to support partners and communities to identify and analyse local problems and to develop short and long term strategies and interventions that address community safety issues. The team is based in co-located buildings across Halton which enable all of the respective organisations involved to share information and intelligence in a quick, secure, and effective manner. In turn this enables smart and effective joined-up initiatives, operations, and orders to be delivered in a timely manner.

Safer Halton Partnership is the strategic arm of community safety and is made up of Halton Borough Council, NHS Merseyside/Halton/St Helens, Runcorn and Widnes Neighbourhood Policing Units (Cheshire Constabulary), Cheshire Fire and Rescue, Cheshire Probation Service, Halton Youth Offending Team, Registered Social Landlords (six main providers of housing) and community groups.

The partnership approach focusses on **seven key agendas**:

1. Anti-Social Behaviour (ASB)
2. Alcohol Harm and Licensing
3. Safeguarding Young people – Safer Schools Partnership / Education
4. Integrated Offender Management
5. Crime Reduction – Prevention and Education.

- 6. Supporting BME groups (Gypsy Traveller, Hate Crime)
- 7. Domestic Abuse

Anti-Social Behaviour, Crime and Policing Act 2014: Reform of anti-social behaviour powers

The commencement date for the new Anti-social behaviour (ASB) tools and powers was announced on 20th October 2014. This act will introduce new powers that may be useful in dealing with problem premises and ASB in our community.

Part 1-6 of the Anti-Social Behaviour Crime and Policing Act 2014 ("the Act") has created new tools and powers (replacing a number of other existing ones) that organisations are able to use to deal with ASB.

One of the purposes of the Act is to ensure that any response to anti-social behaviour is victim focussed. Therefore, it is important to ensure that a co-ordinated approach to dealing with ASB is undertaken so that local areas can meet the needs of victims of ASB.

ASB Victim and Witness Support Service Information

The service aims to provide an accessible supportive service to vulnerable and hard-to-reach groups and individuals in Halton who have suffered first-hand the effects of anti-social behaviour including:

- Building confidence to report issues and support to complete appropriate documentation such as diary sheets.
- Mediation / early intervention, for example, noise nuisance / neighbour disputes
- Referrals to other specialist agencies
- Development of self-reliant skills to enable individuals to feel safe and be safe in their own homes and the community.

The service also links with:

- Partnership Tasking and co-ordination - to drive environment improvements.
- ASB Enforcement Officer to ensure the triangle of victim / perpetrator and environment are considered and acted upon.
- Multi Agency Meetings - to ensure victims and witnesses are considered and identified
- Police Victim support service and court groups
- Integrated Offender Management - to support the victims of key ASB perpetrators
- Professional agencies - to encourage referrals into the service from all
- Victims and witnesses Issue appropriate literature to

The Service offers three levels of support:

Level 1: In conjunction with the Crime Reduction advisor, the service provides practical support to help victims and witnesses feel safer in their own homes: Free home security and safety checks, advice on crime prevention measures, panic alarms and advice on fitting additional door / window locks.

Level 2: If individuals have been affected by crime or anti-social behaviour the service helps to deal with the incident and its consequences through mediation,

health services, counselling, youth inclusion support panel / service and adult social care services.

Level 3: The ASB Victim and Witness Support Officer will offer advice, help and take care of the case by direct one-to-one visits, telephone contact, and evidence gathering, and helping with diary sheets, attendance at court and after court support.

Service Delivery Standard:

- Contact within 7 working days and assessment in 1-3 weeks dependent on risk and vulnerability
- Providing victims and witnesses with up to date information
- Enabling victims and witnesses to express the effect of the crime on them
- Practical and emotional support that is tailored to their needs

Service Demand:

The service has supported 518 individuals since it began in June 2008. 40 individuals are currently receiving support and 371 cases have been closed at the end of October 2014.

Referrals for the service have been received from numerous sources. The Police account for the largest number of referrals with 45% of the total followed by 28% from Housing Associations.

Future developments:

The Victim and Witness Service aims to sustain and develop the service in a difficult environment of austerity measures by using service user feedback to improve the service provision; developing a community based forum to identify community intelligence and introducing diversionary / reparation activities for perpetrators of ASB such as youth groups to strengthen the links with the Youth Offending Team (YOT), and identifying those referrals that may have undiagnosed mental health and alcohol related issues, to name just a few strategies.

Police and Crime Commissioners - The first elections of Police and Crime Commissioners (PCCs) took place on 15th November 2012 and John Dwyer was elected for Cheshire. PCCs will be elected for four years. Police and Crime Commissioners determine local policing priorities inclusive of scrutinising the performance of the Constabulary and are required to publish a five-year Police and Crime plan. This public document sets out the police and crime priorities and objectives for policing and crime reduction across the force area. The Plan may be refreshed each year and may be fully reopened at the PCCs discretion.

PCCs in consultation with Chief Constable set the annual force budget which is based on grants and funding streams accessed. These services are set out in the plan where their objectives and funding will be publicly disclosed. The plan is published and remains a public document including any updates or amendments made during the five-year period.

PCCs have a general duty to regularly consult and involve the public and have regard to the local authority and national policing priorities. PCCs also exercise regional power and influence over the development and work of local Community Safety Partnerships (CSPs) via the following powers and duties:

- the reciprocal duty for PCCs and CSP responsible authorities to cooperate with each other for the purposes of reducing crime and disorder

- the power to bring a representative of any or all CSPs in the PCCs area together to discuss priority issues
- the power to require reports from CSPs about issues of concern
- the power to approve mergers of CSPs (on application of the CSPs concerned)
- the power to commission community safety work from a range of local partners including (such commissioning of crime and disorder reduction work is not limited to CSPs but can include community, voluntary sector or commercial providers)

PCCs are scrutinised by Police and Crime Panels, which are formed of a minimum of 10 representatives from the local authorities in the force area. The duties of the panel include requiring the PCC to respond to any concerns they have and making recommendations on the crime plan and annual reports. The Panel is not a replacement for the Police Authority so the panel will only scrutinise the actions and decisions of the Commissioner.

Halton Domestic Abuse Forum (HDAF) Strategic Group was established to provide overall direction, control management and guidance for the response to domestic abuse and sexual violence within Halton. It is a multi-agency partnership board comprised of lead officers and key representatives which take strategic decisions aimed at tackling domestic abuse and sexual violence in their widest forms and provide support to all victims within our area. The Forum is responsible for determining and implementing policy, coordinating activity between agencies, and facilitating training. HDAF promotes inter-agency cooperation, encourages and develops effective working relationships between different services and agencies. Implementation of the **HDAF Domestic Abuse Strategy: Multi-Agency Domestic Abuse and Sexual Violence Strategy 2014-17** – will continue to shape service delivery over the coming period.

Alcohol Licensing Enforcement – The Safer Halton Partnership Licensing team work closely with venues and local businesses to promote a healthy Night Time Economy. They assure the health and wellbeing of the Halton residents with robust action where licence conditions are not complied with.

Achievements and objectives:

- Halton has 18 venues which have attained the Cheshire Constabulary Arc Angel standard offering a safe environment for families with children.
- The Halton Pub Watch continues to be expanded and supported by the team.
- Irresponsible alcohol advertising in Halton is to be monitored and tackled.
- Close partnership working with other agencies continues to be promoted - County Fire, Immigration Enforcement, The Gambling Commission, Trading Standards and Environmental Health - for a fair and transparent Halton business strategy.
- The Safer Partnership actively promotes the work currently carried out in Widnes by Street Pastors and are looking to expand the service to Runcorn.
- Engagement with Public Health and the organisation OURLIFE with regards to Licensing Policy, Fixed Unit Pricing and Responsible Retailing is maintained.
- The Licensing team also offer venues
 - Incident and scene preservation training, scene kit provision
 - Close Circuit TV commissioning tests
 - Responsible retailing advice
 - Talks on current and future Licence conditions

Hate Crime Strategy - The Halton Hate Crime and Harassment Reduction Strategy for 2011 – 2016 has been revised this year. The strategy identifies and coordinates all aspects of our work on tackling and reducing hate crime. The aim of this strategy is to identify and respond to locally established priorities for tackling hate crime and reinforce the benefits of taking a partnership approach to all hate incidents. It promotes effective and coordinated action against hate crime which involves providing various forms of practical assistance, building capacity for interaction and alliance for services being delivered in Halton, as well as developing confidence in the criminal justice system and mechanisms for reporting hate crime to bring perpetrators to justice.

3.2.2 **Community and Residents' Quality of Life**

Introduction of the Government's '**Universal Infant Free School Meals**' in state-funded schools from September 2014, has been implemented across Halton resulting in a significant increase in service delivery. The Directorate has conducted a recruitment drive to achieve delivery of the service and needs to monitor resourcing of the initiative. The longer term impact of this initiative is sustained health benefits as well as influencing educational attainments. Within Halton, as a result of high deprivation, the scheme is likely to have a significant impact on the community.

During 2014, the **Brindley** celebrated its 10th anniversary. A programme of celebratory events was widely publicised and it is hoped that these additional activities will revitalise interest in the coming year's programme.

An **Arts Strategy** has been developed involving consultation with key stakeholders and the public. The strategy forms the template for the development of arts in Halton over the next two years. It will involve close collaboration with the Arts Council England and includes Arts and Health, youth participation in all art forms, public art, and the development of creative industries.

Norton Priory Trust has received a £3.6M Heritage Lottery grant. Significant redevelopment is now to commence.

The **Halton Sports Strategy**, 2012 to 2015 details the Directorate's priorities up to 2016 and seeks to enhance work in increasing participation and widening access to sport; the further development and strengthening of sports club; coach education and volunteer development; sporting excellence; finance and funding for sport; and the enhancement of sports facilities and provision.

The Council has an extensive programme of **physical activity** initiatives designed to improve health and develop healthy life styles. The current physical activity initiatives in Public Health will need to be integrated further with this programme.

School Dinner Money – The collection of school dinner money is an extremely time-consuming task. The cash, once collected from the children, is collected by a security company and taken to the bank. Officers also have to spend time reconciling the money which has been received in the Council's account. During 2014 trial of a new system called "All Pay" took place in four schools. It is hoped that this new system will reduce time and cost. "All Pay" works through payments for school meals using the internet, a mobile phone or at a Paypoint. A full and thorough evaluation of the trial is to take place with a view to extending the scheme if it proves to be effective.

Following consultation, the **Halton Library Strategy**, 2013 to 2016, sets out the vision, priorities and development of the service until 2016. The strategy covers five key areas which will ensure the service develops and supports reading as a key life skill; help people gain ICT skills to access government services, jobs, and information; ensure we keep pace with new technological developments to keep and extend our customer base; ensure we engage with the community and continuously improve the service we deliver and ensure we provide a welcoming highly skilled workforce so that libraries are enriching experiences and provide access to resources and information that the community wants and requires.

Library Services are undergoing an extensive Efficiency Review; however it is hoped that the new structure will continue to support the delivery of the strategy. As budgets continue to shrink, the need to work in different and more efficient ways will continue to be explored. Shared services between authorities on both an individual and regional basis have been discussed and developed to some extent over the last few years. Regional purchasing of stock provides a good example of the economies that can be achieved through this approach. Further opportunities are to be explored within the new libraries structure.

Armed Forces Covenant (pan Cheshire) – a commitment to ensure those in service, about to leave service, veterans and their families are not disadvantaged in accessing services and support for housing, education, employment and benefits, health and wellbeing. Partnership support is necessary to ensure appropriate sign posting and referral arrangements exist between agencies so that we are better able to support our service men and woman with transitional arrangements.

Halton's network of **Community Centres** is to be promoted as Community Hubs. The range of services accessed through them is to be reviewed and increased, and will include activity aimed at community cohesion as well as initiatives to encourage the integration of health and social services.

Halton Registration Service - This statutory service has set an aim of maximising revenues (through increased marketing, promotion and customer choice) and reducing costs (through increased efficiency, process improvement and cost recovery). Underpinned by core values of innovation, professionalism and provision of high-quality value-for-money services, the small team has developed a vision to become “*a vital service that touches everyone in Halton during their lives*” and a mission “*to provide an efficient personal and professional service*”. The Service has implemented a radical service improvement programme particularly on its systems and processes which has, since 2010, provided year-on-year increases to its income.

3.2.3 **Supporting and Enhancing the Environment of Halton**

Given the financial pressures faced by the Council and the increasing costs associated with waste disposal, a key challenge will be to concentrate efforts to minimise **waste** production within the borough, increase recycling levels and reduce the amount of waste sent to landfill.

Raising awareness on waste matters and changing people's behaviour will be vital in reducing the Council's costs of dealing with waste. A key priority will therefore be to increase community engagement and educational activities. This work will be supported by the development of Community Engagement and Awareness Raising strategies. These strategies will set out how we will engage with members of the local community, the methods of communication, and the messages that will be used to promote and encourage waste minimisation and increased recycling.

Halton residents have consistently identified clean and safe streets, and **parks and open spaces** as critical factors in making their neighbourhoods a good place to live. It is crucial that we continue to prevent and reduce issues such as littering, fly-tipping and dog fouling by tackling those responsible for committing environmental crime offences. This will require a combination of both effective educational and enforcement activities and collaboration with key local partners and external agencies such as Housing Associations and Cheshire Police. Activities will include the delivery of targeted campaigns to promote responsible behaviour, regular enforcement patrols, the issuing of Fixed Penalty Notices and, where necessary, prosecuting those who commit environmental crime offences.

3.3 Emerging requirements

The Directorate will continue to ensure that people who use our services experience positive outcomes. Emerging agendas and developments will be progressed where they deliver improvements which:

- Enhance the quality of life for people with care and support needs
- Reduce and/or delay the need for care and support
- Ensure that people have a positive experience of care and support
- Safeguard adults whose circumstances make them vulnerable and protecting from avoidable harm
- Maintain a safe and viable environment for the people who live and work in the local area
- Encourage community cohesion and pride in the Borough of Halton

4.0 FACTORS AFFECTING THE DIRECTORATE

There are numerous factors that have been identified as having a potential impact on the delivery of services during the life of this Plan. Some of the main factors are outlined below: -

POLITICAL	SOCIAL FACTORS
The integrated working requirements across social care and health, including with Public Health and the Clinical Commissioning Group	Ageing Population resulting in pressures on acute health services
Implementation of the Care Act 2014 and the delivery of the Better Care Fund objectives	Dementia rising sharply amongst over 65s
Increased joint working with neighbouring Authorities	Rise in need for informal carers and how the Local Authority works with and supports them
Halton Clinical Commissioning Group	Greater access to information, choice and control, and further advances towards personalised care
Joint Strategic Needs Assessment (Joint Health & Wellbeing Boards)	Increased expectations of the social care workforce and the need to monitor standards and provide upskilling and progression opportunities
Health and Wellbeing Strategy	Maintaining changing attitude towards waste and increased participation in recycling, through increased customer engagement
ECONOMIC CLIMATE	TECHNOLOGICAL DEVELOPMENTS
Continued budgetary pressures	Telecare/Telehealth
Better Care Fund	Visbuzz pilot
Increased need to work with social enterprises and the voluntary sector to meet social care requirements due to budgetary constraints	Calls for greater data sharing across services to safeguarding welfare of service-users and provide more integrated ways of working – issues to overcome in relation of data protection
Personal Budget Holders and self-funders – potential impact on choices of services accessed	Carefirst Financials – implementation of real-time finance data for costings of services – to be captured within Carefirst
Anticipated rise in need for Housing Solutions services, such as Mortgage Rescue Service (MRS), as interest rates start to rise	Technology will be used to deliver ‘in-cab’ communications solutions for waste collection vehicles
Increasing levels of waste diverted from landfill will reduce the Council’s spend on waste disposal	Technology will be used to improve communication and community engagement on waste matters
Cutting Crime Together	Connecting Cheshire broadband project will provide significant positive impact on the Digital Agenda
Police and Crime Commissioner introduced 2012	

LEGISLATIVE	ENVIRONMENTAL
<p>Care Act 2014 Major reform to the law relating to the care and support of adults, including standards of care; the funding of care, and requirements to steer service users through the complexities of care funding and signpost to independent advice; new rights to appeal against decisions on service eligibility; support for carers; and provisions for safeguarding against abuse and neglect. Additional requirement for Local Authority intervention in wellbeing and preventative services.</p>	<p>Commencement of work on the Mersey Gateway – contingencies to be monitored in relation to disruptions to service. For example, refuse collection.</p>
<p>Supreme Court judgement on DoLs assessments</p>	<p>New Cemetery space required in Widnes by 2016. A site has been identified and it is anticipated that a new cemetery can be created before burial spaces run out at the existing Widnes site</p>
<p>Universal Infant Free School Meals</p>	<p>HLF Parks for People bid, to regenerate Runcorn Hill Park, was successful and work is underway to meet programme objectives</p>
<p>Revised EU Waste Framework Directive</p>	<p>HLF Heritage bid to see Sankey Canal from Spike Island to Fiddlers Ferry Marina restored to navigation</p>
<p>Anti-Social Behaviour, Crime and Policing Bill 2013</p>	<p>Affordable Warmth Strategy</p>
<p>Legislation changes to local authority enforcement powers against householders who commit waste offences</p>	

NB – text in blue and underlined indicates a hyperlink to further information.

5.0 ORGANISATIONAL INITIATIVES

There are a number of initiatives that have been developed at an organisational level to ensure consistency and synergy between individual business units of the Council. As such these initiatives are relevant to the work of all Directorates of the Council and have implications for, and are supported by, the work of the individual departments that sit beneath them. Such initiatives include:

5.1 Equality, Diversity and Community Cohesion

Halton Council is committed to ensuring equality of opportunity within all aspects of its service design and delivery, policy development, and employment practices. This commitment is reflected in a range of policies, strategies, and other framework documents and practices that underpin the work of the Council through its day-to-day operational activities.

The Council reviewed and refreshed its [Single Equality Scheme](#) in 2009. As a result of the introduction of the Equalities Act (2010), the scheme has recently been further reviewed and refined slightly to ensure that it remains current and fit for purpose.

The scheme sets out the Council's approach to promoting and securing equality of opportunity, valuing diversity and encouraging fairness, and creating and promoting a social environment in which people can work, learn, and live free from discrimination and victimisation in all of its forms. The Council will combat discrimination throughout the organisation and will use its position of influence in the borough to help to identify and remove discriminatory barriers and practices where they are found to exist.

The Council has developed a systematic approach to examine and address the equality implications of its existing and future policies, procedures, and practices through the use of a Community Impact Review and Assessment process.

The Public Sector Equality Duty requires the authority to publish equality information annually and the progression of equality-related issues will be monitored through this process.

Work continues within the Directorate to improve the access and the signposting of members of the Black and Minority Ethnic communities to support services that:

- Advise on housing options
- Establish the skills to maintain appropriate permanent housing
- Enable service users to remain in their own homes, and avoid eviction and homelessness
- Provide access other services including health, social care, education, training and leisure services.
- Help to ensure the more vulnerable amongst the minority and hard-to-reach communities can live independently
- Help prevent minority communities from feeling socially excluded and/or isolated, and provide community development support to build engagement mechanisms
- Support Gypsies and Travellers to access services including health, social care and education.

Directorate Equalities Group strives to develop and maintain a systematic approach to ensure that equality and diversity are embedded within our Directorate and members of the group will take on board the responsibility of being Equality and Diversity Champions.

5.2 Environmental Sustainability

The Council is committed to taking a lead and setting an example in tackling climate change. The Council has developed a Carbon Management Plan that will support the organisation in managing its carbon emissions and developing actions for realising carbon and financial savings and embedding carbon management into the authority's day-to-day business.

The Plan was reviewed and updated during 2011/12, with a revised energy emissions reduction target and it is now set at a reduction of between 5% and 10% over 2010/11 figures for a 5 year period. The main measure included in the revised plan is the Green House Gas emissions indicator, which differs from the previous carbon emissions indicator.

The GHG emissions figure for 2011/12 was 23,917 tonnes CO₂ which was a 7.3% reduction on the 2010/11 figure. This total figure breaks down as follows:-

Corporate buildings	- 7505 tonnes CO ₂ (estimated)
Schools	- 8393 tonnes CO ₂ (estimated)
Street lighting	- 6211 tonnes CO ₂ (estimated)
Vehicle fleet	- 1359 tonnes CO ₂ (estimated)
Business Miles	- 449 tonnes CO ₂ (estimated)

To improve the focus on achieving its targets the Directorate, through the Carbon Group, will develop specific plans and, where appropriate, specific reduction targets around buildings and vehicle fleet and business miles

Linked to the development of the Affordable Warmth Strategy, which aims to raise awareness of fuel poverty and build on referral mechanisms, it is also intended to improve properties in terms of energy efficiency through appropriate insulation and improved heating systems, which will contribute to the Council's commitment to tackling Climate Change issues.

Eco-friendly solar panels at the Stadium are due to generate income of £12,000 a year for the Council as well as saving up to £3,000 a year in energy bills. The Council will benefit from income from the feed in tariff from the solar panels – 32.9 p for every kWh it generates income which will increase year-on-year in line with inflation. The total energy saving will be in the region of £75,000 over 25 years.

The Stadium also continues to drive forward its commitment to enhancing energy efficiency particularly around its electrical consumption. Through raising staff awareness of how they can reduce energy consumption and the resulting impact it could have on the environment along with a number of investments in energy initiatives such as the fitting of low energy devices, Voltage Optimization System and appliances to reduce water waste, since 2006/7 the Stadium has seen a reduction in over 27% of its electrical consumption, not just having an impact on the environment but also having the effect of generating cost savings.

