

Public Document Pack



Executive Board

Thursday, 27 February 2020 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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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, 19 March 2020*

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PART II	
<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(s) 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.

EXECUTIVE BOARD

At a meeting of the Executive Board on Thursday, 16 January 2020 in The Boardroom, Municipal Building

Present: Councillors Polhill (Chair), D. Cargill, Harris, R. Hignett, S. Hill, Jones, T. McInerney, Nelson, Wharton and Wright

Apologies for Absence: None

Absence declared on Council business: None

Officers present: A. Scott, G. Cook, D. Parr, I. Leivesley, M. Vasic, M. Reaney and E. Dawson

Also in attendance: One member of the press

**ITEMS DEALT WITH
UNDER POWERS AND DUTIES
EXERCISABLE BY THE BOARD**

EXB65 MINUTES

The Minutes of the meeting held on 12 December 2019 were taken as read and signed as a correct record.

**CHILDREN, EDUCATION AND SOCIAL CARE
PORTFOLIO**

EXB66 HALTON SUPPORT AT HOME SERVICE

The Board considered a report of the Strategic Director, People, which sought a waiver of Procurement Standing Orders for the continued provision of the Halton Support at Home Service.

The Board was advised that the British Red Cross (BRC), had been commissioned to provide a Support at Home Service until 31 March 2020. The service provided short term support to people in the transition from hospital to home and was seen as an important part of the discharge management process. It was noted that the Service was also available to people in the community to help avoid hospital admission.

It was reported that the BRC was a specialist provider in delivery of this type of service. In order to support the

Action

Council in its development of out of hospital services with NHS Halton CCG, support the One Halton place based approach and provide continuity of service, a waiver of Procurement Standing Orders was sought to extend the existing contract to 31 March 2022.

RESOLVED: That

- 1) the contents of the report be noted; and
- 2) a waiver in compliance with Procurement Standing Order 1.14.4 (iv) of Part 2 or Part 3 as appropriate, be approved.

Strategic Director
- People

EXB67 SCHOOL ADMISSION ARRANGEMENTS 2021 - KEY DECISION

The Board considered a report of the Strategic Director, People, on School Admission Arrangements for 2021.

The Board was advised that in October 2019, Halton Local Authority issued a statutorily required consultation on the proposed admission arrangements and co-ordinated admission schemes for the September 2021 intake. It was noted that the consultation ran until 8 November 2019, with no changes proposed to the current oversubscription criteria for admission to Local Authority maintained community and voluntary controlled primary schools. No responses to the consultation were received.

It was further noted that all Halton secondary schools were either academies, free schools or voluntary aided and were therefore their own admission authorities, with responsibility for consulting and determining their own admissions criteria and their own Published Admission Number (PAN).

The Board expressed its concerns that Government Policy in relation to school admission arrangements and Academy Schools, seriously limited the ability of the Council to respond to concerns expressed by parents about where their children went to school.

Reason(s) for Decision

The decision was statutorily required.

Alternative Options Considered and Rejected

Other options considered and rejected included the allocation of places to community and voluntary controlled schools through random allocation (lottery), as this method could be seen as arbitrary and random.

Implementation Date

The Policy and co-ordinated schemes would apply for the September 2021 academic intake.

RESOLVED: That

- 1) the Board approves the School Admissions Policy, Admission Arrangements and Co-ordinated Schemes for admission to primary and secondary schools for the 2021/22 academic year;
- 2) where appropriate, schools be invited to increase their numbers to help support the Council to help meet the preference of parents about where their children attend school;
- 3) schools be invited to take advantage of funding available to them from Government to increase their buildings to accommodate increased pupil numbers where necessary; and
- 4) the Leader, on behalf of the Executive Board, write to Mr Twigg M.P. and Mr Amesbury M.P. to seek their support in respect of school admissions arrangements in Halton.

Strategic Director
- People

EXB68 SCHOOLS CAPITAL PROGRAMME – 2020/21 - KEY DECISION

The Board considered a report of the Strategic Director, People, which provided a summary of the Schools Capital Programmes for 2020/21.