Open Space Services continues to develop areas of woodland for the purposes of carbon capture and in order to take areas out of intensive management that requires the burning of carbon based fuels. Through the management of twelve local nature reserves and through environmental good practice, underpinned by a partnership with the Cheshire Wildlife Trust and with Mersey Forest the Division works to ensure biodiversity throughout the Borough.

The Council is committed to improving a good quality of life for the people of Halton and one of the ways this can be achieved is through allotment gardening. Being part of the allotment gardening community brings an opportunity to meet and share experiences with people from all walks of life. There are also health and social benefits which can give plot-holders a

sense of well-being. Our aim is to continue to build on the good practices and positive improvements, but the biggest obstacle is the shortage of growing space. .

Halton is working with local authorities and Registered Providers in Merseyside and third sector organisation Fusion 21 to develop a fully worked up bid for European Regional Development Fund (ERDF) resources to provide energy efficiency measures to vulnerable households in the sub region, following a successful expression of interest. If successful, the bid should enable new technologies such as combined heat and power systems to be installed in selected social rented blocks and provide solid wall insulation for hard to treat properties.

5.3 Risk Management

Risk Management, which forms a key element of the strategic and performance management processes of the Council, is a business discipline that is used to effectively manage potential opportunities and threats to the organisation in achieving its objectives.

Risk assessments are the process by which departments identify those issues that are, or may be, likely to impede the delivery of service objectives. Such risks are categorised and rated in terms of both their probability, i.e. the extent to which they are likely to happen, and their severity i.e. the potential extent of their impact should they occur.

Following such assessments a series of risk treatment measures are identified that will mitigate against such risks having an adverse impact upon the delivery of departmental / organisational activities.

Each Directorate will maintain a Risk Register which will be reviewed and refreshed in conjunction with the annual budget setting and business planning process. Additionally the implementation of risk treatment measures will be monitored by the appropriate Strategic Director and reported through quarter 2 mid-year performance reports.

5.4 Arrangements for managing Data Quality

Good quality data provides the foundation for managing and improving services, determining and acting upon shared priorities, and accounting for performance to inspecting bodies and the local community.

In recognising this, the Council has developed a Corporate Data Quality Strategy that will provide a mechanism by which the authority can be assured that the quality of its data remains robust and fit for purpose. This strategy, which will remain subject to periodic review, identifies five key corporate objectives and establishes the key dimensions of good quality data i.e. that data is

Accurate:	For its intended purpose;
Valid	By being consistently recorded and used in compliance with predetermined definitions and rules;
Reliable	By reflecting stable and consistent data collection processes;
Timely	By being made available as soon as possible after the activity or event and in line with organisational requirements;
Relevant	For the purpose intended;

Complete

In that the monitoring of incomplete, missing or invalid data is avoided as far as is possible.

DRAFT

6.0 ORGANISATIONAL & DIRECTORATE STRUCTURE

The Council is committed to consistently managing the delivery of its services in the most cost efficient way that maximises the effectiveness of its available resources.

As a result of this continuing drive for efficiency as of April 2011, the Council has reduced the number of Directorates from four to three with an overall reduction in the number of departments to eleven.

The Council recognises the value of corporate working and that effective communication channels, both internally between Directorates and externally with partners, are a pre-requisite to success. It therefore has in place complementary arrangements at different organisational levels to ensure that the organisation works as an integrated and unified entity.

In support of this approach results-based matrix management practices, through for example project implementation groups, are used to bring together expertise and knowledge from across the organisation in order to optimise the response to community needs and aspirations.

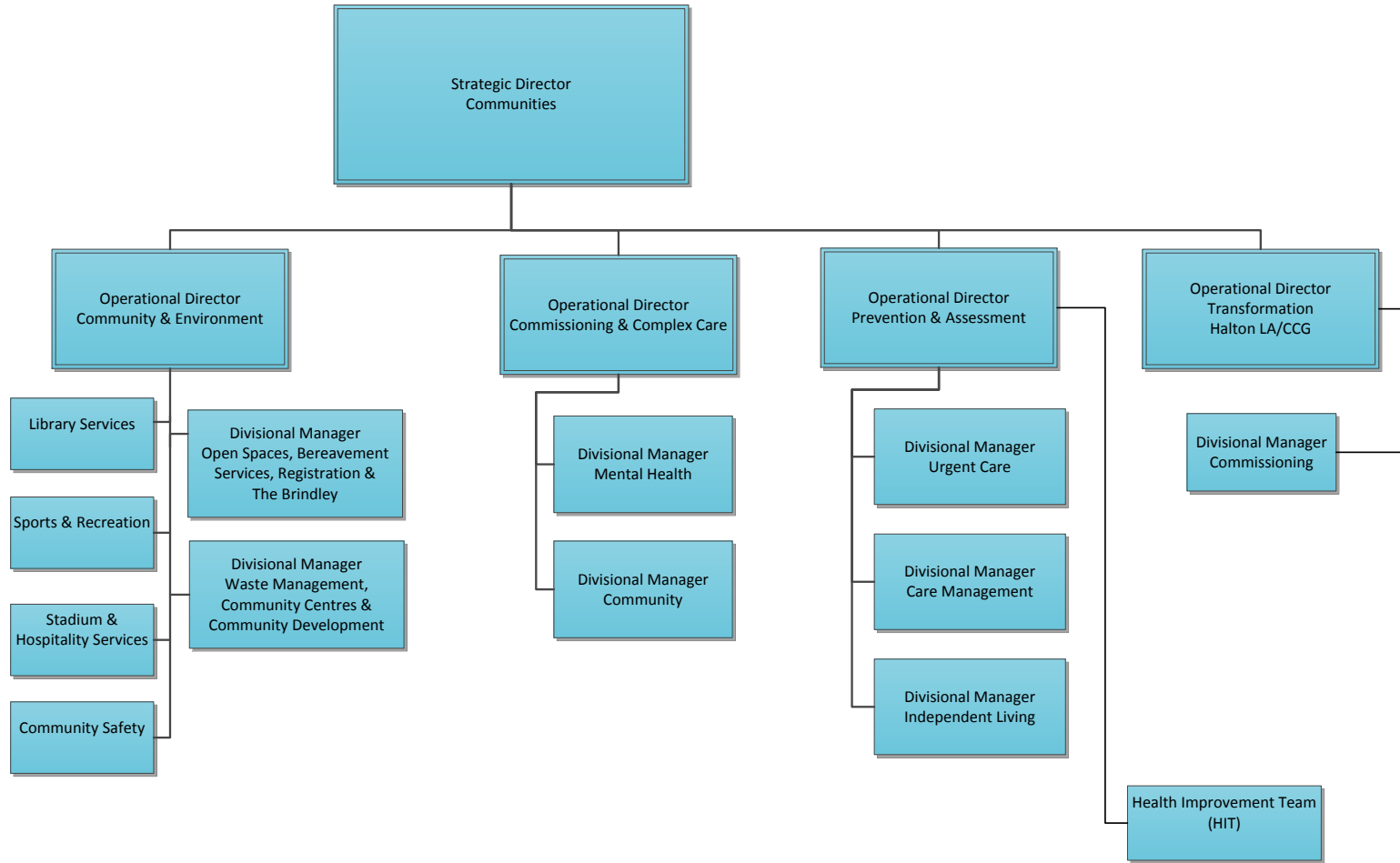
Lead Officers are identified to drive and direct corporate initiatives to bring together elements of the Councils activities which, for the purposes of day to day management, may sit within all or any of the different Directorates.

Each of the Directorate Plans is aligned to and supports the delivery of one or more of the Councils six organisational and five partnership strategic priorities as detailed within the Corporate Plan and Sustainable Community Strategy respectively.

The Strategic Director for the Communities Directorate has a wide community leadership role and the services undertaken by the Directorate are delivered from the following three Departments:

- Community and Environment Services;
- Commissioning and Complex Care Services; and
- Prevention and Assessment Services.

The chart overleaf provides an overview of those functions that fall within the Communities Directorate.



Who are the services for?

Many of the services that the Directorate provides are universal – any Halton resident can access them - and some of the services (such as The Brindley or The Stadium) can be used by people from outside the Borough as well. Other services, mainly within the Social Care element of the Directorate, are restricted in their access, and only apply to people who meet the published criteria for their services.

Similarly, some services (such as the libraries) are free at the point of access, whilst others have a charge, either at the time or – again, in the case of Social Care services – through an invoicing process.

What are we for?

Each of the services within the Directorate meets the needs of different groups of people. A short description of each of the Departments is provided below:

6.1 Community and Environment Services

The Community and Environment Department has an important role to play in addressing health issues, personal development, community safety and community cohesion, social inclusion and the quality of life for Halton people. Being predominantly concerned with the delivery of key front line services, the Department acts as an interface between the public of Halton and the Council. The Department provides services in four main areas:

- Community Safety
- Open Space, Bereavement Services, Registration and The Brindley
- Stadium, Sport, Libraries and Catering
- Waste and Environmental Improvement, Community Centres and Community Development

The Department is responsible for helping to maintain and improve Community Safety. Working with other partner agencies, the Community Safety Team identifies and provides solutions to local problems and is involved in the delivery of a co-ordinated approach to making public spaces and communities safe through a combination of preventative measures and actions to tackle offenders.

Open Space Services is responsible for the management and development of the physical fabric of the Borough's parks, children's play areas, cemeteries, sports grounds, green spaces, allotments, local nature reserves promenades and the green infrastructure associated with the highway network. Through its Cemeteries and Crematorium section, it meets the requirements of the bereaved in relation to burial and cremation, and through its Streetscene Section it is also responsible for the delivery of street cleansing services Borough wide. The service also organises and promotes major events throughout the Borough. The service also manages the Brindley theatre and through its Registration Service, the Division conducts civil marriages and partnerships, citizenship ceremonies, and facilitates the registration of births, marriages, and deaths.

Stadium and Catering includes the management of the Select Security Stadium Halton which is Halton Borough Council's flagship sporting, health and fitness facility. It is a major cultural asset of the Borough, providing a first class venue for multiple sports and leisure provision, it also has successful and well-developed commercial activities and significant community links to various community and sporting groups. Sport and physical activity is promoted through a Sports Development Team that has excellent relationships with key organisations in the public, private and voluntary sector. The team covers a wide range of important work areas delivering activity, providing assistance to new and established sports groups and manage the Leisure Centre contract. The library service has a statutory responsibility to provide a

comprehensive and efficient service to the whole community. Halton has a vibrant and innovative library service delivered through four public libraries, a mobile library, a satellite facility in Castlefields Community Centre, an outreach home delivery service and through digital access. Libraries are key resources in their local communities providing books, information and technology which promotes lifelong learning, digital inclusion and celebrates reading. They are important community spaces which offer a welcoming neutral environment and host a range of cultural activities, events and opportunities for all sectors of the community.

The Catering Service offers the provision of a comprehensive catering service to schools that ensure all Central Government guidelines on healthy eating are being adhered to, a dedicated management support service that is responsive to the requirements of each school/building, professional and technical advice on all catering issues, including design and concept issues, full catering facilities at one staff restaurant and three coffee shops, on-site catering facilities for working lunches, buffets, committee teas etc. It is also responsible for the delivery of the community meals service, ensuring that the meals delivered are of a high standard, that they meet people's nutritional needs and that the targets for delivery are met.

Waste and Environmental Improvement Services is responsible for ensuring that the Council fulfils its statutory functions and obligations as a Principle Litter and Waste Collection and Disposal Authority, including the development of waste strategies and policies, the management and development of the Council's operational waste and recycling services and for the delivery of enforcement and regulatory activities relating to waste. The Service includes the Community Involvement Team; responsible for Community Development, Community Centres and Local Area Forums, generating the capacity for effective and inclusive community engagement activity to enable the delivery of community initiatives to tackle strategic objectives and community needs. The Community Centres provide a community hub, a central point at the heart of local communities for residents to enjoy chosen activities and receive services in their neighbourhoods. The Centres are based in deprived wards in the Borough and contribute to a whole areas approach to health and wellbeing and provide a nucleus to support wider community activity. Local Area Forums enable decision making and policy developments to be taken into local communities and help bridge the gap between key agencies working within the Borough.

6.2 Commissioning and Complex Care Services

The Commissioning and Complex Care Department commissions a wide range of residential/nursing, day and support services from the voluntary and independent sectors. All these services are specifically designed to enable rehabilitation, encouraging people to retain or regain independence or to offer supported environments for them to live within Halton, whenever possible.

The Department is responsible for providing an operational front-line Housing Options service, focussed on homelessness prevention. The team also manages the Council's permanent Gypsy site and unlawful encampments.

The Department provides an assessment and care management service for people with mental health and substance misuse problems. In addition, the Department supports the delivery of the Emergency Duty Out-of-Hours Service, which covers Children's Services and all Adult areas.

The Department promotes active partnerships with the health services and the private, voluntary and independent sectors, to deliver high quality care to people within the local community who have complex needs.

The Positive Behaviour Support Service was established in 2010 and offers skilled specialist support to people of all ages living in community settings who have a learning disability, often

including autism spectrum conditions and who present with behaviour that challenges services.

6.3 Prevention and Assessment Services

The Prevention and Assessment Department focuses its activities on vulnerable Adults (over the age of 18) in providing a wide range of services to support them to maintain independent living, good health and wellbeing. Support for early intervention includes the work of the Sure Start to Later Life service and the Health Improvement Team (HiT).

The overall focus is on maximising people's independence through interventions such as prevention, rehabilitation and reablement, telecare and telehealth equipment, and Health and Well-Being services and with the provision of high quality care, in partnership with the NHS, private and voluntary sectors.

The department also provides an assessment, care management and personalisation service for people with physical, sensory or learning disability and older people.

The Department's aim is also to facilitate people out of hospital as quickly as possible and provide necessary equipment and services to them in a timely way through the multi-disciplinary teams.

Urgent Care focuses on all urgent and emergency care services in providing high quality, safe, responsive care using a whole system approach.

The Department also leads on Safeguarding with an Integrated Safeguarding Unit, which is provided in partnership with the Clinical Commissioning Group.

7.0 RESOURCES

7.1 Budget Summary & Service Costs

COMMUNITIES DIRECTORATE
Revenue Budget 2015-16

	Annual Budget £'000
Expenditure	
Employees	
Other Premises	
Supplies & Services	
Book Fund	
Food/Bar Provisions	
Contracted Services	
Transport	
Emergency Duty Team	
Aids & Adaptations	
Contribution to JES	
Leisure Mgt Contract	
Waste Disposal Contracts	
Consumer Protection Contract	
School Meal Provisions	
Community Care;	
Residential & Nursing Care	
Homecare & Supported Living	
Direct Payments	
Block Contracts	
Day Care	
Payments to Providers	
Contribution to IC Pool Budget	
Grants to Voluntary Organisations	
Other Agency	
Capital Financing	
Total Expenditure	
Income	
Residential & Nursing Fees	
Direct Payments	
Other Community Care Income	
Community Care PCT Reimbursement	
Fees & Charges	
Sales & Rents	
School Meal Sales	
School SLA Income	
School Meals Other Income	
PCT reimbursement	
Government Grants & Other Reimbursements	
LD & Health Reform Allocation	
Transfer from Reserve	
Internal Fee Income	
Capital Salaries	
Total Income	

Net Operational Expenditure	
Recharges	
Premises Support	
Asset Charges	
Departmental Support recharges	
Central Support Recharges	
Transport recharges	
Support services recharges income	
Net Total Recharges	
Total Communities Directorate	

COMMUNITIES DIRECTORATE
Revenue Budget 2015/16 – Departmental Analysis

Departments/ Divisions	Annual Budget £'000
Prevention & Assessment	
Care Management	
Independent Living	
Intermediate Care	
Regulatory Services	
Operational Director	
Total	
Commissioning & Complex Care	
Mental Health	
Commissioning	
Community Safety	
Community Services	
Operational Director	
Total	
Community & Environment	
Commercial Catering	
Leisure & Recreation	
Open Spaces Services	
School Catering	
Stadium	
Waste & Environment Improvement Services	
Total	
Total Communities Directorate	

**COMMUNITIES DIRECTORATE
Capital Programme 2015-16**

Scheme	Annual Budget £'000
Stadium Minor Works Children's Playground Equipment Landfill Tax Credit Schemes Open Spaces Scheme Runcorn Cemetery Extension Litter Bins Bungalows at Halton Lodge	
Total	

7.2 Human Resources

The Directorate is made up of a diverse workforce. Workforce is key to the authority being able to deliver on its strategic priorities and objectives.

Communities Directorate: Workforce figures (Position as at October 2014)

Data	Contract Type	Commissioning & Complex Care	Community & Environment	Prevention & Assessment	Grand Total
FTE (Full Time Equivalent)	Casual	13.81	38.08	10.96	62.85
	Fixed Term	15.16	9.20		24.36
	Permanent	158.94	419.60	178.79	757.34
	Secondment	1.00	0.27	3.00	4.27
	Temporary	13.65	11.81	11.09	36.56
Total Sum of FTE		202.56	478.96	203.85	885.37
Count of Position	Casual	40	578	85	703
	Fixed Term	16	10		26
	Permanent	207	644	241	1092
	Secondment	1	1	3	5
	Temporary	20	18	15	53
Total Count of Position		284	1251	344	1879

Casual FTE calculated as: Total hours in previous 12 months for Hours Claimed, divided by 37 (normal full-time hours), divided by 52.143 (no. of weeks in a working year)

These figures represent a staffing body made up of just over 1,800 positions. The work undertaken by those in these positions equates to almost 900 full-time equivalents. This signifies a workforce that is flexible and therefore more resilient, thus enabling service continuity and minimising risks associated with potential absences.

The Directorate employs staff in a wide range of functions including, day care workers, home care assistants, librarians, activity coaches, occupational therapists, customer services staff, social workers, bereavement officers, registration officers and managerial staff. Staff members provide a range of support services to the public, as well as lifestyle, leisure and environmental infrastructure facilities.

The Directorate (and the Council as a whole) is committed to training and developing its staff and has an employee appraisal system in place, in the form of the Employee Development Review (EDR). The EDR is conducted annually, with future learning and development goals being outlined in Personal Action Plans. The Personal Action Plan is revisited within a six-month period with a view to monitoring progress and reassessing needs.

Within Adult Social Care services and support functions regular supervision complement the EDR to ensure a consistently high standard of performance and to aid ongoing support of employee wellbeing.

In order to assure the provision of quality services a national move towards standardisation within Adult Social Care is prompting a Directorate requirement to evaluate workforce learning and development needs. National standards and frameworks requiring the monitoring of professional registration, maintenance of continued professional development and the sustained upskilling of the workforce have led to a proposal to develop a Health and Social Care Workforce Strategy during 2015.

Throughout environmental services, and including Open Spaces and Waste Management, ongoing training needs analysis is made, in particular to assure the health and safety of employees and the public they serve. During 2015, a review of the data management systems for recording training is to be completed, allowing the Directorate to strengthen its position in being able to report requirements and anticipate need.

In anticipating human resource requirements, Waste Management and Open Spaces have run a successful Apprentice scheme as part of their overall succession planning. In recognition of the programme's success, the Council was shortlisted in the Liverpool City Region Apprenticeship Awards 2013 as a finalist in the category of Apprentice Employer of The Year. At the same awards, one of the Waste Apprentices was shortlisted for the award of Halton Apprentice of the Year. The Apprenticeships have seen a substantial success rate in progression through the scheme and in gaining subsequent sustained employment.

Other focussed learning and development is taking place throughout the Directorate, including take-up of the Council's Post Entry Training Fund, which offers financial support for job-relevant qualifications not covered by internal provision. Additionally, key individuals within the Libraries Services are undertaking six online learning modules to become Digital Champions.

7.3 ICT Requirements

The Information Technology requirements/developments across the Directorate include: -

- The continued implementation of Carefirst 6
- The implementation of Care Financials
- Mobile working, for example, the use of Laptops with 3G technology, digital pen technology system within Home Care
- The pilot of electronic monitoring within one the Directorate's contracted providers of care.
- The continued use of Telecare and Telehealth to promote independence and choice for people.
- The Council's in-house ICT Business Services Team will develop systems and support the interfacing with specialist technology equipment to help deliver efficiencies and improve the quality and effectiveness of the Council's waste and environmental improvement services. This will involve the utilisation of technology to optimise waste collection schedules as well as installation of in-cab communication technologies to provide two-way communication between service delivery staff and the Contact Centre.

7.4 Property Requirements

The Property requirements/developments across the Directorate include:-

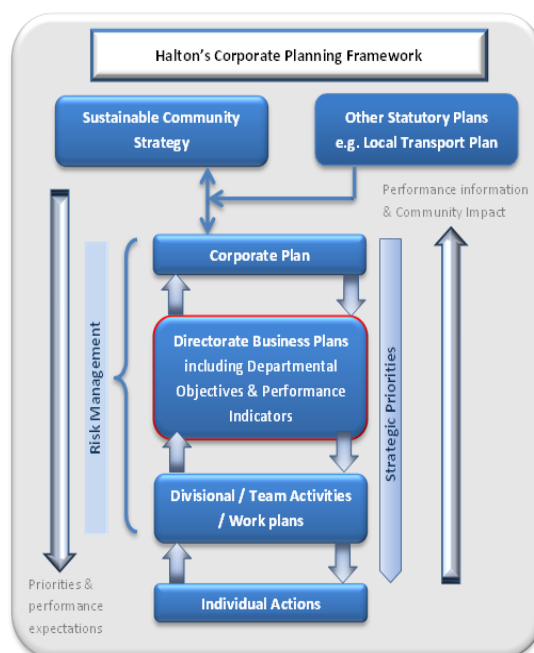
- Widnes Cemetery has only 5 years capacity remaining and existing cremators are now life-expired. Extra capacity (15 years) has been created at Runcorn through an extension of the existing facility. Following the work carried out by a working group a site has been identified for a new cemetery at Widnes and has gained approval from the Executive Board.
- The Leisure Management Contract comes to an end in 2016, given the financial pressures faced by the Council a review of the current building stock is being undertaken and future management options explored.
- The Council has prepared a Playing Pitch strategy, the action plan identifies priorities that resources should be sought for.
- The Health Improvement Team and Trading Standards were integrated into the Authority during 2014. This involved accommodating additional staffing and reconfiguration of office space within Runcorn Town Hall. This will continue to be monitored to ensure maximisation of space.

8.0 BUSINESS PLANNING

Directorate Plans form an integral part of the authority's corporate planning framework, as illustrated within the diagram opposite.

This framework ensures that the Council's operational activities are complementary to the delivery of its community aspirations and legal and statutory responsibilities.

Such plans, and the Quarterly Monitoring Reports that flow from them, are an essential tool in enabling the public, Elected Members, Senior Management, and staff how well Council departments are performing and what progress is being made in relation to improving the quality of life within the borough and service provision for local people, businesses and service users.



Performance Monitoring and Reporting

It is imperative that the Council and interested members of the public can keep track of how the Council and its Departments are progressing and that mechanisms are in place to enable councillors and managers to see whether the service is performing as planned.

As a result Departmental progress will be monitored through:

- **The day to day monitoring by Strategic Directors through their regular interaction with Operational Directors;**
- **Provision of Quarterly progress reports to Corporate and Directorate Management Teams;**
- **The inclusion of Quarterly progress reports as a standard item on the agenda of all the Council's Policy and Performance Boards.**
- **Publication of Quarterly monitoring reports on the Council's intranet site.**

In demonstrating its commitment to exploiting the potential of Information and Communications Technology to improve the accessibility of its services and related information an extensive range of documentation, including this plan and its associated quarterly monitoring reports, are available via the Council's website at

<http://www3.halton.gov.uk/content/councilanddemocracy/council/plansandstrategies>

Additionally information and assistance can be accessed through any of the Council's Halton Direct Link facilities (HDL) or the Council's libraries.

9.0 APPENDICES

Appendix 1: Departmental Service Objectives / Milestones and Performance Indicators

Appendix 2: National Policy Guidance / Drivers

Community & Environment Services

Service Objectives/Milestones/Performance Indicators:

2015 – 2018

Departmental Service Objectives

Corporate Priority	A Healthy Halton					
Key Area Of Focus	AOF 1 – Improve the future health prospects of Halton residents, particularly children, through encouraging and providing opportunities to lead healthier and physically active lifestyles. AOF 2 – Providing services and facilities to maintain and promote good public health and well-being.					
Service Objective:	CE1 - Increase participation in sport and physical activity, thereby encouraging better lifestyles.					
Key Milestone(s) (15-16)	<ul style="list-style-type: none"> • Continue to deliver new Sports Strategy (2012-15) – March 2016. (KEY) • Prepare 2016-2020 Sports Strategy • Active people survey results report adult sports participation rates in Halton continue to be maintained or increase compared to previous years – March 2016 (KEY) 					
Key Milestone(s) (16-17)	<ul style="list-style-type: none"> • Monitor and review all CE1 Measures in line with three year planning cycle. March 2017 (KEY) 					
Key Milestones (17-18)	<ul style="list-style-type: none"> • Monitor and review all CE1 Measures in line with three year planning cycle March 2018 (KEY) 					
Risk Assessment	Initial	Medium	Responsible Officer	Sport and Recreation Manager	Linked Indicator(s)	CE LI 5
	Residual	Low				

Corporate Priority	A Healthy Halton Environment and Regeneration in Halton Corporate Effectiveness & Efficient Service Delivery
Key Area Of Focus	<p>AOF 1 – Improve the future health prospects of Halton residents, particularly children, through encouraging and providing opportunities to lead healthier and physically active lifestyles.</p> <p>AOF 2 – Providing services and facilities to maintain and promote good public health and well-being.</p> <p>AOF 19 – Conserve, manage and enhance public spaces for leisure and recreation and foster conservation by protecting key areas.</p> <p>AOF 22 – Build on our customer focus by involving more service users in the design and delivery of services, and ensuring equal access for all users.</p>

Service Objective:	CE2 - Increase the community usage of The Select Security stadium and to maintain and improve the health of Halton residents					
Key Milestone(s) (15-16)	<ul style="list-style-type: none"> Identify areas for improvement in line with the Business Plan and Marketing Plan (this will drive the development of milestones for 2016/17). January 2016 (KEY) 					
Key Milestone(s) (16-17)	<ul style="list-style-type: none"> Identify areas for improvement in line with the Business Plan and Marketing Plan (this will drive the development of milestones for 2017/18). January 2017 (KEY) 					
Key Milestone(s) (17-18)	<ul style="list-style-type: none"> Identify areas for improvement in line with the Business Plan and Marketing Plan (this will drive the development of milestones for 2018/19). January 2018 (KEY) 					
Risk Assessment	Initial	High	Responsible Officer	Operational Director Community & Environment	Linked Indicator(s)	CE LI 2
	Residual	Low				

Corporate Priority	A Healthy Halton
Key Area Of Focus	AOF 1 – Improve the future health prospects of Halton residents, particularly children, through encouraging and providing opportunities to lead healthier and physically active lifestyles.

Service Objective:	CE3 - Increase the number of Pupils having a school lunch, to raise awareness and increase levels of healthy eating.					
Key Milestone(s) (15-16)	<ul style="list-style-type: none"> Deliver a promotion and educational campaign (AOF 1) September 2015 and January 2016 (KEY) 					
Key Milestone(s) (16-17)	<ul style="list-style-type: none"> Deliver a promotion and educational campaign (AOF 1) September 2016 and January 2017 (KEY) 					
Key Milestone(s) (17-18)	<ul style="list-style-type: none"> Deliver a promotion and educational campaign (AOF 1) September 2017 and January 2018 (KEY) 					
Risk Assessment	Initial	Medium	Responsible Officer	Schools Catering Manager	Linked Indicator(s)	CE LI 1,3,6,7,8,9,14,15
	Residual	Medium				

Corporate Priority	Employment, Learning & Skills, Children and Young People in Halton, Corporate Effectiveness & Efficient Service Delivery
Key Area Of Focus	<p>AOF 6 – To develop a culture where learning is valued and skill levels throughout the adult population and across the local workforce can be raised.</p> <p>AOF 7 – To promote and increase the employability of local people and tackle barriers to employment to get more people into work.</p> <p>AOF 13 – To improve outcomes for children by increasing educational attainment, health, stability and support during transition to adulthood.</p> <p>AOF 14 – To deliver effective services to children and families by making best use of available resources.</p> <p>AOF 22 – Build on our customer focus by involving more services users in the design and delivery of services, and ensuring equal access for all users.</p>

Service Objective:	CE4 – Increase the use of libraries promoting reader development and lifelong learning, thereby encouraging literacy and skills and quality of life opportunities.					
Key Milestone(s) (15-16)	<ul style="list-style-type: none"> Implement the action plan for delivery of the Library Strategy 2013-16 - March 2016. (KEY) Deliver a programme of extended informal learning opportunities including support for digital inclusion meeting identified local targets - March 2016. (KEY) 					
Key Milestone(s) (16-17)	<ul style="list-style-type: none"> Monitor and review all CE4 milestones in line with three-year planning cycle. March 2017. (KEY) 					
Key Milestone(s) (17-18)	<ul style="list-style-type: none"> Monitor and review all CE4 milestones in line with three-year planning cycle. March 2018. (KEY) 					
Risk Assessment	Initial		Responsible Officer	Library Services Manager	Linked Indicator(s)	CE LI 4, 4a
	Residual					

Corporate Priority	Environment and Regeneration in Halton
Key Area Of Focus	<p>AOF 18 – To provide a high quality built environment that is sustainable, affordable and adaptable to meet the needs and aspirations of all sections of society.</p> <p>AOF 19 – To conserve, manage and enhance public spaces for leisure and recreation and foster conservation by protecting key areas.</p>

Service Objective:	<i>CE 5 - Continue to improve Parks, Sports Grounds, Open Spaces and Local Nature Reserves.</i>					
Key Milestone(s) (15-16)	<ul style="list-style-type: none"> • <i>Woodland Expansion - Additional 200m² of Woodland planted Borough wide - March 2016.</i> 					
Key Milestone(s) (16-17)	<ul style="list-style-type: none"> • <i>Woodland Expansion - Additional 200m² of Woodland planted Borough wide - March 2017.</i> 					
Key Milestone(s) (17-18)	<ul style="list-style-type: none"> • <i>Woodland Expansion - Additional 200m² of Woodland planted Borough wide - March 2018.</i> 					
Risk Assessment	Initial	Medium	Responsible Officer	Divisional Manager Open Space Services	Linked Indicator(s)	CE LI 12, 13
	Residual	Low				

Corporate Priority	Environment and Regeneration in Halton					
Key Area Of Focus	AOF 20 – Improve environmental quality by minimising waste generation and maximising reuse, recycling, composting and energy recovery.					
Service Objective:	CE6 Implementation of actions to ensure the Council achieves its targets and objectives relating to waste and climate change.					
Key Milestone(s) (15-16)	<ul style="list-style-type: none"> Continue to deliver communications and awareness raising initiatives to ensure that participation with the Council's recycling services is maximised and that residents comply with the requirements of the Council's Household Waste Collection policy. March 2016. 					
Key Milestone(s) (16-17)	<ul style="list-style-type: none"> Continue to deliver communications and awareness raising initiatives to ensure that participation with the Council's recycling services is maximised and that residents comply with the requirements of the Council's Household Waste Collection policy. March 2017. 					
Key Milestone(s) (17-18)	<ul style="list-style-type: none"> Continue to deliver communications and awareness raising initiatives to ensure that participation with the Council's recycling services is maximised and that residents comply with the requirements of the Council's Household Waste Collection policy. March 2018. Ensure that all necessary operational plans are in place in readiness for the commencement of the Merseyside and Halton Resource Recovery Contract. September 2017. 					
Risk Assessment	Initial	Medium	Responsible Officer	Divisional Manager Waste & Environment Services	Linked Indicator(s)	CE LI 10, 11
	Residual	Low				

Corporate Priority	Environment and Regeneration in Halton					
Key Area Of Focus	AOF 20 – Improve environmental quality by tackling climate change, minimising waste generation and maximising reuse, recycling, composting and energy recovery.					
Service Objective:	CE7 - Undertake actions to maintain a clean, safe and attractive borough.					
Key Milestone(s) (15-16)	<ul style="list-style-type: none"> Continue to review and assess the effectiveness of the Council's Environmental Enforcement Plans and Policies and maintain actions to ensure that the Council continues to effectively prevent and tackle a range of waste and environmental offences - March 2016. 					
Key Milestone(s) (16-17)	<ul style="list-style-type: none"> Continue to review and assess the effectiveness of the Council's Environmental Enforcement Plans and Policies and maintain actions to ensure that the Council continues to effectively prevent and tackle a range of waste and environmental offences - March 2017. 					
Key Milestone(s) (17-18)	<ul style="list-style-type: none"> Continue to review and assess the effectiveness of the Council's Environmental Enforcement Plans and Policies and maintain actions to ensure that the Council continues to effectively prevent and tackle a range of waste and environmental offences - March 2018. 					
Risk Assessment	Initial	N/A	Responsible Officer	Divisional Manager Waste & Environment Services	Linked Indicator(s)	N/A
	Residual	N/A				

Departmental Performance Indicators

Ref ¹	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Cost & Efficiency

CE LI 1	No. of meals served versus hourly input of labour (Previously SH1).	10.51	10.00	10.00	10.00	10.00
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Fair Access

<u>CE LI 2</u> KEY	Diversity – number of community groups accessing stadium facilities (Previously CE LI 4 [13/14], SH4).	Not Available	15	15	15	15
CE LI 3	Number of catering staff achieving a formal qualification (Previously CE LI 5 [13/14], SH5).	78	25	30	30	30

Ref ²	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Service Delivery

<u>CE LI 4</u> (KEY)	Number of active users (physical & digital resources) of the library service during the last 12 months (Previously CE LI 6 [13/14])	16,780	16,500	16,500	16,920	tbc
<u>CE LI 4a</u> (KEY)	Number of physical and virtual visits to libraries (annual total) (Previously CE LI 6a [13/14])	675,989	680,000	612,000	612,000	tbc
<u>CE LI 5</u> (KEY)	% of adult population (16+) participating in sport each week (Previously CE LI 7 [13/14], NI 8).	23.1%	24.0%	24.0%	24.0%	24.0%
<u>CE LI 6</u> (KEY)	% Take up of free school meals to those who are eligible - Primary Schools (Previously CE LI 8 [13/14], SH LI 8a).	85.12%	85%	85%	87%	87%
<u>CE LI 7</u> (KEY)	% Take up of free school meals to those who are eligible - Secondary Schools (Previously CE LI 9 [13/14], SH8b).	75.81%	72.5%	75%	77.5%	77.5%
CE LI 8	Take up of school lunches (%) – primary schools (Previously CE LI 10 [13/14], NI52a).	52.12%	55%	65%	65%	65%

Ref ³	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

CE LI 9	Take up of school lunches (%) – secondary schools (Previously CE LI 11 [13/14] NI52b)	55.22%	55%	57%	57%	57%
CE LI 10	Residual household waste per household (Previously CE LI 13 [13/14], NI191)	624 Kgs	593 Kgs	593 Kgs	593 Kgs	593 Kgs
CE LI 11 Formerly CE LI 14 [2013/14])	Household waste recycled and composted (Previously NI192).	38.53%	38%	40%	42%	42%

Quality

CE LI 12	Satisfaction with the standard of cleanliness and maintenance of parks and green spaces. (Previously CE LI 17 [13/14], EAR LI2)	Not available	92%	92%	92%	92%
CE LI 13	Improved Local Biodiversity – Active Management of Local Sites (Previously CE LI 19 [13/14], NI 197)	50.94%	54%	55%	56%	56%

Ref ⁴	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Quality / cost

CE LI 14	Food cost per primary school meal (pence) (Previously CE LI 20 [13/14], SH6a)	0.71p	76p	78p	80p	82p
CE LI 15	Food cost per secondary school meal (pence) (Previously CE LI 21 [13/14], SH6b)	0.97p	94p	95p	96p	98p

Commissioning & Complex Care Services

Service Objectives/Milestones/Performance Indicators:

2015 – 2018

Departmental Service Objectives

Corporate Priority:	A Healthy Halton A Safer Halton Corporate Effectiveness and Efficient Service Delivery
Key Area Of Focus:	<p>AOF 4 Providing services and facilities to maintain the independence and well-being of vulnerable people and those with complex care needs within our community.</p> <p>AOF 11 Everyone is able to live in an environment free from abuse, and where abuse does occur support is given to individuals and their families and action is taken against perpetrators to prevent any re-occurrence.</p> <p>AOF 12 Supporting individuals and their families to address the problems caused by drug and alcohol misuse, enabling them to become active citizens who can play a full and meaningful part in the community.</p> <p>AOF 21 Engaging with partners and the community, to ensure that our priorities, objectives, and targets are shared, evidence based, regularly monitored and reviewed, and that there are plausible delivery plans to improve the quality of life in Halton, and help narrow the gap between the most disadvantaged neighbourhoods and the rest of Halton.</p>

Service Objective:		Responsible Officer
	CCC 1 – Working in partnership with statutory and non-statutory organisations, evaluate, plan, commission and redesign services to ensure that they meet the needs and improve outcomes for people with Complex Care needs	
Key Milestone(s) (15/16)	<ul style="list-style-type: none"> ▪ Continue to monitor effectiveness of changes arising from review of services and support to children and adults with Autistic Spectrum Disorder. Mar 2016. (AOF 4) (KEY) 	<i>Operational Director</i> (Commissioning & Complex Care)
	<ul style="list-style-type: none"> ▪ Continue to implement the Local Dementia Strategy, to ensure effective services are in place. Mar 2016. (AOF 4) (KEY) 	Operational Director (Commissioning & Complex Care)

	<ul style="list-style-type: none"> Continue to work with the 5Boroughs NHS Foundation Trust proposals to redesign pathways for people with Acute Mental Health problems and services for older people with Mental Health problems. Mar 2016. (AOF 4) (KEY) 	Operational Director (Commissioning & Complex Care)		
	<ul style="list-style-type: none"> <i>Fully embed a behaviour solutions approach to develop quality services for adults who challenge services - models of good practice to continue to be developed.</i> Mar 2016. (AOF 4) 	Operational Director (Commissioning & Complex Care)		
	<ul style="list-style-type: none"> The Homelessness strategy be kept under annual review to determine if any changes or updates are required. Mar 2016. (AOF 4, AOF 18) (KEY) 	Operational Director (Commissioning & Complex Care)		
	<ul style="list-style-type: none"> <i>Continue to reconfigure homelessness services provided in Halton in line with the recommendations of the Homelessness Scrutiny Review.</i> Sept 2015. (AOF 4, AOF, 18) 	Operational Director (Commissioning & Complex Care)		
	<ul style="list-style-type: none"> <i>Ensure specialist support services provided by the Sexual Assault Referral Centre to victims of a serious sexual offence continue to be fit for purpose.</i> Mar 2016. (AOF11) 	Operational Director (Commissioning & Complex Care)		
Key Milestone(s) (16/17)	<ul style="list-style-type: none"> Monitor and review all CCC 1 milestones in line with three year planning cycle. Mar 2017. 	Operational Director (Commissioning & Complex Care)		
Key Milestone(s) (17/18)	<ul style="list-style-type: none"> Monitor and review all CCC 1 milestones in line with three year planning cycle. Mar 2018. 	Operational Director (Commissioning & Complex Care)		
Risk Assessment	Initial	High	Linked Indicators	CCC1, CCC2, CCC3, CCC4, CCC5, CCC6, CCC7, CCC8, CCC9, CCC10, CCC11, CCC12, CCC19, CCC20
	Residual	Medium		

Corporate Priority:	A Healthy Halton Corporate Effectiveness & Efficient Service Delivery
Key Area Of Focus:	<p>AOF 21 Engaging with partners and the community, to ensure that our priorities, objectives, and targets are shared, evidence based, regularly monitored and reviewed, and that there are plausible delivery plans to improve the quality of life in Halton, and help narrow the gap between the most disadvantaged neighbourhoods and the rest of Halton.</p> <p>AOF 22 Build on our customer focus by involving more service users in the design and delivery of services, and ensuring equal access for all users.</p>

Service Objective:	CCC 2 - Effectively consult and engage with people who have Complex Care needs to evaluate service delivery, highlight any areas for improvement and contribute towards the effective re-design of services where required			Responsible Officer
Key Milestone(s) (15/16)	<ul style="list-style-type: none"> Ensure Healthwatch is established and consider working in partnership with other Councils to deliver this. Mar 2016. (AOF 21) 			Operational Director (Commissioning & Complex Care)
Key Milestone(s) (16/17)	<ul style="list-style-type: none"> Monitor and review all CCC 2 milestones in line with three year planning cycle. Mar 2017. 			Operational Director (Commissioning & Complex Care)
Key Milestone(s) (17/18)	<ul style="list-style-type: none"> Monitor and review all CCC 2 milestones in line with three year planning cycle. Mar 2018. 			Operational Director (Commissioning & Complex Care)
Risk Assessment	Initial	Medium	Linked Indicators	CCC13, CC14, CCC15, CCC16, CCC17, CCC18, CCC19, CCC20
	Residual	Low		

Corporate Priority:	Corporate Effectiveness & Efficient Service Delivery
Key Area Of Focus:	<p>AOF 21 Engaging with partners and the community, to ensure that our priorities, objectives, and targets are shared, evidence based, regularly monitored and reviewed, and that there are plausible delivery plans to improve the quality of life in Halton, and help narrow the gap between the most disadvantaged neighbourhoods and the rest of Halton.</p> <p>AOF 24 Ensuring that we are properly structured, resourced and organised with informed and motivated staff with the right skills, who are provided with opportunities for personal development. This ensures decision makers are supported through the provision of timely and accurate advice and information.</p> <p>AOF 25 Manage financial resources effectively whilst maintaining transparency, prudence and accountability to our stakeholders. Enhance our procurement arrangements to further reduce the cost of acquiring goods and services.</p>

Service Objective:	CCC 3 - Ensure that there are effective business processes and services in place to enable the Directorate to manage, procure and deliver high quality, value for money services that meet people's needs	Responsible Officer
Key Milestone(s) (15/16)	<ul style="list-style-type: none"> Undertake on-going review and development of all commissioning strategies, aligning with Public Health and Clinical Commissioning Group, to enhance service delivery and continue cost effectiveness, and ensure appropriate governance controls are in place. Mar 2016. (AOF 21 & 25) 	Operational Directors (Commissioning & Complex Care, Prevention & Assessment, Transformation – CCG)
Key Milestone(s) (16/17)	<ul style="list-style-type: none"> Monitor and review all CCC 3 milestones in line with three-year planning cycle. Mar 2017. 	Operational Director (Commissioning & Complex Care)
Key Milestone(s) (17/18)	<ul style="list-style-type: none"> Monitor and review all CCC 3 milestones in line with three-year planning cycle. Mar 2018. 	Operational Director (Commissioning & Complex Care)