The Board was advised that the Department for Education (DfE) had not yet announced the Capital Grant Allocation for 2020/21 at the time of writing the report. However, given the timescales for some of the capital projects, the report used the 2019/20 allocation as the basis for presenting the report to the Board.

The report set out details of the indicative funding available to support capital projects across the school estate

as well as how the School Condition Allocation would be utilised.

Reason(s) for Decision

To deliver and implement the Capital Programmes.

Alternative Options Considered and Rejected

Not applicable.

Implementation Date

Capital Programmes for 2020/21 would be implemented with effect from 1 April 2020.

RESOLVED: That

- 1) the position regarding capital funding from the Department for Education for 2020/21, be noted;
- 2) the proposals to be funded from the School Condition Capital Allocation, be approved; and
- 3) Council be recommended to approve the Capital Allocations for inclusion in the Budget report.

Strategic Director
- People

EXB69 INTEGRATED, UNIVERSAL, TARGETED AND SPECIALIST YOUTH PROVISION POST JULY 2020

The Board considered a report of the Strategic Director, People, on a proposed integrated universal and targeted youth provision contract.

The Board was advised that the Education Act 1986 (updated in 2008), set out the statutory requirements for local authorities to provide youth work in three areas – positive activities; decision making by young people; and 14-19 learning.

It was reported that the continued reduction in youth services had come at a time when those services were most needed, with the risk of child poverty and material deprivation in the UK on the rise in recent years. Members were advised that Halton had a long history of providing young people with opportunities to develop their own unique talents and to access early help.

It was noted that Halton Youth Provision worked

together with a range of agencies to help young people through early intervention and offering a range of support to prevent problems from getting worse. It was proposed that the Integrated Youth Service would have an indicative budget of £633,527 per annum, split across three core functions as detailed in the report.

RESOLVED: That the Board

- 1) note the report; and
- 2) approve the procurement of the new integrated, universal, targeted specialist youth provision for a three year contract with the option to extend for a further 1 plus 1 year.

Strategic Director
- People

EXB70 THE FUNDING FORMULA FOR MAINSTREAM SCHOOLS AND HIGH NEEDS FOR 2020/21

The Board considered a report of the Strategic Director, People, which outlined the proposal for the Dedicated Schools Grant Schools Block Funding Formula for Halton, for mainstream schools and academies for 2020/21.

The Board was advised that the Dedicated Schools Grant was split into four blocks. In July 2017, the Secretary of State confirmed the introduction of the National Funding Formula from April 2018, which calculated the Schools Block element for Halton.

It was reported that after consultation with schools and the Schools Forum, it was decided that Halton mainstream schools and academies would move to the National Funding Formula with transitional protection for 2018/19, as detailed in the report.

On 11 December 2019, a report which highlighted the key changes to the funding of mainstream schools and academies was presented to the meeting of the Schools Forum. Following consultation in November 2019, it was reported that the majority of schools supported the proposal that Schools Forum make a decision on the appropriate level for the Minimum Funding Guarantee at their meeting in January 2020.

Members noted that the grant allocations announced on 19 December 2019, showed an increase of £2.29m to the High Needs Block for 2020/21 compared to the 2019/20

allocation.

RESOLVED: That the Board approves the continuation of the National Funding Formula for 2020/21.

Strategic Director
- People

TRANSPORTATION PORTFOLIO AND PHYSICAL ENVIRONMENT PORTFOLIO

EXB71 MAJOR SCHEMES AND FUNDING UPDATE

The Board considered a report of the Strategic Director, Enterprise, Community and Resources, which provided an update on the major projects underway in the Borough and new relevant funding opportunities.

The report set out details of the major maintenance programme on the Grade II Listed Silver Jubilee Bridge (SJB); the enhanced access into Runcorn's west coast mainline station; and a permanent junction into West Bank and Widnes from the Mersey Gateway Bridge under formation. Members noted that the significant investment described in the report, flowed from the Council's strategic policies contained in the Local Plan, the Mersey Gateway Plus Regeneration Strategy and the Local Transport Plan.

It was reported that newly announced funds could provide Runcorn with access to up to £71m; those funds which could bring significant additional investment were detailed in the report and noted as being:-

- Town Deals;
- Future High Street Funds;
- Liverpool City Region (LCR) Combined Authority Mayoral Fund; and
- LCR Town Centre Commission Fund.

RESOLVED: That

- 1) project progress is noted;
- 2) funding bids are submitted with a view to securing funding for the full programme of works, enhancements and additional phases of the Runcorn Station Quarter Masterplan and wider Runcorn Vision; and
- 3) in association with Resolution 2, the Council be recommended to approve the amendment of the

Strategic Director
- Enterprise,
Community and
Resources

Capital Programme to £50m in respect of the SJB Delinking and Runcorn Station Quarter, to reflect the updated position with respect to opportunities for grant funding.

RESOURCES PORTFOLIO

EXB72 POLICY CHANGES RELATING TO REAR LOADING FULLY ACCESSIBLE HACKNEY CARRIAGE AND PRIVATE HIRE VEHICLES WHERE THE WHEELCHAIR USER IS SECURED IN A FORWARD FACING POSITION

The Board considered a report of the Strategic Director, Enterprise, Community and Resources, relating to policy changes to the current Hackney Carriage and Private Hire vehicle policy. This was in respect of rear loading fully accessible vehicles, where the wheelchair user was fully secured in a forward facing position.

The Board was advised that the Regulatory Committee at its meeting on 27 November 2019, had considered the proposals and recommended adoption. It was noted that the policy changes were the culmination of a consultation exercise via the Taxi Consultative Group.

Appendix 1, attached to the report, contained a copy of the Regulatory Committee Resolution (Minute REG 6 referred); Appendices 2 and 3 contained the report considered by the Committee and responses to the proposals from the UNITE Union, respectively.

RESOLVED: That

- 1) the policy changes as recommended by Regulatory Committee at item 1 of Minute Number REG 6 and as detailed in the Regulatory Committee Agenda dated 27 November 2019, be adopted as Council Policy; and
- 2) the consequential matters set out in items 2, 3 and 4 of Minute Number REG 6 and as detailed in the Regulatory Committee Agenda dated 27 November 2019, be endorsed.

Strategic Director
- Enterprise,
Community and
Resources

EXB73 POLICY CHANGES RELATING TO TAXI LICENSING

The Board considered a report of the Strategic Director, Enterprise, Community and Resources, relating to the adoption of policy changes to taxi licensing.

The Board was advised that the Regulatory Committee at its meeting on 27 November 2019, had considered six changes to the Hackney Carriage and Private Hire Policy. Appendix 1, attached to the report, contained a copy of the Regulatory Committee Resolution (Minute REG 7 referred); Appendix 2 and 3 contained the report considered by the Committee and responses to the proposals from the UNITE Union, respectively.

The Board noted that the only completely new proposal was the introduction of a ten year maximum age for tyres which was part of an initiative being promoted by the licensing authorities throughout the Liverpool City Region area.

RESOLVED: That the Policy changes, as recommended by Regulatory Committee Minute Number REG 7 and as detailed in the Regulatory Committee Agenda dated 27 November 2019, be adopted as Council Policy.

Strategic Director
- Enterprise,
Community and
Resources

PHYSICAL ENVIRONMENT PORTFOLIO

EXB74 REQUEST FOR WAIVER FOR THE ALLOCATION OF A CONTRACT TO HALTON HOUSING TRUST

The Board considered a report of the Strategic Director, People, which sought approval for the continuation of a contract with Halton Housing Trust. This referred to the management of the housing register and the housing allocations process, on behalf of Halton Borough Council.

Members were advised that, as part of the voluntary stock transfer process in 2007, Halton Borough Council opted to transfer its entire housing stock to Halton Housing Trust (HHT). In 2012, a new Choice Based Lettings Scheme – Property Pool Plus (PPP) - went live in Halton which was a sub-regional IT management scheme, operating across the other five local authorities in the Liverpool City Region (LCR) area.

It was reported that since then, the LCR had commissioned an independent review of the way in which the PPP process operated. Members noted that the aim of the review was to consider whether there was a more cost -

effective approach which could deliver the same or improved outcomes for those using the service. A report on the outcome of the review was due in Spring 2020.