Risk Assessment	Initial	Medium	Linked Indicators	N/A
	Residual	Low		

Departmental Performance Indicators

Ref ⁵	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Service Delivery

CCC 1	Adults with physical disabilities helped to live at home per 1,000 population (Previously CCC2 [13/14], CSS 6)	7.26	8.0	8.0	8.0	8.0
CCC 2	Adults with learning disabilities helped to live at home per 1,000 population (Previously CCC3 [13/14], CSS 7)	4.34	4.0	4.0	4.0	4.0
CCC 3	Adults with mental health problems helped to live at home per 1,000 population (Previously CCC4 [13/14], CSS 8, previously AWA LI13)	2.64	3.5	3.0	3.0	3.0

Ref ⁶	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Service Delivery

CCC 4	The proportion of households accepted as statutorily homeless who were accepted as statutorily homeless by the same LA within the last 2 years (Previously CCC5 [13/14])	0	1.2	1.2	1.2	1.2
CCC 5	Number of households living in Temporary Accommodation (Previously CCC6 [13/14], NI 156)	12	12	11	10	10
CCC 6	Households who considered themselves as homeless, who approached the LA housing advice service, and for whom housing advice casework intervention resolved their situation (the number divided by the number of thousand households in the Borough) (Previously CCC7 [13/14], PCS 11)	2.0	5	5.5	6	6.5
CCC 7	Carers receiving Assessment or Review and a specific Carer's Service, or advice and information (Previously CCC8 [12/13], CCC14, NI 135)	21.29	25	25	25	25

Ref ⁷	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Fair Access

CCC 8	Number of learning disabled people helped into voluntary work in the year (Previously CCC9 [13/14], CSS 2)	101	100	100	100	100
CCC 9	Number of physically disabled people helped into voluntary work in the year (Previously CCC10 [13/14], CSS 3)	11	10	10	10	10
CCC 10	Number of adults with mental health problems helped into voluntary work in the year (Previously CCC11 [13/14], CSS 4)	42	25	20	20	25
CCC 11	Proportion of Adults in contact with secondary mental health services in paid employment (ASCOF 1F, Previously CCC12 [13/14])	8.3%	13	10	10	10
CCC 12	Proportion of Adults with Learning Disabilities in paid employment (ASCOF 1E) (previously CCC13 [13/14], PA30 [12/13], NI 146)	5.4	7.5	Tbc	Tbc	Tbc

Ref ⁸	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Quality

CCC 13	Social Care-related Quality of life (ASCOF 1A, Previously CCC14 [13/14]). (This figure is based on combined responses of several questions to give an average value. A higher value shows good performance)	19.4	20	20	20	20
CCC 14	The Proportion of people who use services who have control over their daily life (ASCOF 1B, Previously CCC15 [12/13])	81%	80%	80%	80%	80%
CCC 15	Carer reported Quality of Life (ASCOF 1D, (this figure is based on combined responses of several questions to give an average value. A higher value shows good performance)	n/a	8.5	n/a	9.0	n/a
CCC 16	Overall satisfaction of carers with social services (ASCOF 3B, Previously CCC17 [13/14])	n/a	47	n/a	50	n/a
CCC 17	The proportion of carers who report that they have been included or consulted in discussions about the person they care for (ASCOF 3C, Previously CCC18 [13/14])	n/a	77	n/a	80	n/a
CCC 18	Overall satisfaction of people who use services with their care and support (ASCOF 3A, Previously CCC19 [13/14])	68%	70%	70%	70%	70%

Ref ⁹	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18
Area Partner Indicators (Included in the Sustainable Community Strategy)						
CCC 19 SCS SH7a	Increase the percentage of successful completions (drugs) as a proportion of all treatment (over 18) Previously CCC21 [13/14]	30.5% (Feb 13 – Jan 14)	Above NW Average	Above NW Average	Above NW Average	Above NW Average
CCC 20 SCS SH8a	Reduce the number of individuals re-presenting within 6 months of discharge (Previously CCC22 [13/14])	6.1% (Jan 2014)	Above NW Average	Above NW Average	Above NW Average	Above NW Average

Prevention & Assessment Services

Service Objectives/Milestones/Performance Indicators:

2015 – 2018

Departmental Service Objectives

Corporate Priority:	A Healthy Halton A Safer Halton Corporate Effectiveness & Efficient Service Delivery
Key Area Of Focus:	<p>AOF 2 Providing services and facilities to maintain and promote good public health and well-being.</p> <p>AOF 3 Working with service users to provide services focussed around intervention and prevention and where this is not possible, helping people to manage the effects of long term conditions.</p> <p>AOF 4 Providing services and facilities to maintain the independence and well-being of vulnerable people and those with complex care needs within our community.</p> <p>AOF 10 To improve the outcomes of vulnerable adults and children, so they feel safe and protected and when abuse does occur there are local procedures and processes in place to ensure that the abuse is reported and appropriate action taken against perpetrators and to support victims.</p> <p>AOF 21 Engaging with partners and the community, to ensure that our priorities, objectives, and targets are shared, evidence based, regularly monitored and reviewed, and that there are plausible delivery plans to improve the quality of life in Halton, and help narrow the gap between the most disadvantaged neighbourhoods and the rest of Halton.</p>

Service Objective: PA 1	Working in partnership with statutory and non-statutory organisations, evaluate, plan, commission and redesign services to ensure that they meet the needs and improve outcomes for vulnerable people	Responsible Officer
Key Milestone(s) (15/16)	<ul style="list-style-type: none"> ▪ Monitor the effectiveness of the Better Care Fund pooled budget ensuring that budget comes out on target (AOF 21 & 25) March 2016 (KEY) 	Operational Director (Prevention & Assessment)
	<ul style="list-style-type: none"> ▪ <i>Integrate frontline services with community nursing (AOF 2, 4, & 21) March 2016</i> 	Divisional Manager (Urgent Care)
	<ul style="list-style-type: none"> ▪ <i>Develop and implement the Care Management Strategy to reflect the provision of integrated frontline services for adults (AOF 2,3 & 4) March 2016</i> 	Operational Director (Prevention & Assessment)

	<ul style="list-style-type: none"> Implement the Care Act (AOF 2,4, 10, 21) NEW (KEY) 			Operational Director (Prevention & Assessment)
	<ul style="list-style-type: none"> <i>Develop an integrated approach to the delivery of Health and Wellbeing across Halton (AOF 2, 4, 21) March 2016</i> 			Operational Director (Prevention & Assessment)
Key Milestone(s) (16/17)	<ul style="list-style-type: none"> Monitor and review all PA 1 milestones in line with three year planning cycle. Mar 2017. 			Operational Director (Prevention & Assessment)
Key Milestone(s) (17/18)	<ul style="list-style-type: none"> Monitor and review all PA 1 milestones in line with three year planning cycle. Mar 2018. 			Operational Director (Prevention & Assessment)
Risk Assessment	Initial	Medium	Linked Indicators	PA 1, PA 2, PA 3, PA 4, PA 5, PA 6, PA 6b, PA 7, PA 8, PA 9, PA 10, PA 11, PA 12, PA 13, PA 14, PA 15, PA 16, PA 17, PA 18, PA 19, PA 20
	Residual	Medium		

Corporate Priority:	A Healthy Halton A Safer Halton Corporate Effectiveness & Efficient Service Delivery
Key Area Of Focus:	<p>AOF 2 Providing services and facilities to maintain and promote good public health and well-being.</p> <p>AOF 3 Working with service users to provide services focussed around intervention and prevention and where this is not possible, helping people to manage the effects of long term conditions.</p> <p>AOF 4 Providing services and facilities to maintain the independence and well-being of vulnerable people and those with complex care needs within our community.</p> <p>AOF 10 To improve the outcomes of vulnerable adults and children, so they feel safe and protected and when abuse does occur there are local procedures and processes in place to ensure that the abuse is reported and appropriate action taken against perpetrators and to support victims.</p> <p>AOF 21 Engaging with partners and the community, to ensure that our priorities, objectives, and targets are shared, evidence based, regularly monitored and reviewed, and that there are plausible delivery plans to improve the quality of life in Halton, and help narrow the gap between the most disadvantaged neighbourhoods and the rest of Halton.</p>

Service Objective: PA 2	Responsible Officer
Continue to effectively monitor the quality of services that are commissioned and provided in the borough for adult social care service users and their carers.	
Key Milestone(s) (15/16)	<ul style="list-style-type: none"> ▪ <i>Continue to establish effective arrangements across the whole of adult social care to deliver personalised quality services through self-directed support and personal budgets. Mar 2016.</i> (AOF 2, AOF 3 & AOF 4)
Key Milestone(s) (16/17)	<ul style="list-style-type: none"> ▪ Monitor and review all PA 2 milestones in line with three year planning cycle. Mar 2017.

Key Milestone(s) (17/18)	<ul style="list-style-type: none"> Monitor and review all PA 2 milestones in line with three year planning cycle. Mar 2018. 		Operational Director (Prevention & Assessment)	
Risk Assessment	Initial	Medium	Linked Indicators	PA 1, PA 2, PA 3, PA 4, PA 5, PA 6, PA 6b, PA 7, PA 8, PA 9, PA 10, PA 11, PA 12, PA 13, PA 14, PA 15, PA 16, PA 17, PA 18, PA 19, PA 20
	Residual	Medium		

Departmental Performance Indicators

Ref ¹⁰	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Service Delivery

PA 1	Numbers of people receiving Intermediate Care per 1,000 population (65+) (Previously PA 2 [13/14])	81.31	82	85	90	90
PA 2 (SCS SH5)	Percentage of VAA Assessments completed within 28 days	87.69%	85	85%	85%	85%
PA 3	PLACEHOLDER: Outcome focussed measure on Safeguarding <i>(New Indicator)</i>	n/a	tbc	tbc	tbc	tbc
PA 4	Proportion of adults with learning disabilities who live in their own home or with their family (ASCOF 1G, Previously PA 5 [13/14])	83%	79%	80%	80%	82%

Ref ¹¹	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				14/15	15/16	16/17

Service Delivery

PA 5	Percentage of existing HBC Adult Social Care staff that have received Adult Safeguarding Training, including e-learning, in the last 3-years (Previously PA6 [13/14])	59%	50%	52%	54%	56%
<u>PA 6a</u>	Percentage of items of equipment and adaptations delivered within 7 working days (Previously PA 7 [13/14])	96.3%	97%	97%	97%	97%
<u>PA 6b</u>	Percentage of items of equipment and adaptations delivered within 5 working days (<i>New Indicator</i>)	n/a	90%	95%	96%	97%
PA 7	Clients receiving a review as a percentage of adult clients receiving a service (Previously PA 8 [13/14])	82%	80%	80%	80%	80%
PA 8	Percentage of people receiving a statement of their needs and how they will be met (Previously PA 9 [13/14])	95.21%	97%	97%	98%	98%
PA 9	Proportion of People using Social Care who receive self-directed support and those receiving Direct Payments (ASCOF 1C, Previously PA 10 [13/14])	79.72%	78%	78%	78%	78%

Ref ¹²	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Service Delivery

PA 10	Permanent Admissions to residential and nursing care homes per 100,000 population 18-64 (ASCOF 2Ai, Previously PA 11, [13/14])	8.96	12	12	12	tbc
<u>PA 11</u>	Permanent Admissions to residential and nursing care homes per 100,000 population 65+ (ASCOF 2Aii, Previously PA 12 [13/14]) <i>Better Care Fund performance metric</i>	637.7	636.6	635.1	tbc	tbc
<u>PA 12</u>	Delayed transfers of care (delayed days) from hospital per 100,000 population <i>Better Care Fund performance metric</i>	2293	2293	2235	tbc	tbc
PA 13 (SCS HH10)	Proportion of Older People Supported to live at Home through provision of a social care package as a percentage of Older People population for Halton (Previously PA 12 [13/14])	13%	15%	14%	13%	13%
<u>PA 14</u>	Total non-elective admissions in to hospital (general & acute), all age, per 100,000 population <i>Better Care Fund performance metric</i>	13437.2 Admissions: 16,944 Population: 126,098	13257.1 Admissions: 16,717 Pop: 126,098	12771.8 Admissions: 16,141 Pop: 126,380	tbc	tbc
<u>PA 15</u>	Hospital re-admissions (within 28 days) where original admission was due to a fall (aged 65+) (directly standardised rate per 100,000 population aged 65+) <i>Better Care Fund performance metric</i>	906.4	923.1	884.2	tbc	tbc

Ref ¹³	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton Targets		
				15/16	16/17	17/18

Quality

<u>PA 16</u>	Proportion of Older People (65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services (ASCOF 2B) <i>Better Care Fund performance metric</i>	63.6%	68.2%	70%	70%	70%
PA 17	Proportion of people who use services and carers who find it easy to find information about support – Adult Social Care Survey (ASCOF 3D)	82%	75%	76%	76%	76%
PA 18	Proportion of People who use services who feel safe – Adult Social Care Survey (ASCOF 4A)	68%	64%	65%	65%	65%
PA 19	The Proportion of People who use services who say that those services have made them feel safe and secure – Adult Social Care Survey (ASCOF 4B)	67%	68%	68%	68%	68%
<u>PA 20</u>	Do care and support services help to have a better quality of life? (ASC survey Q 2b) <i>Better Care Fund performance metric</i>	87%	89%	91%	93%	93%

NATIONAL POLICY GUIDANCE/DRIVERS

Local Government	
<i>Comprehensive Spending Review</i>	With the continued Coalition Government's Comprehensive Spending Review, the Council has on-going budgetary pressures and each Directorate will need to ensure that they effectively contribute to the Authority's response to dealing with the current economic climate.
<i>Health & Social Care Act 2012</i>	It is the most extensive reorganisation of the structure of the National Health Service in England to date. It proposes to abolish NHS primary care trusts (PCTs) and Strategic Health Authorities (SHAs). Thereafter, £60 to £80 billion of "commissioning", or health care funds, would be transferred from the abolished PCTs to several hundred clinical commissioning groups, partly run by the general practitioners (GPs) in England. A new public body, Public Health England , is planned to be established on 1 April 2013.
<i>Care Act 2014</i>	<p>The Care Act 2014 is the first major reform to care legislation in over 60 years. Bringing together over 30 previous Acts, the new legislation aims to create a consistent, fair and streamlined framework. It puts those requiring care, and their carers, at the heart of the entire process from assessment to provision.</p> <p>The Act covers:</p> <ul style="list-style-type: none"> • General responsibilities of local authorities (wellbeing, prevention, integration, information and advice, provision of a diverse and quality provider market) • Putting carers on the same footing as adults with support needs • Care and financial systems (assessment, eligibility, charging, support and care planning, cap on care costs) • Safeguarding adults at risk of abuse or neglect • Provider failure and market oversight • Transition for children to adult services
<i>Localism Act 2011</i>	The Localism Act takes power from central government and hands it back to local authorities and communities - giving them the freedom and flexibility to achieve their own ambitions. The Localism Act includes five key measures that underpin the Government's approach to decentralisation: Community rights; Neighbourhood planning; Housing; General power of competence; and Empowering cities and other local areas.
<i>Care Quality Commission (CQC)</i>	The Care Quality Commission will regulate and improve the quality of health and social care and look after the interests of people detained under the Mental Health Act.
<i>National Autism Strategy</i>	Autism is a lifelong developmental disability and although some people can live relatively independently, others will have high dependency needs requiring a lifetime of specialist care. The strategy sets a clear framework for all mainstream services across the public sector to work together for adults with autism.
<i>National Healthy Eating Agenda</i>	The national healthy eating agenda and guidelines outline the need to have a school meal service that meets all national requirements around provision and healthy eating.

<i>Universal Infant Free School Meals</i>	Following the recommendations of the School Food Plan the Government obligated provision of free school meals, in state-funded schools in England, for pupils in infant education (Reception, Year 1 and Year 2). This was introduced from the start of the school year in September 2014.
<i>Valuing People Now</i>	The Government is committed to improving the life chances of people with learning disabilities and the support provided to their families. Government policy is that people with learning disabilities should lead their lives like any other person, with the same opportunities and responsibilities, and be treated with the same dignity and respect. This means inclusion, particularly for those who are most often excluded, empowering those who receive services to make decisions and shape their own lives.
<i>Healthy Lives, Healthy People – update and way forward</i>	This policy statement reaffirms the Government's bold vision for a new public health system. It sets out the progress that has been made in developing the vision for public health, and a timeline for completing the operational design of this work through a series of Public Health System Reform updates (July 2011).
<i>Transforming Social Care</i>	Is the first formal guidance outlining actions that local authorities are required to undertake in order to implement the 'personalisation agenda'. The guidance states that 'in the future, all individuals eligible for publicly funded adult social care will have a personal budget, a clear, upfront allocation of funding to enable them to make informed choices about how best to meet their needs, including their broader health and wellbeing'.
<i>Putting People First</i>	A shared vision and commitment to the transformation of adult social care outlines the aims and values which will guide the development of a new, high quality care system which is fair, accessible and responsive to people's individual needs.
<i>Adult Social Care and Health Outcomes Framework</i>	Transparency in Outcomes: a framework for quality in adult social care and health is a set of outcome measures, which have been agreed to be of value both nationally and locally for demonstrating the achievements of adult social care and health.
<i>Welfare Reform Act 2012</i>	The Act legislates for the biggest change to the welfare system for over 60 years. It introduces a wide range of reforms that will deliver the commitment made in the Coalition Agreement and the Queen's Speech to make the benefits and tax credits systems fairer and simpler by: creating the right incentives to get more people into work; protecting the most vulnerable in our society; delivering fairness to those claiming benefit and to the taxpayer.
<i>Fair Access to Care Services 2010</i>	Prioritising need in the context of Putting People First: A Whole System approach to eligibility of social care. The aim of this guidance is to assist councils with adult social services responsibilities (CASSRs) to determine eligibility for adult social care, in a way that is fair, transparent and consistent, accounting for the needs of their local community as a whole as well as individuals' need for support.
<i>DfT Blue Badge Scheme LA Guidance 2012</i>	This guidance provides local authorities with good practice advice on administering and enforcing the Blue Badge scheme. It replaces the previous guidance issued in 2008. This guidance was informed by an extensive independent programme of work undertaken on behalf of the DfT by Integrated Transport Planning Ltd (ITP) and the TAS Partnership Ltd (TAS). The final report of this work, referred to in the guidance as the 'independent review' has now been published.

<i>Sport England Strategy 2012</i>	The 2012-17 Youth and Community Strategy for Sport England was launched in January 2012. It describes how they will invest over £1billion of National Lottery and Exchequer funding over five years into four main areas of work: National Governing Body Funding; Facilities; Local Investment; and The School Games.
<i>National Governing Bodies (Sport)</i>	National Governing Bodies of sport provide a major role in getting people to start, stay and succeed in sport. Sport England remains committed to providing support and guidance to governing bodies to ensure the development of individual sports. A number of National Governing Bodies have produced facility development strategies.
<i>Department for Communities & Local Government – National Planning Policy Framework March 2012</i>	The most relevant for sports purposes is Planning for Open Space, Sport and Recreation, which requires the Council to demonstrate that it has sufficient open space, including sports facilities, by undertaking an Open Space Audit.
<i>Government Review of Waste Policy in England 2011</i>	The findings of the Government's Review of Waste Policy, published in June 2011, will continue to influence the delivery of the Council's waste management services.



Policy and Resources Directorate

Business Plan

April 2015 to March 2018

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1.0 Foreword from Strategic Director

Foreword from Strategic Director

Like all parts of the Council the period of this plan, like the previous one, is likely to be the most challenging period the Directorate has faced, given the severe financial constraints the authority is working within. The Directorate will continue to play a key role in supporting and advising Members of the Council in making the difficult decisions they will inevitably have to make in order to deliver balanced budgets over the period of the Plan.

The Directorate contains a mixture of frontline and organisational support services. Both are equally important in providing first class services to the Halton's residents and businesses. The purpose of this plan is to identify and communicate what the Directorate seeks to achieve within the resources made available to it.

The Directorate has a good track record both of meeting its financial targets and delivering on its objectives. Such achievements reflect the hard work and dedication of the excellent staff that I have the daily pleasure of working with and the support that the Directorate receives from the Elected Members of the Council.

The Directorate will continue to maximise the value of the resources that it has at its disposal and target them toward the delivery of the Council's agreed priorities.

I continue to take pride in the work done by the Directorate and I am confident that we will achieve the objectives outlined in this plan.

Jan Leivesley

Strategic Director
(Policy and Resources)

2.0 Introduction

The Policy and Resources Directorate provides a broad range of services which include both business support and public facing services with each having a pivotal role in maintaining a sustainable organisational infrastructure and the provision of key community services such as transport and public health.

Each of these facets of the Directorates work are equally important as without effective arrangements to manage, for example, organisational Human Resources, ICT Infrastructure, and Financial management, the Council could not operate or function effectively as an organisation.

This Plan is one part of a comprehensive planning and performance management framework that the Council has in place to ensure that the services which it provides on a daily basis have clear links to the Council's longer-term strategic priorities. It also provides the means by which the activities each of the discrete business areas of the Directorate can be regularly monitored to determine what progress is being made, what successes are being achieved and where further intervention or a reallocation of resources may be necessary.

This plan is not intended to describe in detail every aspect of the day to day work of each Department but rather it highlights those key areas of activity that will be the focus of attention in the medium-term. It is supported by the day to day activities and interactions of dedicated staff and the ongoing allocation of time and resources in meeting business and community needs. Its development is also informed and supported by local and national research and intelligence and evidence concerning key community and business related issues.