In requesting an extension to the current contract with HHT under Procurement Standing Orders, it was reported that as the contract with HHT would have expired before the Board meeting, the Chief Executive had used his emergency powers to authorise an extension to the existing contract for seventeen days from 31 December 2019 to 16 January 2020.

RESOLVED: That

- 1) the contents of the report be noted; and
- 2) a waiver by virtue of Procurement Standing Order 1.14.4 of Part 2 or Part 3 as appropriate, be approved for the extension of the contract with Halton Housing Trust for a further twelve months.

Strategic Director
- People

(N.B. Councillor Wright declared a Disclosable Other Interest in the following item of business as she was a Trustee of Nightstop Communities Northwest)

ECONOMIC DEVELOPMENT PORTFOLIO

EXB75 EXTERNAL FUNDING TEAM UPDATE

The Board considered a report of the Strategic Director, Enterprise, Community and Resources, which provided an update on the work of the External Funding Team.

The Board was advised that the role of the External Funding Team was to help maximise external funding into the Borough. The Team was responsible for preparing medium to large-scale funding bids on behalf of Council colleagues, public sector partners, the voluntary sector and the private sector.

The report set out details of the structure of the Team, its key functions, and the common values and motivations that underpinned the work of the Team. It was noted that in the year to date, specific support had been given to four large-scale Liverpool City Region ESF bids; and continued to support colleagues in bidding to the Strategic Investment Fund (SIF), the Town Centre Commission Fund and the Future High Street Fund, amongst others. In addition, each member of the Team was

assigned to support one or more of the Mersey Gateway Regeneration Plan Plus Impact Areas and the Team was supporting the Borough of Culture Programme for Halton in 2021.

RESOLVED: That the Board

- 1) note the contents of the report; and
- 2) approves the current pipeline project list at Appendix 2, attached to the report.

Strategic Director
- Enterprise,
Community and
Resources

EXB76 SCHEDULE 12A OF THE LOCAL GOVERNMENT ACT 1972 AND THE LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

The Board considered:

- 1) whether Members of the press and public should be excluded from the meeting of the Board during consideration of the following item of business in accordance with Section 100A (4) of the Local Government Act 1972 because it was likely that, in view of the nature of the business to be considered, exempt information would be disclosed, being information defined in Section 100 (1) and paragraph 3 of Schedule 12A of the Local Government Act 1972; and
- 2) whether the disclosure of information was in the public interest, whether any relevant exemptions were applicable and whether, when applying the public interest test and exemptions, the public interest in maintaining the exemption outweighed that in disclosing the information.

RESOLVED: That as, in all the circumstances of the case, the public interest in maintaining the exemption outweighed that in disclosing the information, members of the press and public be excluded from the meeting during consideration of the following items of business in accordance with Section 100A (4) of the Local Government Act 1972 because it was likely that, in view of the nature of the business, exempt information would be disclosed, being information defined in Section 100 (1) and paragraph 3 of Schedule 12A of the Local Government Act 1972.

PHYSICAL ENVIRONMENT PORTFOLIO

EXB77 FOUNDRY LANE RESIDENTIAL

The Board considered a report of the Strategic Director, Enterprise, Community and Resources, which updated Members on the proposals for residential development at Foundry Lane, Widnes.

The report provided Members with details of the proposals, policy and financial implications for their consideration.

RESOLVED: That Executive Board

- 1) supports the principle, subject to planning and other statutory approvals, of bringing forward residential development in the Foundry Lane area, bringing back into use under-utilised brownfield sites and making better use of poor quality industrial sites;
- 2) endorses the decision taken by the Chief Executive in consultation with the Leader and the Portfolio Holders for Physical Environment and Resources to acquire the Stobart Foundry Lane site;
- 3) authorises the Operational Director for Economy, Enterprise and Property to arrange all required documentation to be completed to the satisfaction of the Operational Director, Legal and Democratic Services;
- 4) agrees to accept the offer of grant from Homes England for the purpose of preparing the sites known as Tarmac and Stobart for residential development; and
- 5) agrees to fund any shortfall in the preparatory works for the above two sites, if this exceeds the Homes England grant.