The Plan has been developed as an operational tool which will be used to deliver the long-term strategic objectives and priorities that the Council has identified and takes account of the national and local context in which the Council operates and the resources which are available to it. It is intended to be a key reference document for Elected Members, staff in the Directorate, partner agencies and the wider public.

The Plan reflects the Directorates support of the commitments that have been identified within other key strategic documents including:-

- The Sustainable Community Strategy for Halton 2011 – 26
- The Council's Corporate Plan 2011 – 16.
- The Health and Wellbeing Strategy.

The Directorate remains committed to improving outcomes, as an organisation and in partnership, through the effective management of resources and through maintaining a well-trained, motivated and committed workforce.

3.0 Key Messages

Finance

In setting the budget for 2014/15 the Council faced a funding gap of £15m due to reductions in Government grant funding. As a result significant budget reductions were necessary in order to balance the books. The Council's Medium Term Financial Strategy (MTFS) 2015-18 identifies further budget funding gaps of £19m in 2015/16, £22m in 2016/17 and £10m in 2017/18. Implementing further budget reductions on this scale will be extremely difficult for the Council, whilst maintaining delivery of services and protecting the Borough's most vulnerable residents.

Given the scale of budget reductions required, particularly in 2016/17, work will commence shortly to identify required savings for 2016/17 onwards.

Greater efficiency continues to be one way of achieving those savings. The Council set up the Efficiency Programme in 2009 and it has identified over £12m since then. Further efficiencies continue to be needed and it is the responsibility of everyone to identify opportunities for greater efficiency.

Improvement in procurement practices has also provided another way of funding savings and this approach will continue. The Procurement Division was set up in 2010 and has identified savings of over £2m since then.

Financial probity has been maintained, along with effective accounting practices, the issuing of bills and collection of monies. This has been successfully achieved alongside unprecedented changes to the council tax, business rates and benefit regimes. Getting the financial basics right has been achieved despite continuing reductions in the Department's posts and means the Council faces the challenges of the future with a strong financial base, which Grant Thornton have reiterated in their Annual Audit Letter.

The Council has a history of setting balanced budgets and then spending within those budgets. A robust Finance Department is essential to assist the Council in facing an uncertain financial future. The External Auditor has yet again given the 2013/14 accounts a clean bill of health and there are sufficient balances and reserves to meet known risks.

The cost of Children in Care is significantly overspending the budget and is forecast to continue to do so over coming years. This will put extreme pressure upon the Council's finances at a time when significant and ongoing budget reductions are also being faced. Consideration is being given to how this situation might be managed during the coming year.

Human Resources and Learning and Development

The Division restructured last year, making some significant changes to both transactional processes and the way Learning and Development, in particular, is delivered. Progress has been made with more electronic processes such as E-Payslips and we have continued to provide training opportunities directly to staff as well as through members of the L&D Team working in partnership with colleagues in other Directorates to provide advice and assistance in the delivery of training for third parties including Foster Carers, school governors, partners etc.

As the Council continues to respond to imposed austerity measures, it is envisaged that a consequence of this will be a reducing workforce. Consequently the Division will continue to work with the Trade Unions and managers on formal consultations on revised structures, reviewing staffing protocols and changes to Terms and Conditions of Service over the coming years.

Although the Council has a good track record of minimising compulsory redundancies and facilitating redeployment opportunities as far as possible, this will become more difficult over the coming years as such opportunities become fewer. For the period January 2015 – March 2016, there is an improved voluntary redundancy scheme available to staff as we seek to minimise compulsory redundancies by offering voluntary exits. It is therefore particularly important that energies remain focussed upon maintaining the existing and constructive working relationships with key stakeholders including staff, Unions and Elected Members.

April 2015 sees a significant change to the Teachers' Pension Scheme. The H.R and L&D Division are central to both communicating these changes to affected employees and also to ensuring that employees requests are appropriately actioned.

ICT and Administration Support Services

ICT and Administrative Support Services continues to place an emphasis upon the development of centrally based systems and resource solutions that maximise business impact and minimise present and future operating costs and overheads.

This work has resulted in a number of significant developments including;

The deployment of the authorities second data centre facility that will house new data storage and server based platforms that will compliment and replicate the municipal building data centre allowing over the next eighteen months as investment plans allow. This facility will not only replicate the authorities' data but application and desktop facilities creating faster and more stable access to key data sets and applications. This facility will enhance and further support the Halton Cloud Services platform that has now been in use for over two years, but also creating a business continuity platform that will ultimately provide fully active twenty four hour access to key applications.

In collaboration with Directorates, the deployment of Electronic Records Management and the development of new and improved central reporting systems based upon the SharePoint Access solutions in place linked to systems such as the “I Want” portals for Finance, ICT, Admin, Print and HR. Making services more accessible this initiative has had a significant impact in reducing staff time and duplication.

The service has also focused upon further developing opportunities for on-going income generation through the development of externally focused ICT applications. These opportunities include the development of a clouds-based solution for Schools, support to the Halton Clinical Commissioning Group, the Mersey Gateway Project and now the delivery of the Agresso Financial Management System within Sefton Metropolitan Borough Council.

In order that ICT can be used to maximum effect the service has also delivered a broad range of training surgeries for staff and the continued emphasis on the use of electronic documents has resulted in a considerable reduction in the use of printed material and associated costs such as a reduction in the number of printers required.

The Council continues to maintain Public Services Network Compliance which meets security requirements and has undergone 4 external audits in 2014. This is a significant investment and demonstrates the Councils on-going commitment to maintaining a secure electronic environment and supports the authority’s on-going Information Governance arrangements.

Work continues to develop upon the success of the new Records Management Unit through the recording and scanning of hardcopy material again expanding its use through external contractual arrangements with organisations such as the CCG and Sefton Council.

Legal and Democratic Services

Now that the construction phase of the Mersey Gateway Project is well underway, significant demands continue to be placed on the legal team, in terms of land acquisitions, contracts and employment issues. The Communications and Marketing team continue to play a vital role in raising awareness of progress and impact of the construction works.

The Liverpool City Region Combined Authority has been operating since April 2014. Halton has assumed responsibility for the scrutiny function, with substantial involvement from the Democratic Services Team.

The legal team must at all times ensure that the Council is given the benefit of the most accurate and up to date advice. Legislation continues to change quickly, placing high demands on the team.

The Legal section also continues to be at the forefront of the shared services agenda, with the Council's Monitoring Officer assisting Cheshire West and Cheshire Council in that role on an interim basis.

The continuing requirement to make considerable efficiencies across the Council not only significantly affects all staff in the Department in carrying out their business, but adds to the need for the Communications and Marketing team to ensure that Members, staff, stakeholders and public are fully apprised of changes.

The Customer Intelligence Unit continues to excel at information gathering, putting the Council in the best possible position to take vital decisions. It has continued to ensure marked improvement in making Council services accessible to all through the internet and social media.

The General and Local Elections will be managed by the Democratic Services section on 7th May 2015.

Policy, Planning and Transportation

Mersey Gateway

Construction of the Mersey Gateway has now commenced with extensive works taking place in the River Mersey and on both sides of the river. These works are already having a notable impact on the visual appearance of these particular areas of the borough, with a number of buildings and highway structures having been demolished and a range of businesses having been relocated. They have also necessitated officers liaising constantly with the Mersey Gateway Crossings Board (MGCB) and Merseylink, as well as input from various Council Departments including Planning and Highways, Open Spaces, ICT, Legal Services and Property Services. In discharging its statutory duties as both a Local Planning Authority and a Highway Authority, officers engaged on this project have to continually engage with a range of other statutory bodies and external agencies including the Environment Agency, Marine Management Organisation (MMO) and Natural England. Merseylink has a dedicated Communications Team, which is supported by the MGCB and the Council, to ensure the travelling public, businesses, bus operators, and the emergency services etc. are kept informed of current and proposed works. This Project will continue to place significant demands on staff within the Department.

Bridge & Highway Maintenance

Maintaining an affordable and effective highways and transportation infrastructure

Whilst the level of highway maintenance funding available through revenue and capital sources appears significant, the amount of work that it allows to be carried out in relation to the whole highways network is relatively small.

For example, in 2014/15:

- Of the 411 km of unclassified road (mainly roads in residential estates), we were only able to treat or resurface approximately 11km or 2.7% of the total.
- Of the 760km of footways/footpaths, we were only able to treat or reconstruct approximately 23km or 2.6% of the total.

It also needs to be recognised that over the last 8 years, the cost index the Council has used to adjust contract base prices for highway maintenance has increased significantly more than the Retail Price Index (RPI) or in other words our maintenance costs have risen significantly more than inflation. This cost index will always be a fluctuating figure, but it will continue to remain higher than the RPI. It follows that the consequences of static or reducing funding availability continue to be compounded by these increases in costs.

The adverse weather of recent winters, including the very bad weather of 2013/14, is continuing to take its toll on the condition of our highways. To mitigate the consequences of this, the Council explored the full range of quality and cost savings potentials made available through the collaboration and partnering ethos of the new Highways Term Contract.

The use of electronic processes for recording defects, issuing works orders and communications to and from the Contractor, has now been fully embedded within our processes. This has led to quicker reaction times and a fully auditable system for use in the defence of public liability claims.

The DfT has recently invited bids for the 'Highway Maintenance Challenge Fund' which is a potential source of funding for Major Maintenance Works. This is a nationally available pot of funding with 2 tranches for bidding. The first covers the 3 year period 2015/16 to 2017/18, with £275m being available nationally. Halton has submitted a joint Street Lighting Bid with St. Helens and Sefton worth over £5m (including local contributions). If successful, this would allow more than 4,200 existing lanterns to be replaced with more energy efficient LED lanterns. The Liverpool City Region has submitted 7 bids in total through the Combined Authority so it is not possible to determine our chances of success. During the second tranche in 2018/19, we will be able to submit further bids between £5m and £20m in value.

However, even in light of the above, the task of maintaining the highway network which is the Council's biggest physical asset by far, will remain extremely challenging, especially if further cuts are made to funding.

The Highway Maintenance Block will continue to be allocated in its entirety to the LCR member Highway Authorities for the coming year, 2015/16, via the LCR. The Department for Transport has announced and publicly committed to long term highways maintenance funding for the next 6 years, subject to Highway Authorities meeting certain improvement and Asset Management criteria or else a certain percentage will be top sliced.

However, it is currently unclear how LCR will distribute this funding from 2016/17 onwards around the region – it may be done via the usual formulaic process or it may be distributed according to prioritised need, the actual methodology is still to be considered and determined.

To ensure that the “Top slicing” doesn’t affect Halton, we need to ensure that the Highways Asset Management Plan is completed and ratified and that all levels of the Council buy into the Long Term Asset Management ethos promoted by the Department of Transport.

Achieving the goals will be even more of a challenge over the period of the business plan, and interventions locally will need to be proportionate to the funding available and measured in terms of the value they add to the transport network. We will need to manage the needs and expectations of business and the community in this respect.

Highway Development

The scale and pace of new development across the Borough continues to place pressures on the Division. The planning consultation and approvals process includes a detailed consideration of traffic and transportation needs, the effect on the existing highway network and the incorporation of sustainable transport within development proposals.

The negotiation of planning and highway agreements and funding (Section 106, Community Infrastructure Levy and Section 278), to support the proposed developments and now, additionally, the inclusion of measures to manage flood risk associated with development, will be key to delivering high quality and sustainable development for the Borough. Following completion of these planning and technical approval stages, supervision of construction through to adoption and its related aspects, will place very significant demands on the Planning and Development team.

Whilst Halton’s LTP3 covered the period up to 2026, it contained an initial four-year implementation plan covering the four years of the 2010 Comprehensive Spending Review (CSR10) up to 2014/15. The implementation plan has been substantially and successfully delivered and work is underway to compile a new integrated transport Delivery Plan that will form part of the LCR Transport Plan for Growth (see Factors Affecting the Directorate).

Major Transport Infrastructure Schemes

A significant amount of staff resource has been engaged in the delivery of two key transport infrastructure improvements to support economic growth in the Borough i.e. the Local Pinch Point Programme funded scheme, aimed at increasing the capacity of three junctions on the A558 Daresbury Expressway; and the New Western access road to the 3MG HBC Field development site.

The development of the scheme designs via Consultancy services, and the implementation of works via Contract, has placed substantial demands on internal staff resources to monitor and administer the technical, construction and commercial inputs of the various parties. This trend is likely to continue as ongoing development at Daresbury EZ, preparation for the Mersey Gateway de-linking and regeneration strategy gathers pace, and the HA's plans for M56 J11A progress.

Traffic, Risk & Emergency Planning and Health & Safety

Halton become a full member of the Cheshire Road Safety Group (CRSG) and all speed cameras meeting the relevant criteria have now been converted to digital operation.

A number of existing cameras are affected by the Mersey Gateway Project works and any possible upgrade of these cameras has been deferred until the works are completed.

In order to achieve cost savings and reductions in carbon emissions, options for accelerating the conversion of street lights to LED operation are being investigated, including a joint Highway Maintenance Challenge Fund bid with St. Helens and Sefton Councils. Nearly 50% of traffic signals (including Puffin and Toucan crossings) have now been converted to LED operation to achieve savings in energy costs.

Logistics

The Council has now been integrated into the Combined Authority and will therefore continue to work with its partners in the Liverpool City Region (LCR) to deliver a new Real Time Passenger Information (RTPI) system. The system will provide up-to-the-minute public transport information relating to the bus network both in-Borough and cross-boundary into Merseyside. RTPI display screens will be installed at 38 bus stop locations within Halton and will display relevant bus service information at each stop. The system will have the capability to provide web based information and also information to mobile phone technology. This new RTPI system allows for further units to be added in the future and the Council will continue to identify funding opportunities to allow introduction of additional units at other bus stop locations.

Further work will continue in conjunction with Merseytravel to develop infrastructure and other public transport based projects.

As a result of the successful Better Bus Area Fund (BBAF) bid, bus users will soon benefit from the impending introduction of the first Quality Bus Partnership (QBP) linking Widnes with St Helens on the 17/33 routes. The QBP will deliver an increased frequency of service to every 20 minutes which also includes a reciprocal ticketing agreement providing better value for bus users. Additionally, further bus routes will be identified and considered for development under a QBP through continued partnership working with the LCR and operating companies.

Halton continue to be members of the Cheshire Concessionary Fare Scheme and currently have agreement to the end of the 2015/16 financial year. Revised reimbursement rates have been agreed with local bus operators. Further discussions will commence during 2015/16 on future concessionary scheme arrangements.

Halton's integration into the LCR Combined Authority in April 2014 resulted in its Local Transport Authority powers being transferred to the CA. Work is now underway to determine if closer integration of public transport service delivery (including the delivery of public transport infrastructure) can be achieved and on whether Halton should contribute to the LCR CA levy. These discussions will consider the matter of concessionary fares.

The Directorate is responsible for the procurement and management of over one hundred contracts in relation to home to school and adult social care transport services. During 2015, all transport contracts will be retendered specifically for special educational needs pupils and vulnerable adults. The procurement process will therefore commence in early 2015 to ensure transport contract continuity.

Policy & Development Services

Corporate Policy

Within the Policy and Resources Directorate, the Policy and Performance Team has responsibility for ensuring the Council has a single unified and cohesive policy and performance framework under which the full range of diverse services are delivered.

This is achieved through the Sustainable Community Strategy and Corporate Plan combined with performance monitoring. Policy work directly relating to specific service areas is now undertaken within the relevant directorate.

The role of this Directorate's Policy and Performance Team is the production of policy that has an organisation-wide impact and requires Council-wide coordination. Examples include: Strategic Partnership activity; adherence with equalities duties; corporate workforce planning; responding to national policy implementation (Welfare Reform, Localism Act implementation, Open Public Services, Community Budgets, Social Value); sector led improvement initiatives and external influences from the Local Enterprise Partnership and Combined Authority. This role will be particularly critical in responding to any policy and legislative changes arising from the General Election in May 2015 which may have a corporate wide impact.

Planning Policy (Development Plan)

Planning issues continue to have a high profile nationally with housing supply, green belt and renewable energy hitting the headlines, together with changes to permitted development rights affecting shops, offices and residential (extensions). National Planning Policy Framework (NPPF) and the National Planning Policy Guidance (PPG)

continue to 'bed in' as best practice is emerging, raising issues for our work in Halton.

The priority for the Planning Policy Section is the replacement of the remaining sections of the Unitary Development Plan (UDP) which is 10 years old, and the identification of new development sites (allocations) to provide much needed housing and support the regeneration / urban renewal agenda.

Detailed work on the necessary supporting evidence base is progressing with the Local Centres and initial Green Belt Assessments out to consultation and work progressing or schedules on:

- Strategic Housing Land Availability Assessment (SHLAA),
- Allocations Site Assessments,
- Open Space Survey,
- Playing Pitch Assessment 2015 and Indoor Sports Facilities Assessment.

In addition, specialist studies / advice will be commissioned on housing requirement (Strategic Housing Market Assessment - Objectively Assessed Need), economic futures and retail (Retail Needs Assessment).

Work is also progressing on the development of a Community Infrastructure Levy (CIL) charging schedule, which if adopted will levy a charge on qualifying development to fund identified infrastructure.

Planning, Building Control and Contaminated Land

Development Services Teams continue to add value to proposed development schemes as well as safeguarding public interests through the management of a high case load. A significant amount of new development has come forward including that at SciTech Daresbury, Mersey Gateway, Sandymoor, Pingot Centre redevelopment, Halebank School and new homes at a number of sites in north Widnes (Lunts Heath Road, Norlands Lane and Barrows Green Lane).

A significant amount of development is being planned for 2015 including new housing schemes at Sandymoor and Daresbury, and at new employment sites including Bayer, 3MG and a number of other projects.

Public Health and Public Protection

One of the major concerns for Public Health continues to be the issue of Health Inequalities across Halton. The main focus for this is the Health and Wellbeing Strategy. During 2014/15 the Health and Wellbeing Board has continued to implement the five priority action plans. This work is supported by the Public Health, Public Protection, Environmental Health and Health Improvement Teams. Details and progress on each of the five areas is outlined below.

Prevention and early detection of cancer

Cancer remains a particular challenge in Halton and is therefore a key priority for the local Health and Wellbeing Strategy. Contributory factors include poor diet, smoking and screening rates.

Smoking rates in Halton have reduced dramatically over the past decade, however, the rise in the popularity and availability of E Cigarettes (not currently recognised as a quit aid by the NHS) has reduced smoking quit rates at both a national and local level. However, as Halton still has a higher than average proportion of smokers, we need to find new ways of encouraging people to stop.

Another key activity within this priority is around screening. Halton offers screening against breast, cervical and bowel cancers as part of national screening programmes. Uptake of these programmes is variable across the borough. To reduce inequalities and reduce the burden of cancer, we need to increase the uptake, in particular for bowel cancer, to ensure that everyone has an equal opportunity to benefit from these preventive programmes.

During 2014 the Halton Action on Cancer Board developed a local Cancer Strategy and action plan with an emphasis on three key areas along the cancer pathway. These include; Prevention and early diagnosis, Better treatment and quality of life and patient experience. The strategy provides a framework and action plan for all those involved in delivering cancer care across Halton and across the cancer pathway.

Improved child development

Data from the national Millennium Cohort study shows that by 3 years children in families with incomes below the poverty line are 8 months behind in language and 9 months behind in school readiness compared to those with incomes above. The data also provides evidence that there are potential modifiable factors, daily reading, regular bedtimes and library visits, which parents can implement and health and social care professionals can recommend to parents in order to improve cognitive development.

Locally, the percentage of children achieving a good level of readiness for school development at the beginning of reception increased from 37% in 2013 to 46% in 2014, however, this is still significantly below the national average.

Commissioning responsibility of both the Health visiting service and Family Nurse Partnership moves to Halton Borough Council in October 2015. Both of these services are central to delivering the Healthy child programme, which works with families to maximise children's health and wellbeing, identify issues early and maximise child development. Work is therefore underway to ensure a smooth transition occurs and does not disrupt the service.

The Department of Health has issued six high impact areas to improve children's health and development. Work is underway in Halton to implement recommendations where feasible.

The priorities include:

- Transition to parenthood and the early weeks
- Maternal mental health
- Breastfeeding
- Healthy weight, Healthy nutrition (and physical activity)
- Managing minor illness and reducing hospital admissions
- Health, wellbeing and development of the child age 2 and integrated review.

Local work in these areas includes working towards UNICEF Baby Friendly award to support women to breastfeed, reducing the number of women who smoke and drink during pregnancy and reducing the number of children who are overweight when they go to school by working with families and early year's providers.

The impact of child poverty will continue to be a focus, through the local strategy and that directed by the Liverpool City Region child poverty commission. Examples of work in this area include work on reducing sugar intake, working with food banks and encouraging free school meal uptake.

Mental health is also an essential component to improving child development, and work is ongoing to ensure the early identification of mental health issues in pregnant and new mothers, and supporting families to ensure positive parenting and bonding.

Reduction in the number of falls in adults

Falls are a leading cause of mortality due to injury amongst people over 65. Falls can have a serious impact on the quality of life of older people and can undermine the independence of an individual.

In 2012 a review was undertaken to look at the falls service in Halton conducted by a multi-agency steering group. From an early stage the review highlighted that services linked to falls were fragmented and there was no overarching vision. In addition to this overall performance was significantly worse than the national average. For example the hip fracture rate in people over 65 in Halton was 499 per 100,000, compared to the National average of 452 per 100,000. At this point it was agreed that a falls strategy was required to cover the period of time between 2013– 2018. The strategy was important because for the first time it allowed agencies to focus on eight key deliverables that could and should improve performance.

The eight deliverables are:

1. Develop current workforce training
2. Develop a plan for awareness raising with both the public and professionals
3. Improve partnership working

4. Set and deliver specific targets to reduce falls
5. Develop an integrated falls pathway
6. Develop a prevention of falls pathway
7. Identify gaps in funding of the pathway
8. Improve Governance arrangements to support falls

Falls remain one of the 5 priorities of the Health & Wellbeing Board as work continues to address readmission rates to hospital and workforce development.

Reduction in the harm from alcohol

Alcohol harm is a key public health issue and also has a significant impact on crime, community safety and the wider economy. Progress has been made in reducing levels of alcohol-related harm locally especially among children and young people but there is still more work required.

In order to further reduce alcohol-related harm in Halton, an alcohol strategy has been developed in partnership with colleagues from health, social care, education, the voluntary sector, police and the community safety team. The strategy sets out our local 5 year plan aimed at rebalancing the relationship Halton has with alcohol. As a problem that cuts across our entire population and affects local residents of all ages, the strategy takes a life course approach to reduce harm at all stages of life from birth to old age. A 'Communities' chapter is also included to cover issues for all ages, for example alcohol-related crime and community safety.

In addition during 2014/15 Halton became one of only twenty areas in the country to have been awarded the status of being a Local Alcohol Action Area (LAAA). This award provides support from the Home Office and Public Health England related to addressing the harm from alcohol across three areas – health, crime and anti-social behaviour, and diversifying the night time economy.

As part of the alcohol strategy development work a refreshed action plan for 2014-15 has been developed and signed up to by all partners.

Key activities include:

- Holding a Halton Alcohol Inquiry
- Developing a health education campaign promoting an alcohol free pregnancy
- Developing a coordinated alcohol awareness campaign
- Continuing school and community outreach alcohol awareness work to reduce underage drinking
- Training key staff in Halton in the early identification of people who misuse alcohol (alcohol IBA)
- Reviewing alcohol treatment pathways and ensuring the provision of effective local treatment services for young people and adults and promoting recovery
- Ensuring the local licensing policy supports alcohol harm reduction agenda

- Working with local premises to adopt more responsible approaches to the sale of alcohol
- Diversifying the night time economy offer within Halton

Prevention and early detection of mental health conditions

Mental Health is a key health and wellbeing priority and as such, is supported by the new Mental Health Strategy and Action Plan. This provides a robust framework which identifies need and co-ordinates activity across the life-course from maternal mental health, through to childhood and into old age. The strategy also covers the spectrum of need from prevention and early intervention to treatment services.

Key activities include:

- The commissioning of a new CAMHS Service.
- Training on maternal mental health
- Development of dementia programmes.
- A schools emotional health and wellbeing programme.
- A new Suicide Prevention Strategy and Action Plan.

Public Protection - Trading Standards and Environmental Health.

The Trading Standards Function has been brought back within the Public Health and Environmental Health Department. There are a number of exciting developments to help protect the population of Halton from crime and harm, including an innovative approach to help prevent people becoming victims of scams and ongoing work to prevent fraud, counterfeit goods and underage sales.

Halton is an industrial town with a long association with the chemical industry and manufacturing. As such, environmental health continues to be high on the agenda for the council and the local populations. Air quality monitoring and ensuring the safety and security of our population is a key ongoing activity within the Borough.

Environmental Protection was successful in obtaining further funding for Air Quality monitoring. We were part of Mersey travel's bid to the Department for Transport's Clean Vehicle Technology Fund and were successful in obtaining funding of £25,000 for a new fixed monitoring station for Nitrogen dioxide and particulate matter as well as ammonia diffusion tubes. We have also been awarded £9,500 from Defra's Air Quality Capital Grant Scheme. This money will be used to undertake traffic modelling in Widnes, we believe that the number of vehicles accessing the town centre contributes to air pollution in this location. We are hoping that the modelling work will identify the improvements that are required in this area of Widnes to further improve air quality.

The Council has appointed an independent consultant to carry out an inventory of air quality data in the Weston area of the Borough. The consultant will look at emissions from local industry, road sources and take account of domestic sources of pollution.

In July 2014 the final report of the Elliot review into the integrity and assurance of food supply networks was published. The purpose of the review was to consider issues which impact upon consumer confidence in the authenticity of food products. It included an examination of any systemic failures in networks and systems - including regulation - with implications for food safety and public health. The review followed the 2013 Horse Meat Crisis.

The report recommends that a priority for food regulation must be the prevention and detection of food crime. Criminals are exploiting the high value of some food products to commit food fraud. In addition to meat products, foods known to be subject to fraud include olive oil, honey, rice and alcohol including wine, spirits and champagne. In some cases the adulteration renders the food unfit for human consumption.

There will be a role for international, national and local regulators including Environmental Health and Trading Standards. A recommendation of the review is that the Food Standards Agency establishes a dedicated Food Crime Unit to direct local and national action. The Food Standards Agency has indicated that they will expect local authorities to have a greater focus on food authenticity and fraud.

The future challenge for the Environmental Health food team will be to balance the need to protect public health through the inspection of hygiene standards in food premises with the increased focus on food fraud and the labelling and composition of food stuffs.

To maximise the opportunities created by the return of trading standards and the transfer of health improvement team into the authority - the environmental health department will work directly with businesses and workplaces on initiatives that contribute to the boroughs key public health objectives e.g. alcohol, tobacco, underage sunbed use and pre-school nutrition.

4.0 Factors affecting the Directorate

Finance

The Council will continue to face significant budget reductions. As well as needing to find £19m in 2015/16 a further £32m of budget reductions will be needed in the following two years. The Council is faced with cutting 47% of its budget over the next three years. Government grant funding for Halton has now been reduced by a total of £46m (45%) between 2010/11 and 2015/16.

The Business Rates Retention Scheme, whereby councils retain 49% of the business rates generated in their area, has been in operation for two years. This means that economic development and regeneration leading to the generation of business rates income, is now essential for the funding of all the Council's services.

The roll out of the Government's welfare reform programme continues to put increased pressure upon the Revenues, Benefits and Customer Services Division. This will continue during the coming year with the implementation by the Department for Work and Pensions of Universal Credit within Halton.

There will be greater integration of Health and Social Care services from 2015/16 with the implementation of the Better Care Fund, for which additional Government grant funding has been received. Preparations for this major change in service delivery and funding have been undertaken during the past twelve months. Further service changes will be implemented from 2016/17 which will have significant financial implications, however, it is not yet clear whether additional Government grant funding will be provided to meet these costs.

Opportunities will continue to be sought to expand and develop the delivery of procurement services to other councils and CCGs, in order to generate additional income and thereby support the delivery of Halton's services.

The Mersey Gateway Crossings Board Limited is now managing the construction and operation of the Mersey Gateway Bridge and the Department is supporting their work. The Council has undertaken significant borrowing to fund its capital contribution towards the construction cost of the bridge. The repayment of this borrowing will be fully funded from toll revenue income, which will require careful management of investment and borrowing activities in order to secure the most favourable position for the Council.

These activities relating to the Mersey Gateway Bridge will have a significant impact upon the Department's activities, particularly in protecting the Council's interests. The Department along with others will charge the Mersey Gateway.

Human Resources and Learning and Development

There have been a number of Employment Law changes such as Shared Parental Leave and the Division will ensure that the Council responds appropriately and has sound and robust policies' and procedures in place to reflect changes in legislation.

The Division will continue to play an active role facilitating consultations between trade unions and managers concerning organisational changes such as restructurings, TUPE transfers, schools transferring to Academy status, changes to terms and conditions etc.

Agreement on the settlement of equal pay claims will remain an on-going activity for the Division as both the Equal Pay legislation develops and new claims are received.

ICT and Administrative Support Services

In light of on-going financial constraint it is inevitable that there will be a continued demand for administrative and technical resources and that ITC will need to be exploited as fully as possible as new and innovative ways of working continue to emerge.

As a result the Council's strategy during the life of this plan will be continue to focus upon the centralisation of management systems, consistent with Directorate needs, in order to reduce overheads and to exploit further the potential for income generation through the active marketing and externally focused development of ICT provision.

Key components of the strategy will be taken forward during the period of the business plan which will include the following areas of work.

Data centre improvements and the development of the second data centre facility will predominantly become the focus over the following 2 year cycle as the facilities are linked and become highly resilient whilst improving access facilities and bringing enhanced and innovative user based access solutions.

The upgrade of Schools Networking together with the continued delivery of an enhanced Virtual Learning Environment into all schools will further enhance the quality of provision to the education sector, both within Halton and commercially.

Additionally the wider implementation of the Halton Cloud Computing Platform and the development of the extranet data sharing and access arrangements will continue in order to maximise income generation opportunities and further support the delivery of holistic and integrated services to the community.

In addition to extending the capacity of the I-Want portals the website developments will continue within the new SharePoint 2013 Platform and the ever expanding second data centre at Picow Farm Road, which will strengthen the Council's ICT infrastructure resilience and business continuity, will be used as an Active/Active delivery platform.

Policy, Planning and Transportation

Mersey Gateway

Delivery of the Mersey Gateway Project.

The development of the Mersey Gateway project will place significant demands on staff in the Department for the next 4 or more years and particularly those in the Highways Development, Traffic, Planning and Contaminated Land Teams.

Formal Local Authority approval of the various planning and technical issues associated with the project is fundamental to the progress of the project and will have to be approached with the appropriate level of experienced resource to avoid compromising the project programme. The requirement for staff to satisfy Mersey Gateway needs without neglecting other wider service delivery functions will remain particularly challenging.

Although all bidders were incentivised through the procurement process to identify measures to minimise the impact of construction works, the Mersey Gateway has several interfaces with the existing highway network which will be significantly affected during the construction phase of the project.

As a result, traffic disruption during critical phases of construction is inevitable and the social and financial consequences of this disruption in particular for emergency services, schools, local businesses and employees, needs to be planned for and mitigated.

The client technical and planning approval processes must keep pace with the Project's delivery phasing and construction programmes, and it is expected that the Highway Development and Development Services Divisions will be heavily involved throughout. Additionally, they will be involved in the statutory / highway order processes necessary to implement aspects of the project.

There may also be a demand for additional works and facilities to promote and accommodate sustainable travel modes during the construction phase as the network comes under more pressure due to traffic restrictions.

Over the period of the business plan, it is likely that the development of design proposals for future integrated and sustainable transport provision, including modifications to the Silver Jubilee Bridge, will be progressed.

This is likely to include input into the Mersey Gateway Regeneration Strategy and maximising opportunities for development through highway delinking proposals on both sides of the Silver Jubilee Bridge.

Development Management staff will be heavily engaged in ensuring all appropriate planning conditions are discharged in a timely fashion whilst the Contaminated Land Team will continue to offer advice to the Mersey Gateway Team and Merseylink in conjunction with that afforded by HBC's Legal Team.

It remains expected that the Gateway Bridge will open to toll paying traffic in September 2017.

Funding for Transport Schemes

Liverpool City Region Combined Authority

In April 2014, the six Merseyside authorities and Halton came together to formally establish the Liverpool City Region. The Combined Authority was established to strategically lead work on transport, economic development, housing, employment and skills in the City Region to, in turn, support sustainable economic growth. It enables the City Region to speak with one voice in a democratically accountable structure which can attract funding and devolved powers from Government. Transport is a key focus of the Combined Authority, in recognition of the central role it plays in helping to grow the economy and in enabling and encouraging regeneration. The development of the Combined Authority brings a new wave of funding opportunities for developing the transport network in the Liverpool City Region. This will require a new way of working as, in many cases, competitive bidding will be required to secure funding.

The Liverpool City region Combined authority will also represent Halton and its interests on the taking forward of a number of regional and national agendas, more particularly those relating to rail and freight and logistics. Much of this work will relate to improving connectivity with the major cities of the North in order to create the 'Northern Powerhouse' and address the imbalance that exists between here and the South East of the country.

Merseytravel will continue to listen to and represent Halton on initiatives and discussions relating to High-Speed 2 and East-West rail links / improvements and on the development of the Superport. In doing so, it will sit on groups including One North and Transport for the North. Council Members and Officers will be continually engaged in this process

A Transport Plan for Growth

A Transport Plan for Growth is a document that has been produced to provide a single strategic investment framework and 5 year transport delivery plan for the LCR. It supports but does not replace the two longer term Local Transport Plans (Halton and Merseyside).

It outlines how the LCR intends to respond to changes in governance (with the formation of the Combined Authority), to changes in national policy (and more particularly the localism and devolution agendas) and funding programmes. It articulates the City Region's strategic direction for transport to both those within the transport sector and wider partners in health, education, business and industry. The plan itself will have its own delivery plan of which Halton will play a part of delivering from 2015- 2021, and is funded by a combination of ITB, Local Growth and EU Funding. The LCR CA is due to consider this Plan on 6th March 2015.

A new way of working

The need to develop closer working relationships with Merseytravel and our LCR partners, the fact that increasing amounts of money are being devolved to the LCR and because more and more funding requires the preparation of competitive bids, places an increased burden on very limited staff resources. With transport budgets being devolved, the department is experiencing the need to develop funding applications, business cases and importantly develop transport schemes to a point where an initial submission can be made to secure monies to deliver Halton's transport and infrastructure aspirations. This scenario is becoming a norm rather than the exception; there will be a need to consider long term resource impacts in the future.

LCR Growth Deal

The way in which local transport schemes are funded is changing. In recognition of the central role of transport in promoting local economic development, Government has devolved funding for local major transport schemes to Local Enterprise Partnerships. The LCR Growth Deal totals £263.4m over a five year period to 2021 and, in terms of transport, comprises Major Transport Scheme allocations totalling £97.7m (including £10.4m for development of the Halton Curve rail link project), local sustainable transport scheme funding of £41.1m and £44.1m, of previously committed Local Growth Fund allocation, which includes a £23.7m locally (LCR) deployable Major Transport pot.

The LCR Major Scheme funding, forms only one element of the Single Local Growth Fund (SLGF) that was announced by Government in the 2013 spending round. The SLGF brings together central government's 'growth-related' budgets and gives Local Enterprise Partnerships responsibility for spending it, on the basis of strategic plans and under competitive bidding processes.

Nationally, £200M from the Integrated Transport Block (ITB) and £100M from the Local Sustainable Transport Fund (LSTF) will also be transferred or top-sliced and put into the SLGF in 2015/16 for local strategic transport projects. Four 'Key Themes' have been identified by partner LCR authorities to steer the competitive bidding process for scheme funding from the SLGF and these are, Sustainable Access to Employment and Economy (Competitive Place and People), Visitor Economy, Investing for Growth and Low Carbon

In summary, LCR transport budgets and allocations to schemes within Halton that have been successfully bid are as follows:

- Maintenance of Local Transport Major Schemes: £23.7M including an allocation of £3.3M for SJB major maintenance (subject to outline business case approval) over 3 year period 2017/18 to 2020/21 (co-ordinated with deferred DfT Grant funding and Mersey Gateway opening);
- Freight and Logistics Hub Schemes: £46M including an allocation of £10.4M for the Halton Curve Project (Merseytravel is the promoter/project lead);
- Local Sustainable Transport Fund £41.4M which includes £18M for a 2-year STEPS sustainable transport scheme programme across LCR with £1.2M allocation for four schemes within Halton.

Other funding sources outside of the Major Scheme Funding can be pursued to deliver major schemes. In that regard, the Council is working closely with the Highways Agency and its consultants on option and feasibility studies for a new junction (Junction 11A) on the M56 motorway, which was confirmed as a project within DfT's Road Investment Strategy.

Integrated Transport Block Budget

The re-allocation of ITB funds as referred to above will now result in a 40% reduction in the direct grant allocation to Local Authorities for integrated transport and consequently will further restrict the scale and scope of highway, traffic safety and transport schemes that the Council can deliver from this funding stream. ITB allocations were confirmed for the three years from 2015/16 to 2017/18 by DfT in November 2014 (together with indicative allocations for the succeeding three years) Halton's allocation is £0.908M for each of the six years. In 2015/16 Halton will receive the grant directly. In subsequent years, the expectation is that the grant will be added to Merseyside's £9.16M and distributed across LCR Transport authorities according to a formula or prioritisation methodology that is yet to be agreed.

Achieving the goals set out in LTP3 through the implementation of the various strategies, will therefore be even more of a challenge over the period of the business plan, and interventions locally will need to be proportionate to the funding available and measured in terms of the value they add to the transport network. We will need to manage the needs and expectations of business and the community in this respect.

Bridge & Highway Maintenance

Delivery of the major bridge maintenance programme (through the Halton's Bridge Maintenance Partnership Contract) is now complete, using the £11.8m maximum funding availability from the Silver Jubilee Bridge (SJB) Complex Major Maintenance Scheme.

However, a further £4.88M has been deferred to 2017/18 to allow for the completion of the scope of the original works which clashed with the construction of the Mersey Gateway. These works will now be undertaken during a period of total closure of the Silver Jubilee Bridge following opening of the Mersey Gateway crossing in September 2017. The intention is to procure these works in conjunction with the works required to modify and improve the SJB to suit its post Mersey Gateway function in accommodating all local traffic, pedestrians and cyclists. This procurement will commence in 2016.

The intention is to procure these works in conjunction with the works required to modify and improve the Silver Jubilee Bridge to suit its post Mersey Gateway function in accommodating all local traffic, pedestrians and cyclists and this procurement will be commencing in 2016.

Highway Development

Development

The scale and pace of new development across the Borough is expected to continue over the period covered by the Plan. New housing development at Sandymoor and Daresbury; continuing house building in north Widnes and in Castlefields; major industrial / commercial development at 3MG / Stobart, Widnes Waterfront, Sci-tech Daresbury and within the Borough's town centres, will in combination have significant impacts across the Highway Development Division. In addition, changes to planning legislation and the transition to the National Planning Policy Framework aimed at assisting developments, is expected to place additional demands on the service.

Sustainable Drainage Legislation

Government recently consulted on an alternative approach to delivering sustainable drainage systems for major developments through changes to the planning regime, and subsequently, on making Lead Local Flood Authorities statutory consultees, providing technical advice to the LPA on planning applications with surface water drainage implications. This is significantly different from the procedure envisaged in the Flood & Water Management Act legislation, but will nevertheless still place additional burdens on the Highway Development Division. Government's views and detailed proposals following the consultation response are awaited.

Lead Local Flood Authority Role

As mentioned above, under the 'Development' heading, SuDS legislation is expected to be delivered through changes to the Planning Act, introduced during 2015.

As a prospective Statutory Consultee, the Highways Development Division will be required to provide formal comment and advice on the suitability of surface water drainage schemes for major developments and their future management and maintenance. Assessment of the impact of new development on flooding, through the planning process, is an increasing responsibility for the Division, as the Environment Agency will focus on its strategic overview role more in the future.

The management of surface water drainage and flood risk assets, including the formal regulation of work by third parties is a relatively new area of responsibility under the Flood and Water Management Act (FWMA).

The NW Regional Flood and Coastal Committee recently approved a six year capital investment programme for flood defence / flood risk management schemes, funded through Defra Grant in Aid. This is complemented by a six year Local Levy Fund programme. Halton has schemes within each programme and will continue to assess schemes and, where appropriate, submit them for consideration for inclusion in the six year rolling programme. Under Defra's partnership approach to funding flood defence, locally-sourced capital allocations will be necessary if Halton's Flood Risk Management (FRM) scheme proposals are to be successful in being awarded Grant funding and entry into the programmes.

Health and Transport shared priorities

There is a growing opportunity for Health and Transport sections to work together. Government guidance highlights the need for both sectors to collaborate to tackle the growing issues around Air Quality, Obesity and Road Safety. Halton has begun to explore these opportunities and, although in its infancy, a number potential projects have been identified.

Traffic, Risk and Emergency Planning/H&S

A number of joint contracts for works within the Combined Authority area are being investigated to achieve cost savings and more efficient ways of working. One of the first projects being considered is the linking of the separate Intelligent Transport Systems that exist across the LCR, and which include all the Variable Message Signs (VMS). Subject to agreed protocols being developed, this could for example result in the sharing of VMS by authorities.

Officers are currently working on a proposal to implement a Permit Scheme that will enable better control of works being undertaken by Statutory Undertakers. The changes require Statutory Legislation which could be delayed by the General Election but it is hoped that a scheme will be operational by January 2016.

Due to staff safety concerns in Council buildings, the CCTV in these buildings is being transferred to the CCTV Control for central monitoring as funds permit. Halton Lea Direct Link has been transferred and Ditton Direct Link is underway, which will include an external camera that will also monitor the Queens Avenue shops. In order to reduce revenue costs, the CCTV system is being upgraded to use wireless communications and the Council's ICT Network.

Logistics

The Transport industry in recent years has witnessed increases in operating costs year on year and reports by the Department for Transport show that these costs will continue to increase. Transport operators have attributed this to insurance and staff cost increases.

The bus shelter contract which provides for the supply and maintenance of 38 of the 293 bus shelters across the Borough came to an end in October 2014. Funding will need to be identified during the life of this business plan to replace these shelters. The cost of replacing the shelters will be in the region of £95,000 based on supply and install only.

Policy & Development Services

The workload of the Division continues to be driven by changing national government policy and initiatives to tackle the public deficit.