Strategic Director
– Enterprise,
Community and
Resources

MINUTES ISSUED: 21 January 2020

CALL-IN: 28 January 2020 at 5.00 pm.

Any matter decided by the Executive Board may be called in no later than 5.00pm on 28 January 2020.

Meeting ended at 2.30 p.m.

REPORT TO: Executive Board

DATE: 27 February 2020

REPORTING OFFICER: Strategic Director, People

PORTFOLIO: Children, Education and Social Care

SUBJECT: Home Based Respite Care Service in Halton

WARD(S): Borough-wide

1.0 PURPOSE OF THE REPORT

1.1 To seek a waiver in compliance with Procurement Standing Order 1.14.4 iv of part 3 of Procurement Standing Orders, for the continued provision of the Home Based Respite Care Service in Halton delivered by Crossroads Care North West.

2.0 RECOMMENDATION: That Executive Board

- 1) **Note the contents of the report; and**
- 2) **A waiver in compliance with Procurement Standing Order 1.14.4 iv of part 3 of Procurement Standing Orders is approved.**

3.0 SUPPORTING INFORMATION

3.1 Crossroads Care North West is currently commissioned, until 31st March 2020, to provide a planned Home Based Respite Care Service in Halton.

Home Based Respite care provides practical help, personal care and emotional support to people in their own homes, replacing the care normally provided by their informal carer and allowing that carer to have respite from their caring. The Service therefore supports carers and the cared for to help them remain independent for as long as possible.

The service aims to support both the carer and the cared for in enabling regular carers respite. This will allow carers to have time away from their role as informal carer, whilst maintaining a safe and consistent level of support to the individual.

3.2 Respite is often used as an umbrella term, referring to a broad spectrum of activities encompassing home based services. It is generally acknowledged that respite varies according to its nature, circumstances of provision, who it is provided by, or to and when it is available. For the purposes of this contract the service:

- is for planned respite;
- offers flexibility in service provision and service delivery ;
- supports carers of people who live at home with a long-term condition that restricts their ability to get out of their home on their own;

- is delivered to Halton residents;
- is available to adults over 18; and
- is for any adult carer who is identified as having a need.

- 3.3 To ensure that the service delivered is of the necessary quality, we have robust contract management arrangements in place, which consists of the quarterly provision of both quantitative and qualitative information, regular reporting through to Halton Borough Council's Adult Social Services Senior Management Team and half-yearly monitoring meetings with the provider.
- 3.4 As well as being registered with the Care Quality Commission for the provision of personal care, the service has also been subject to a Quality Monitoring Visit in January 2019 by the Borough Council's Adult Social Care Quality Assurance Team; no issues were highlighted with the quality of service being provided.
- 3.5 A waiver in compliance with Procurement Standing Order 1.14.4 iv of part 3 of Procurement Standing Orders is sought to award Crossroads Care North West a contract for a two-year period from 1st April 2020 to 31st March 2022, plus an option to extend for a further one-year period.

4.0 **POLICY IMPLICATIONS**

- 4.1 Continuing this service supports the Council in its development of out of hospital services with NHS Halton Clinical Commissioning Group (CCG) and in respect to the One Halton placed based approach. It also supports our commitment to providing breaks for carers in line with local and national targets and to assist people to live in their own homes and remain independent for as long as possible.
- 4.2 As well as providing high quality care support services, Crossroads are able to offer additional support through their expertise and experience of supporting Carers. As part of the wider Carers Trust network they are able to access individual grants of up to £300 to fund white goods, carer breaks, training and equipment. In addition to this Crossroads Care North West will be allocating £600 from a charitable donation they have received, to support Carers and families in the Halton area, who are suffering financial hardship.

Crossroads use asset based approaches, maximising use of community space wherever possible such as room hire for recruitment and training. This not only generates income for these organisations but also raises awareness of other services, which could benefit staff, volunteers and service users.

Crossroads Care North West are committed to recruiting locally, raising the living standards of local residents through employing a local workforce.

A funding application between Crossroads Care North West and Hope University has been submitted, that (if successful) will support research into the effects of increased fluids and nutrients, into the diet of individuals who receive a social care intervention; part of the research cohort will be secured from Halton residents.