Reducing budgets, combined with factors such as demographic change, increased demand and new government policy mean that there is an increasing focus on the principles arising from the Government's Open Public Services agenda of:

- Choice – to give choice to individuals wherever possible and, where direct choice is not possible, to give control to elected representatives.
- Decentralisation – power should be devolved to the lowest possible level.
- Diversity of providers – public services should be open to competition from a range of providers of different sizes and sectors.
- Fairness – ensuring fair access.
- Accountability – public services which are held to account by citizens and elected representatives.

These principles set the tone for a range of policy initiatives and legislation emerging from the current government administration.

Joint working in the Liverpool City Region continues to move forward through the Combined Authority and is likely to result in new ways of working. The devolution agenda is also likely to be a key feature of debate for the forthcoming General Election, with new powers for regions being anticipated as a result.

Planning Policy

Planning reforms continue to be proposed by Government, and may depend on the outcome of the General Election. Proposals being discussed include requiring the establishment of Local Development Orders (LDOs) to permit housing on 90% of suitable brownfield land, with those Councils failing to establish these LDOs being placed in 'Special Measures'. If introduced, this would divert significant resources from producing the Local Plan and impact on Development Management fees income.

Public Health and Public Protection

Transfer and access of some required data sets- particularly relating to NHS data for which Public Health have accountability for reporting is problematic. This is a national issue and solutions are being sought both locally and nationally. Some data sets may not therefore be as current as possible and provisional data may not yet be verified as a result of this situation.

Economic Downturn- This has affected a number of services across Environmental and Public Health, for example, pest control where residents are choosing to deal with issues themselves rather than pay the Pest Control service to deal with it. Evidence shows that economic downturn can also have implications for public health for example in terms of diet and healthy eating, mental health and depression, suicide rates and smoking.

GP Strategy, Halton CCG has worked with local practices to redefine how primary care will work in the future and there will be new opportunities for practices to work differently, new models of engagement with health improvement, pharmacies; wellbeing and other community providers. The primary care strategy group has worked in concert with public health on developing a focus on cancer and cardiovascular disease.

5.0 Organisational Initiatives

There are a number of initiatives that have been developed at an organisational level in order to ensure consistency and synergy between individual business units of the Council. As such these initiatives are relevant to the work of all Directorates of the Council and have implications for, and are supported by, the work of the individual departments that sit beneath them. Such initiatives include:-

5.1 Equality, Diversity and Community Cohesion

Halton Council is committed to ensuring equality of opportunity within all aspects of its service design and delivery, policy development, and employment practices. This commitment is reflected in a range of policies, strategies, and other framework documents and practices that underpin the work of the Council through its day-to-day operational activities.

The Council's [Single Equality Scheme](#) sets out the Council's approach to promoting and securing equality of opportunity, valuing diversity and encouraging fairness, and creating and promoting a social environment in which people can work, learn, and live free from discrimination and victimisation in all of its forms. The Council will combat discrimination throughout the organisation and will use its position of influence in the borough to help to identify and remove discriminatory barriers and practices where they are found to exist.

The Council has developed a systematic approach to examine and address the equality implications of its existing and future policies, procedures, and practices through the use of a Community Impact Review and Assessment process.

The Public Sector Equality Duty requires the authority to publish equality information annually and the progression of equality-related issues will be monitored through this process.

5.2 Environmental Sustainability

The Council is committed to taking a lead and setting an example in tackling climate change. The Council has developed a Carbon Management Plan that will support the organisation in managing its carbon emissions and developing actions for realising carbon and financial savings and embedding carbon management into the authority's day-to-day business.

The Plan was reviewed and updated during 2011/12, with a revised energy emissions reduction target and it is now set at a reduction of between 5% and 10% over 2010/11 figures for a 5 year period. The main measure included in the revised plan is the Green House Gas emissions indicator, which differs from the previous carbon emissions indicator.

The GHG emissions figure for 2011/12 was 23,917 tonnes CO2 which was a 7.3% reduction on the 2010/11 figure. This total figure breaks down as follows:-

Corporate buildings	- 7505 tonnes CO2 (estimated)
Schools	- 8393 tonnes CO2 (estimated)
Street lighting	- 6211 tonnes CO2 (estimated)
Vehicle fleet	- 1359 tonnes CO2 (estimated)
Business Miles	- 449 tonnes CO2 (estimated)

To improve the focus on achieving its targets the Directorate, through the Carbon Group, will develop specific plans and, where appropriate, specific reduction targets around buildings and vehicle fleet and business miles

Linked to the development of the Affordable Warmth Strategy, which aims to raise awareness of fuel poverty and build on referral mechanisms, it is also intended to improve properties in terms of energy efficiency through appropriate insulation and improved heating systems, which will contribute to the Council's commitment to tackling Climate Change issues.

Eco-friendly solar panels at the Stadium are due to generate income of £12,000 a year for the Council as well as saving up to £3,000 a year in energy bills. The Council will benefit from income from the feed in tariff from the solar panels – 32.9 p for every kWh it generates income which will increase year-on-year in line with inflation. The total energy saving will be in the region of £75,000 over 25 years.

5.3 Risk Management

Risk Management, which forms a key element of the strategic and performance management processes of the Council, is a business discipline that is used to effectively manage potential opportunities and threats to the organisation in achieving its objectives.

Risk assessments are the process by which departments identify those issues that are, or may be, likely to impede the delivery of service objectives. Such risks are categorised and rated in terms of both their probability, i.e. the extent to which they are likely to happen, and their severity i.e. the potential extent of their impact should they occur.

Following such assessments a series of risk treatment measures are identified that will mitigate against such risks having an adverse impact upon the delivery of departmental / organisational activities.

Each Directorate will maintain a Risk Register which will be reviewed and refreshed in conjunction with the annual budget setting and business planning process. Additionally the implementation of risk treatment measures will be monitored by the appropriate Strategic Director and reported through quarter 2 mid-year performance reports.

5.4 Arrangements for managing Data Quality

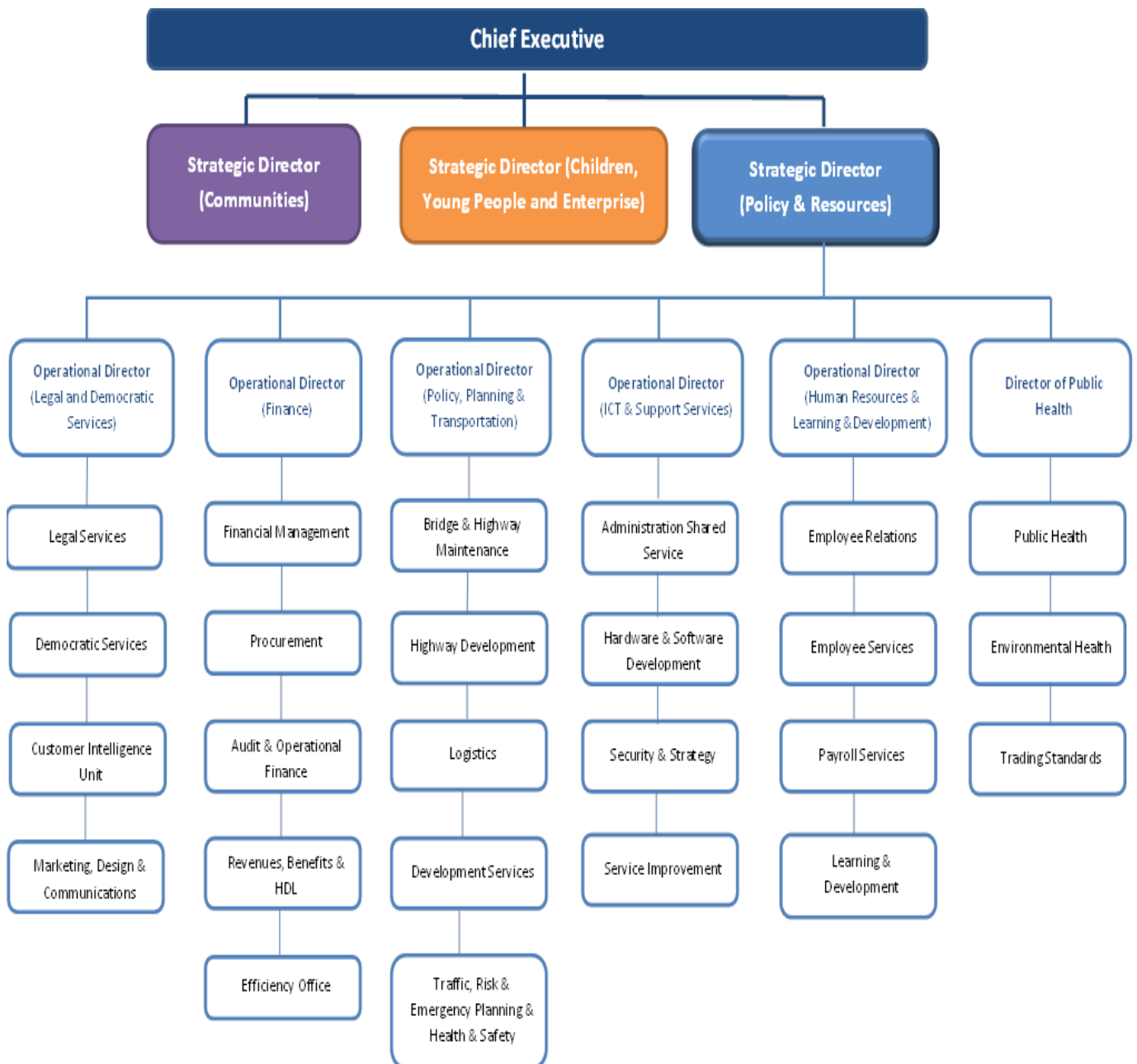
Good quality data provides the foundation for managing and improving services, determining and acting upon shared priorities, and accounting for performance to inspecting bodies and the local community.

In recognising this, the Council has developed a Corporate Data Quality Strategy that will provide a mechanism by which the authority can be assured that the quality of its data remains robust and fit for purpose. This strategy, which will remain subject to periodic review, identifies five key corporate objectives and establishes the key dimensions of good quality data i.e. that data is

<i>Accurate:</i>	For its intended purpose;
<i>Valid</i>	By being consistently recorded and used in compliance with predetermined definitions and rules;
<i>Reliable</i>	By reflecting stable and consistent data collection processes;
<i>Timely</i>	By being made available as soon as possible after the activity or event and in line with organisational requirements;
<i>Relevant</i>	For the purpose intended;
<i>Complete</i>	In that the monitoring of incomplete, missing or invalid data is avoided as far as is possible.

6.0 Directorate Structure

The Policy and Resources Directorate comprises of the following six departments, each supported by a number of operational teams.



7.0 Resources

The current and on-going financial climate will continue to pose challenges and the Directorate will need to retain a focus upon minimising costs and overheads wherever possible.

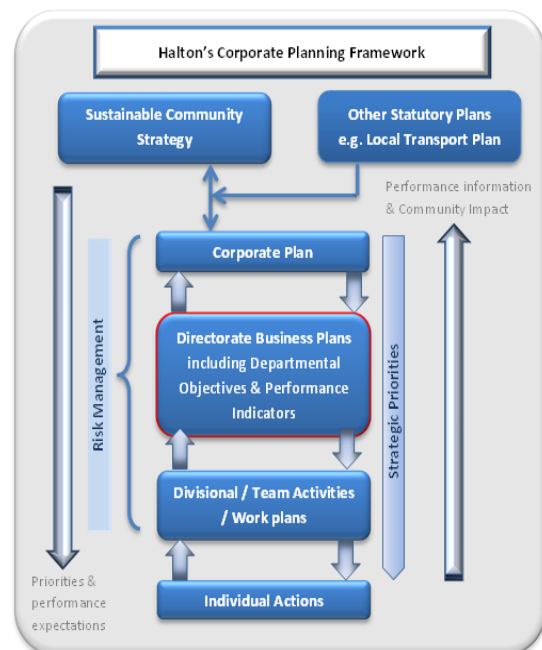
At the time of writing this plan there are no significant additional human resource, property or ICT requirements. The Directorate will continue to focus upon maximising the value and minimising the costs of the resources that it has at its disposal.

8.0 Business Planning

Directorate Plans form an integral part of the authority's corporate planning framework, as illustrated within the diagram opposite.

This framework ensures that the Council's operational activities are complementary to the delivery of its community aspirations and legal and statutory responsibilities.

Such plans, and the Quarterly Monitoring Reports that flow from them, are an essential tool in enabling the public, Elected Members, Senior Management, and staff how well Council departments are performing and what progress is being made in relation to improving the quality of life within the borough and service provision for local people, businesses and service users.



Performance Monitoring and Reporting

It is imperative that the Council and interested members of the public can keep track of how the Council and its Departments are progressing and that mechanisms are in place to enable councillors and managers to see whether the service is performing as planned.

As a result Departmental progress will be monitored through:

- **The day to day monitoring by Strategic Directors through their regular interaction with Operational Directors;**
- **Provision of Quarterly progress reports to Corporate and Directorate Management Teams;**

- **The inclusion of Quarterly progress reports as a standard item on the agenda of all the Council's Policy and Performance Boards.**
- **Publication of Quarterly monitoring reports on the Councils intranet site.**

In demonstrating its commitment to exploiting the potential of Information and Communications Technology to improve the accessibility of its services and related information an extensive range of documentation, including this plan and its associated quarterly monitoring reports, are available via the Council's website at

<http://www3.halton.gov.uk/content/councilanddemocracy/council/plansandstrategies>

Additionally information and assistance can be accessed through any of the Council's Halton Direct Link facilities (HDL) or the Council's libraries.

Appendices 1 - 6

Departmental Service Objectives / Key Milestones and Performance Indicators / Targets

- 1** Finance
- 2** Human Resources and Organisational Learning & Development
- 3** ICT and Administrative Support Services
- 4** Legal and Democratic Services
- 5** Policy, Planning & Transportation
- 6** Public Health

1. Finance – Objectives and Performance Indicators

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: FS 01	Set the Revenue Budget, Capital Programme and Recommend Council Tax		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Report Medium Term Financial Strategy to Executive Board November 2015 • Report to Council in March 2016 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Report Medium Term Financial Strategy to Executive Board November 2016 • Report to Council in March 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Report Medium Term Financial Strategy to Executive Board November 2017 • Report to Council in March 2018 		
	Responsible Officer	Operational Director	Linked Indicators

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: FD 02	To effect financial prudence by assisting managers to control their budgets by monitoring spending and providing timely and accurate financial reports		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Provide monthly financial reports to budget holders within 8 days of month end. • Provide quarterly financial monitoring reports to Operational Directors for inclusion in Performance Monitoring Reports. • Provide quarterly monitoring reports on the overall budget to Executive Board. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Provide monthly financial reports to budget holders within 8 days of month end. • Provide quarterly financial monitoring reports to Operational Directors for inclusion in Performance Monitoring Reports. • Provide quarterly monitoring reports on the overall budget to Executive Board. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Provide monthly financial reports to budget holders within 8 days of month end. • Provide quarterly financial monitoring reports to Operational Directors for inclusion in Performance Monitoring Reports. • Provide quarterly monitoring reports on the overall budget to Executive Board. 		
	Responsible Officer	Divisional Manager Financial Management	Linked Indicators

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: FD 03	Provide for public accountability by reporting the Councils stewardship of public funds and its financial performance in the use of resources by preparing the final accounts as required by statute and in accordance with the latest accounting standards.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Complete the Draft Abstract of Accounts for certification by Chief Financial Officer by 30th June 2015. • Publish the Abstract of Accounts by 30th September 2015. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Complete the Draft Abstract of Accounts for certification by Chief Financial Officer by 30th June 2016. • Publish the Abstract of Accounts by 30th September 2016. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Complete the Draft Abstract of Accounts for certification by Chief Financial Officer by 30th June 2017. • Publish the Abstract of Accounts by 30th September 2017. 		
	Responsible Officer	Divisional Manager Financial Management	Linked Indicators

Service Objective: FD 04	Make best use of cash resources available to the Council and meet its statutory responsibility by setting, implementing and monitoring the Treasury Management Policy		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Establish Treasury Management Policy and report to the Council by April 2015. • Provide monitoring reports to the Executive Board on a quarterly basis. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Establish Treasury Management Policy and report to the Council by April 2016. • Provide monitoring reports to the Executive Board on a quarterly basis. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Establish Treasury Management Policy and report to the Council by April 2017. • Provide monitoring reports to the Executive Board on a quarterly basis. 		
	Responsible Officer	Operational Director	Linked Indicators

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: FD 05	Ensure that the Capital Programme is affordable, prudent, and sustainable by setting and monitoring prudential borrowing indicators.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> Establish and report prudential indicators to Council in March 2015. Provide monitoring reports to the Executive Board on a quarterly basis. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> Establish and report prudential indicators to Council in March 2016. Provide monitoring reports to the Executive Board on a quarterly basis. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> Establish and report prudential indicators to Council in March 2017. Provide monitoring reports to the Executive Board on a quarterly basis. 		
	Responsible Officer	Operational Director	Linked Indicators

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: FD 06	Provide an independent and objective opinion of the Council's control environment by evaluating its effectiveness in achieving the Council's objectives.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> Carry out sufficient audit work across the whole of the organisation to ensure that a confident, evidence based audit opinion can be provided on the Council's control environment and provide quarterly progress reports to Business Efficiency Board. Provide an overall opinion on the Council's system of internal control in the Internal Audit Annual Report to the Business Efficiency Board in June 2015. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> Carry out sufficient audit work across the whole of the organisation to ensure that a confident, evidence based audit opinion can be provided on the Council's control environment and provide quarterly progress reports to Business Efficiency Board. Provide an overall opinion on the Council's system of internal control in the Internal Audit Annual Report to the Business Efficiency Board in June 2016. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> Carry out sufficient audit work across the whole of the organisation to ensure that a confident, evidence based audit opinion can be provided on the Council's control environment and provide quarterly progress reports to Business Efficiency Board. Provide an overall opinion on the Council's system of internal control in the Internal Audit Annual Report to the Business Efficiency Board in June 2017. 		
	Responsible Officer	Divisional Manager Audit & Operational Finance	Linked Indicators

Service Objective: FD 07	Continue to identify and exploit the potential for further efficiency gains by enhancing the authority's approach to the procurement of goods and services.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> Report to the Business Efficiency Board bi-annually on the on-going delivery of the Council's Procurement Strategy 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> Report to the Business Efficiency Board bi-annually on the on-going delivery of the Council's Procurement Strategy 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> Report to the Business Efficiency Board bi-annually on the on-going delivery of the Council's Procurement Strategy 		
	Responsible Officer	Divisional Manager Procurement	Linked Indicators

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: FD 07	Progress the Council wide Efficiency Programme in line with published Efficiency Programme Plan to develop revised service delivery models and generate sustainable revenue budget savings.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> Report to the Business Efficiency Board on the on-going delivery of the Council's Efficiency Programme (May, Sept, Nov & Jan meetings) 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> Report to the Business Efficiency Board on the on-going delivery of the Council's Efficiency Programme (May, Sept, Nov & Jan meetings) 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> Report to the Business Efficiency Board on the on-going delivery of the Council's Efficiency Programme (May, Sept, Nov & Jan meetings) 		
	Responsible Officer	Divisional Manager Efficiency Programme Office	Linked Indicators

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18

Corporate Health

FS LI 01	Receive an unqualified external audit opinion on the accounts.	Yes	Yes		TBA	TBA	TBA
FS LI 02	Receive positive comment (annually) from the External Auditor relating to the financial standing of the Council and the systems of internal financial control.	Yes	Yes		TBA	TBA	TBA
FS LI 03	Receive confirmation from External Auditor (annually) that reliance can be placed upon the work of Internal Audit.	Yes	Yes		TBA	TBA	TBA
FS LI 04	Proportion of Council Tax that was due that was collected	95.82	95.00+		TBA	TBA	TBA
FS LI 05	The percentage of Business Rates which should have been received during the year that were received	97.08	95.00+		TBA	TBA	TBA

Cost & Efficiency

FS LI 06	Achieve investment returns for the year higher than benchmark	0.95	0.34		See footnote ¹		
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¹ NB – Targets to be determined annually post April following tracking of Interbank Bid Rate.