- 4.3 Retendering this contract could result in the Council foregoing a clear benefit in developing out of hospital services with NHS Halton CCG and may result in the Council awarding the contract to another provider, which would result in a risk to continuity of care and support to a vulnerable client group. It is preferred to remain with the existing provider to continue to achieve positive outcomes for the existing client base, and new clients, through well-established relationships that they have with health, social care and the local voluntary and community sector.

5.0 **FINANCIAL IMPLICATIONS**

- 5.1 Waiver in compliance with Standing Order 1.14.4 part 3: Non-Emergency Procedures (exceeding a value threshold of £100,000) on the basis that a full tender process would result in the Council having to forego a clear financial or commercial benefit (1.14.4 iv).
- 5.2 Awarding a contract to the existing provider would support continuity of care for a vulnerable client cohort.
- 5.3 The waiver would be effective for the period 1st April 2020 – 31st March 2022, plus option to extend for a further one year.
- 5.4 The total financial cost to the pooled budget is £98,640 per annum; total contract value over the two-year term is £197,280; £295,920 including the option to extend for a further one year.

The cost of this contract will be met within existing Better Care Fund budget allocations and be subject to an inflationary uplift which will not increase the cost of the contract but will be met via revising the hours of respite care being delivered over the contract period.

- 5.5 Home Based Respite Care is usually provided on a regular weekly basis for between 1 - 4 hours. The actual amount of hours that are delivered to an individual will be based on need. This figure will be determined as part of the development of the individuals care plan, this can be completed through an agreed assessment and may be required at evenings/weekends and in some circumstances may require sleeping/waking nights.

Based on the contract value, during 2020/21 there would be expectation that Crossroads would provide 6,104 hours of respite.

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

6.1 **Children & Young People in Halton**

N/A

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

N/A

6.3 **A Healthy Halton**

This service makes an important contribution to the health and social care system in Halton.

6.4 **A Safer Halton**

N/A

6.5 **Halton's Urban Renewal**

N/A

7.0 **RISK ANALYSIS**

7.1 This contract falls below the current EU Light Touch Regime threshold of £663,540 and subsequently the risk of challenge will be negligible.

7.2 The Service will continue to be monitored to ensure that the Council, NHS Halton CCG and Halton residents receive value for money.

8.0 **EQUALITY AND DIVERSITY ISSUES**

8.1 None identified.

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

9.1 N/A

REPORT TO: Executive Board

DATE: 27 February, 2019

REPORTING OFFICER: Strategic Director, People

PORTFOLIO HOLDER: Children, Education and Social Care

SUBJECT: Refurbishment of Millbrow Care Home

WARDS: Borough wide

1.0 PURPOSE OF REPORT

1.1 To provide Executive Board with details of the proposed refurbishment of Millbrow care home and associated costs.

2.0 RECOMMENDATION: That

- 1) the report be noted;**
- 2) Agree refurbishment plans**
- 3) Agree funding**

3.0 SUPPORTING INFORMATION

3.1 Background

3.1.1 Millbrow care home is a 44 bedded Nursing establishment, situated in Widnes, providing care and support to vulnerable older people of Halton. The establishment was purchased by Halton borough council in 2017. At the time, the Care Quality Commission (CQC) had completed an inspection and rated the home as inadequate. The care and governance arrangements were poor and the building was in disrepair. Halton Borough Council purchased the home, which ensured that the vulnerable older people residing in the building could continue to do so, living within the borough. CQC re inspected the building in February 2019 and recognised the improvements that had been made in all areas, with particular focus on care, which was rated as good. A further CQC inspection has recently taken place in January 2020. Although the final report and rating has yet to be confirmed, initial feedback has acknowledged the improvements made across all of the domains.

3.1.2 Some initial building work has taken place to ensure the establishment is habitable and fit for purpose, the building is in need of a major refurbishment. Due to the extent of the work required, it has been divided into three phases. The first stage, detailed within this report focuses on the needs of the residents, ensuring the environment is suitable for good quality care provision and excludes additional work in relation to staff teams, e.g. offices.