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18

Corporate Health

FS LI 07	Average time for processing new claims (Housing & Council Tax Benefit)	15.18	17		TBA	TBA	TBA
FS LI 08	Average time for processing notifications of changes in circumstances	2.83	5.3		TBA	TBA	TBA

2. Human Resources and Organisational Learning & Development - Objectives and Performance Indicators

Corporate Priority:	Corporate Effectiveness and Business Efficiency		
Service Objective:	<i>Implement appropriate Human Resource related organisational control and information processes to ensure that statutory obligations and corporate business needs are met.</i>		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • To adapt the service to accommodate the increasing number of external payrolls as a result of more schools becoming Academies September 2015 • On-going enhancements to i-Trent system capabilities March 2015 • To implement change to Teachers Pension Scheme by April 2015 • Provide support and advice to Directorates on the HR implications of revised structures such as Voluntary Early Retirement, redundancy etc. Dec 2016 • Settle outstanding Equal Pay claims March 2016 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Provide support and advice to Directorates on the HR implications of revised structures such as Voluntary Early Retirement, redundancy etc. Dec 2017 • Settle outstanding Equal Pay claims March 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Provide support and advice to Directorates on the HR implications of revised structures such as Voluntary Early Retirement, redundancy etc. Dec 2018 • Settle outstanding Equal Pay claims March 2018 		
	Responsible Officer		Linked Indicators

Appendix 2 – Human Resources and Organisational Learning & Development

Corporate Priority:	Corporate Effectiveness and Business Efficiency		
Service Objective:	<i>To enhance the efficiency and effectiveness of corporate training opportunities through the design and implementation of appropriate learning interventions</i>		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Promote and take forward the delivery of actions identified within Corporate People’s Plan March 2016 • Review and refresh annual training calendar March 2016 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Promote and take forward the delivery of actions identified within Corporate People’s Plan March 2017 • Review and refresh annual training calendar March 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Promote and take forward the delivery of actions identified within Corporate People’s Plan March 2018 • Review and refresh annual training calendar March 2018 		
	Responsible Officer		Linked Indicators

Appendix 2 – Human Resources and Organisational Learning & Development

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18

Corporate Health

HRLD LI 01	The number of working days / shifts lost due to sickness (Corporate)	11.24	8.5	TBA	TBA	TBA	TBA
HRLD LI 02a	Total FTE Establishment	3,806	N / A	TBA	These measures are being reported for information purposes only and the setting of targets considered inappropriate.		
HRLD LI 02b	Total Staff (head count)	5,055	N / A	TBA			
HRLD LI 03	Current advertised vacancies	-	N / A	TBA			

Cost & Efficiency

HRLD LI 04	% of training delegates attending as proportion of places reserved	86	90	TBA	TBA	TBA	TBA
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Fair Access

HRLD LI 6	The percentage of top 5% of earners that are ²						
	a) women	55.47	50	TBA	TBA	TBA	TBA
	b) from BME communities.	2.80	1.5	TBA	TBA	TBA	TBA
	c) with a disability	0.68	8.0	TBA	TBA	TBA	TBA

² Performance targets for these measures take account of local demographic profiles

Appendix 2 – Human Resources and Organisational Learning & Development

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18
HRLD LI 7	No of staff declaring that they meet the Disability Discrimination Act as a % of the total workforce.	1.49	10.0	TBA	TBA	TBA	TBA
HRLD LI 8	Minority Ethnic community staff as % of total workforce.	1.13	1.0	TBA	TBA	TBA	TBA

3. ICT and Administrative Support Services - Objectives and Performance Indicators

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: ICT 01	Constantly evaluate and improve the usability, resilience, control and flexibility of the Council’s Data Communications Network, Hardware and Software Infrastructure.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Continued Enhancement of the virtualization platform to enhanced or new technologies March 2016 • Further development of Cloud Services Platform March 2016 • SharePoint and Records Management enhancements March 2016 • Continued Social Care Systems Service Support Programme March 2016 • OC and Desktop OS Replacement Programme March 2016 • Continued Lync Enhancement Programme March 2016 • Interactive Web Services Enhancement and further SharePoint Integration March 2016 • Further development of commercial ICT opportunity within desktop, hosting and DR provision March 2016 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Continued Enhancement of the virtualization platform to enhanced or new technologies March 2017 • Further development of Cloud Services Platform March 2017 • SharePoint and Records Management enhancements March 2017 • Continued Social Care Systems Service Support Programme March 2017 • OC and Desktop OS Replacement Programme March 2017 • Continued Lync Enhancement Programme March 2017 • Interactive Web Services Enhancement and further SharePoint Integration March 2017 • Further development of commercial ICT opportunity within desktop, hosting and DR provision March 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Formal Review Cloud Platform for service provision and potential replacement in line with new technology developments March 2018 • Formal Review Hardware requirements for potential replacement in line with new technology developments January 2018 		
Responsible Officer		Linked Indicators	

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: ICT 02	The implementation of a range of new corporate wide facilities including Web services, records & document management, business process workflow, corporate desktop portal.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Continuing improvements, enhancements and potential commercial use of Cloud system - March 2016 • Continuing workflow implementation - March 2016 • Improvement and enhancement of all web based customer interfaces - March 2016 • Continued development of document management and distribution services - March 2016 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Continuing improvements, enhancements and potential commercial use of Cloud system - March 2017 • Continuing workflow implementation - March 2017 • Improvement and enhancement of all web based customer interfaces - March 2017 • Continued development of document management and distribution services - March 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Continuing improvements, enhancements and potential commercial use of Cloud system - March 2018 • Continuing workflow implementation - March 2018 • Improvement and enhancement of all web based customer interfaces - March 2018 • Continued development of document management and distribution services - March 2018 		
	Responsible Officer	DM – Hardware and Software	Linked Indicators ICT LI 06

Appendix 3 – ICT and Administrative Support Services

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: ICT 03	Constantly evaluate and improve the delivery of administrative services across the Council’s Corporate and Directorate requirement through the use of business re-engineering		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Continual development of the I Want Admin Portal March 2016 • Develop and enhance operational Records management Unit Services March 2016 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Continual development of the I Want Admin Portal March 2017 • Develop and enhance operational Records management Unit Services March 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Continual development of the I Want Admin Portal March 2018 • Develop and enhance operational Records management Unit Services March 2018 		
	Responsible Officer	OD/DM – Admin Shared Service	Linked Indicators N/A

Service Objective:	Evolve, improve and redevelop customer contact and reactive fix services, access channels and availability.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Conduct & Evaluate point of contact Satisfaction survey for ICT & Support Services March 2016. • Further Development of I Want IT portal March 2016 • Further Internal Development of ICT Service Desk Software March 2016 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Conduct & Evaluate point of contact Satisfaction survey for ICT & Support Services March 2017. • Further Development of I Want IT portal March 2017 • Further Internal Development of ICT Service Desk Software March 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Conduct & Evaluate point of contact Satisfaction survey for ICT & Support Services March 2018. • Further Development of I Want IT portal March 2018 • Further Internal Development of ICT Service Desk Software March 2018 		
	Responsible Officer	DM – Security & Strategy	Linked Indicators N/A

Appendix 3 – ICT and Administrative Support Services

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18

Corporate Health

ICT LI 01	Average availability of the Council’s operational servers (%).	99.9	99		TBA	TBA	TBA
ICT LI 02	Average availability of the Councils WAN infrastructure (%).	99	99		TBA	TBA	TBA

Service Delivery / Quality

ICT LI 03	% Of all calls received that were resolved at the Help Desk.	84	65		TBA	TBA	TBA
ICT LI 04	% Of all responsive repairs completed within 2 working days.	94	80		TBA	TBA	TBA
ICT LI 05	School Support SLA: % of calls responded to within <u>agreed</u> target*.				TBA	TBA	TBA
	Priority 1	100	85		TBA	TBA	TBA
	Priority 2	100	90		TBA	TBA	TBA
	Priority 3	100	95		TBA	TBA	TBA
	Priority 4	100	100		TBA	TBA	TBA
ICT LI 08	Average working days from delivery to completion of a new PC	5	5		TBA	TBA	TBA

Appendix 3 – ICT and Administrative Support Services

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18
ICT LI 09	Number of teams rolled out on CareFirst6 / Integrated Children’s System (ICS)	All	TBA ³		TBA	TBA	TBA

³ Targets for 2013 onwards will be determined following the finalisation of future structural arrangement

4. Legal and Democratic Services - Objectives and Performance Indicators

Corporate Priority:	Corporate Effectiveness & Business Efficiency		
Service Objective: LD 01	To ensure that decision makers are supported through the provision of timely and accurate advice and information and are kept informed of changing legislation and responsibilities		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> Review constitution May 2015 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> Review constitution May 2016 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> Review constitution May 2017 		
	Responsible Officer	Operational Director	Linked Indicators

Service Objective: LD 02	To provide efficient and effective Democratic Support Services that provides Elected Members, as key decision makers, with the necessary information, support and training opportunities to fulfil their individual potential and management and governance role effectively		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> To ensure that all members have been given the opportunity of a having a MAP meeting. To induct all new members by October 2015 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> To ensure that all members have been given the opportunity of a having a MAP meeting. To induct all new members by October 2016 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> To ensure that all members have been given the opportunity of a having a MAP meeting. To induct all new members by October 2017 		
	Responsible Officer	Operational Director	Linked Indicators

Appendix 4 – Legal and Democratic Services

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18

Corporate Health

LD LI 01	No. Of Members with Personal Development Plans (56 Total).	54 (96%)	56 (100%)		TBA	TBA	TBA
LD LI 02	Percentage of Members attending at least one organised Training Event.	93%	100%		TBA	TBA	TBA
LD LI 03	Average Time taken to issue prosecutions from receipt of full instructions (working days).	10	10		TBA	TBA	TBA
LD LI 04	Average time taken to send out first draft business lease from receipt of complete instructions from Property Services (working days).	20	20		TBA	TBA	TBA
LD LI 05	Average time taken to file application for Care proceedings at Court from receipt of all written evidence from client department (working days).	1	3		TBA	TBA	TBA
LD LI 06	Members of Public attending Council Meetings (Council, PPBs, Exec Board, Exec Board Sub, Area Forums) – For information.	158	N / A		TBA	TBA	TBA
LDLI 07	No. Of Questions asked by Members of the Public at Council Meetings (Council, PPBs, Exec Board, Exec Board Sub, Area Forums) – For information	31	N / A		TBA	TBA	TBA
LDLI 08	% of Executive Board, Executive Board Sub-Committee and Mersey Gateway Executive Board minutes published within 5 working days after the meeting.	100%	100%		TBA	TBA	TBA
LDLI 09	% Of those eligible casting a vote in local elections. – For information	N / A	N / A		TBA	TBA	TBA

Appendix 4 – Legal and Democratic Services

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18
LDLI 10	% Of completed form A's (register of voters) returned	87%	90%		TBA	TBA	TBA
LDLI 11	% satisfaction with Inside Halton	95%	93%		TBA	TBA	TBA

5. Policy, Planning & Transportation - Objectives and Performance Indicators

Corporate Priority:	Environment and Regeneration in Halton		
Service Objective: PPT 01	Silver Jubilee Bridge Complex Major Maintenance – Delivery of LCR Full Business Case and subsequent Procurement of Contractors to complete works over 3 year period from April 2016. This will ensure continued unrestricted availability of the SJB crossing and to allow future maintenance to be delivered on a steady state, lifecycle planned basis.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Deliver 2015/16 major bridge maintenance works programme. March 2016 • Procure contract for combined delivery of deferred SJB major maintenance and SJB modifications required as part of MG delinking, March 2016. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Review progress against LCR SJB maintenance strategy and deliver 2015/16 major bridge maintenance works programme, March 2017. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Review progress against LCR SJB maintenance strategy and deliver 2015/16 major bridge maintenance works programme, March 2018. 		
	Responsible Officer		Linked Indicators

Service Objective: PPT 02	Deliver the statutory development plan as required by the Town and Country Planning Acts to provide a clear direction for the future development of the Borough. Provide operational policies that implement strategy and ensure transparent and accountable service delivery.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Complete the partial review of Green Belt Review within Widnes and Hale. • Adopt a charging schedule for Community Infrastructure Levy. March 2016 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Adopt the Delivery and Site Allocations Local Plan (DALP) March 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Production of SPDs and Planning Briefs. March 2017 		
	Responsible Officer	DM Policy & Development Services	Linked Indicators PPT LI 02 / 03

Corporate Priority:	Environment and Regeneration in Halton.		
Service Objective: PPT 03	LTP Capital Programme – Deliver the LTP Capital Programmes to ensure that the transport system is maintained and developed to meets local needs.		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> To deliver the 2015/16 LTP Capital Programme March 2016. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> To deliver the 2016/17 LTP Capital Programme March 2017. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> To deliver the 2017/18 LTP Capital Programme March 2018. 		
	Responsible Officer	Divisional Manager Highway Development	Linked Indicators

Service Objective: PPT 04	Flood Risk Management - to manage the risk of local flooding (i.e. flooding arising from surface water, groundwater and ordinary watercourses) across the Borough		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> To manage the Flood Defence Grant in Aid capital programme of scheme delivery, and preparation of funding bid for future years. March 2016 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> To manage the Flood Defence Grant in Aid capital programme of scheme delivery, and preparation of funding bid for future years. March 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> To manage the Flood Defence Grant in Aid capital programme of scheme delivery, and preparation of funding bid for future years. March 2018 		
	Responsible Officer	Divisional Manager Highway Development	Linked Indicators

Appendix 5 – Policy, Planning & Transportation

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18

NB – Measures LI 05 / 12 / 13 / 14 / 15 / 17 / 19 also form part of Halton’s Sustainable Community Strategy

Corporate Health

PPT LI 01	Number of third party compensation claims received due to alleged highway / footway defects.	132	110		TBA	TBA	TBA
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Service Delivery

PPTLI 02 (Ex NI 154)	Net additional homes provided	N/A	552		TBA	TBA	TBA
PPTLI 03 (Ex NI 155)	Number of affordable homes delivered (gross)	N/A	100		TBA	TBA	TBA
PPT LI 04 (ex NI 157)	Processing of planning applications (%) as measured against targets for,				TBA	TBA	TBA
	a) ‘major’ applications	66.7%	60%		TBA	TBA	TBA
	b) ‘minor’ applications	30.9%	85%		TBA	TBA	TBA
	c) ‘other’ applications	70.4%	85%		TBA	TBA	TBA

Appendix 5 – Policy, Planning & Transportation

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18
PPT LI 05	To ensure a five year rolling supply of housing land available for 2,760 homes over 5 years. Measure as supply of ready to develop housing sites (%).	119	100		TBA	TBA	TBA
PPT LI 06	No. of people killed or seriously injured (KSI) in road traffic collisions. (5 Year Av.)	40.4 (2013)	42.8 (2014)		TBA	TBA	TBA
PPT LI 07	No. of children (<16) killed or seriously injured (KSI) in road traffic collisions. (5 year Av.)	6.2 (2013)	7.2 (2014)		TBA	TBA	TBA
PPT LI 08	No. of people slightly injured in road traffic collisions.	307 (2013)	390 (2014)		TBA	TBA	TBA
PPT LI 09	The percentage change in number of people killed or seriously injured during the calendar year compared to the previous year. Figures are based on a 3 year rolling average, up to the current year.	0.8% (2013)	-10.8% (2014)		TBA	TBA	TBA
PPT LI 10	The percentage change in number of children killed or seriously injured during the calendar year compared to the previous year. Figures are based on a 3 year rolling average, up to the current year.	16.7% (2013)	-10.0% (2014)		TBA	TBA	TBA
PPT LI 11	Damage to roads and pavements (% dangerous damage repaired within 24 hours).	99%	98%		TBA	TBA	TBA
PPT LI 12	Average number of days taken to repair street lighting fault: non-DNO (Street lights controlled by the authority). (Previously BVPI 215a).	4	5		TBA	TBA	TBA

Appendix 5 – Policy, Planning & Transportation

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18
PPT LI 13	Average number of days taken to repair street lighting fault: DNO (Street lights controlled by the energy provider). (Previously BVPI 215b).	13	30		TBA	TBA	TBA
PPT LI 14	% of network where structural maintenance should be considered:				TBA	TBA	TBA
	a) Principal Roads	1%	2%		TBA	TBA	TBA
	b) Non-Principal Roads	3%	4%		TBA	TBA	TBA
	c) Unclassified Roads	3%	9%		TBA	TBA	TBA
PPT LI 15	Bus service punctuality, Part 1: The proportion of non-frequent scheduled services on time (%):				TBA	TBA	TBA
	a) Percentage of buses starting route on time	98.05%	98.0%		TBA	TBA	TBA
	b) Percentage of buses on time at intermediate timing points	91.60%	87.50%		TBA	TBA	TBA

Appendix 5 – Policy, Planning & Transportation

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18

Fair Access

PPT LI 16	% of footpaths and Public Rights of Way (PROW) which are easy to use.	87%	90%		TBA	TBA	TBA
PPT LI 17	No. of passengers on community based accessible transport	253,357	267,000		TBA	TBA	TBA
PPT LI 18	% of bus stops with Quality Corridor accessibility features. (No. of stops – 603)	65% (392 Bus stops)	54% (326 Bus Stops)		TBA	TBA	TBA
PPT LI 19	Number of local bus passenger journeys originating in the authority area in one year (000's)	5,522	6,200		TBA	TBA	TBA

6. Public Health - Objectives and Performance Indicators

Corporate Priority:	A Healthy Halton		
Service Objective:	PH 1 – Prevention and early detection of cancer. Working with partner organisations to improve early detection of the signs and symptoms of cancer		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Work with PHE to ensure targets for HPV vaccination are maintained in light of national immunisation Schedule Changes and Service reorganisations. • Working with partners to identify opportunities to increase uptake across the Cancer Screening Programmes by 10%. • Ensure Referral to treatment targets are achieved and minimise all avoidable breaches. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Increase the number of overweight and obese residents attending weight management services across the Borough by 10%. • Increase the number of smokers attending stop smoking services across the Borough by 10%. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Continue to follow the overall trend line in declining cancer Mortality, achieving a Directly Standardised under 75 mortality rate of 174 Cancer deaths per 100,000 population by 2017. 		
	Responsible Officer		Linked Indicators

Corporate Priority:	A Healthy Halton		
Service Objective:	PH2 – Improved Child Development Working with partner organisations to improve the development, health, and wellbeing of children in Halton and to tackle the health equalities affecting that population		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> Facilitate the Early Life Stages development which focusses on a universal preventative service, providing families with a programme of screening, immunisation, health and development reviews, and health, well-being and parenting advice for ages 2½ years and 5 years. Mar 2016 KEY Fully establish the Family Nurse Partnership programme Mar 2016 Facilitate the Halton Breastfeeding programme so that all mothers have access to breastfeeding-friendly premises and breastfeeding support from midwives and care support workers. Achieve UNICEF baby friendly stage 3 award Mar 2016 KEY 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> Monitor and review all PH 2 milestones in line with three year planning cycle. Mar 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> Monitor and review all PH 2 milestones in line with three year planning cycle. Mar 2018 		
	Responsible Officer		Linked Indicators

Service Objective:	PH3 - Reduction in the number of falls in Adults		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> Development of new triage service between Rapid Access Rehabilitation Team and Falls Specialist Service. New Voluntary sector pathway developed to support low-level intervention within falls in the borough. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> Expansion of the Postural Stability Exercise Programme. Review and evaluate the performance of the integrated falls pathway. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> Link falls service to an effective frailty pathway for both Hospitals and community services.. 		
	Responsible Officer	Mark Holt	Linked Indicators

Corporate Priority:	A Healthy Halton		
Service Objective:	PH4- Reduction in the Harm from Alcohol Working with key partners, frontline professionals, and local community to address the health and social impact of alcohol misuse		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Implement the Halton alcohol strategy action plan working with a range of partners in order to minimise the harm from alcohol and deliver on three interlinked outcomes: reducing alcohol-related health harms; reducing alcohol-related crime, antisocial behaviour and domestic abuse and establishing a diverse, vibrant and safe night-time economy. • Deliver a local education campaign to increase the awareness of the harm of drinking alcohol when pregnant or trying to conceive. • Hold a community conversation around alcohol – using an Inquiry approach based on the citizen's jury model of community engagement and ensure recommendations for action are acted upon by all local partners. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Monitor and review all PH 4 milestones in line with three year planning cycle. Mar 2017 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Monitor and review all PH 4 milestones in line with three year planning cycle. Mar 2018 		
	Responsible Officer		Linked Indicators

Service Objective:	PH5- Prevention and early detection of mental health conditions: Working with schools, GP practices, and Children’s Centres to improve the mental health and wellbeing of Halton residents		
Milestone(s) (15 / 16)	<ul style="list-style-type: none"> • Successfully implement a new tier 2 Children and Young Peoples Emotional Health and Wellbeing Service. • Monitor and review the Mental Health Action plan under new Mental Health Governance structures. • Implementation of the Suicide Action Plan. 		
Milestone(s) (16 / 17)	<ul style="list-style-type: none"> • Monitor and Review all PH5 milestones in line with the three year planning cycle. 		
Milestone(s) (17 / 18)	<ul style="list-style-type: none"> • Monitor and Review all PH5 milestones in line with the three year planning cycle. 		
	Responsible Officer		Linked Indicators

Appendix 6 – Public Health and Public Protection

Ref	Description	Halton 13/14 Actual	Halton 14/15 Target	Halton 14/15 Actual	Halton Targets		
					15/16	16/17	17/18
PH LI 01 (SCS HH 7)	Mortality from all cancers at ages under 75 ⁴ (Previously NI 122) 2011 Directly Standardised Rate, per 100,000 population <i>Published data based on calendar year; note year for targets</i>	199.3 2013/14 (Apr-Mar)	182.7 (2015)		TBA	TBA	TBA
PH LI 02	Children achieving a good level of development at the end of reception	37% (2012/13)	N/A		TBA	TBA	TBA
PH LI 03 New SCS Measure Health 2013-16)	Hospital admissions for injuries due to falls (65+) Directly Standardised Rate, per 100,000 population	3515.6 (2013/14) Provisional	3375.8		TBA	TBA	TBA
PH LI 04 (SCS HH 1)	Alcohol related admission episodes - narrow definition	811.8 (2013/14)	811.8		TBA	TBA	TBA
PH LI 05	Under 18 alcohol-specific admissions	73.5 (10/11 to 12/13)	64.3		TBA	TBA	TBA
PH LI 06	Mental health: Self-reported wellbeing.	N / A	69%		TBA	TBA	TBA

⁴ Please note, PH LI 01 and PH LI 03 are based on directly standardised rates. During 2014 the standard population used for such calculations was updated, which has affected rates nationally. As such the rates displayed here may differ substantially from those previously produced. In these terms, the rates stated here, and from now on, are not comparable to those previously stated.

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