3.1.3 As part of the proposed works, it is essential that we ensure the well-being of residents and minimise any disruption to their daily lives during the

refurbishment. This will involve creating temporary bedrooms on the ground floor.

- 3.1.4 If the proposed works and funding is agreed in principle, Halton Borough Council will request contractors to tender for the work and a full implementation plan will be devised.

4.0 POLICY IMPLICATIONS

- 4.1 The Care Act 2014 came into effect in April 2015 and replaced most previous law regarding carers and people being cared for. There is a raft of legislation and policy regulatory framework to protect people at risk from abuse, neglect and harm. Ensuring people are protected from harm by providing a safe comfortable environment for them to live is as important as any other domain.

5.0 SAFEGUARDING IMPLICATIONS

- 5.1 Refurbishment will support care delivery should ensure that people's needs are met appropriately, their dignity is respected and maintained and support them to live fulfilling lives, reducing the risks of safeguarding incidents.

6.0 FINANCIAL/RESOURCE IMPLICATIONS

- 6.1 The Cost of Phase one of the work is estimated at £1.5m, it is proposed that this funding is released from the Social Care capital allocation, which is contained within the disable facilities Grant.

7.0 OTHER IMPLICATIONS

- 7.1 This work is part of Overarching plan to ensure Halton can lead on the provision of outstanding model of care, and the development of a centre of excellence in Halton.

8.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

8.1 Children & Young People in Halton

None identified.

8.2 Employment, Learning and Skills in Halton

None identified at present.

8.3 A Healthy Halton

None identified at present.

8.4 A Safer Halton

None identified at present.

8.5 Halton's Urban Renewal

None identified at present.

8.0 RISK ANALYSIS

- 8.1 If we do not complete this essential work, there will be an ongoing risk to the delivery of good quality care within Millbrow, and the ability to achieve our vision

to improve and enhance the quality and provision of outstanding care for older people.

9.0 EQUALITY AND DIVERSITY ISSUES

9.1 It has not been appropriate at this stage to complete an Equality Impact Assessment (EIA).

REPORT TO: Executive Board

DATE: 27 February 2020

REPORTING OFFICER: Operational Director – Finance

SUBJECT: Budget 2020/21

PORTFOLIO: Resources

WARD(S): Borough-wide

1.0 PURPOSE OF REPORT

1.1 To recommend to Council the revenue budget, capital programme and council tax for 2020/21.

2.0 RECOMMENDATION: That;

- (i) Council be recommended to adopt the resolution set out in Appendix A, which includes setting the budget at £115.770m, the Council Tax requirement of £52.179m (before Parish, Police, Fire and LCR Combined Authority precepts) and the Band D Council Tax for Halton of £1,475.70;**
- (ii) Council be recommended to approve the revenue budget proposals for 2020/21 set out in Appendix B and capital programme set out in Appendix F;**
- (iii) From 01 April 2020 the level of Empty Homes Premium on dwellings that have been unoccupied for between 2 and 5 years remain at 100%. The level of Premium on dwellings unoccupied for more than 5 years be increased to 200%.**

3.0 SUPPORTING INFORMATION

Medium Term Financial Strategy

3.1 The Executive Board approved the Medium Term Financial Strategy (MTFS) at its meeting on 14 November 2019. In summary, funding gaps of around £7.9m in 2020/21, £15.1m in 2021/22 and £4.4m in 2022/23 were identified. The Strategy had the following objectives:

- Deliver a balanced and sustainable budget
- Prioritise spending towards the Council's priority areas
- Avoid excessive Council Tax rises
- Achieve significant cashable efficiency gains

- Protect essential front line services and vulnerable members of the community
- Deliver improved procurement

Budget Consultation

- 3.2 The Council uses various consultation methods to listen to the views of the public and Members' own experience through their ward work is an important part of that process.
- 3.3 Individual consultations are taking place in respect of specific budget proposals and equality impact assessments will be completed where necessary.

Review of the 2019/20 Budget

- 3.4 The Executive Board receives regular reports summarising spending in the current year against the budget. The latest report indicates that spending may be over budget in the current year by approximately £5.1m against a net budget of £108.6m. The main reason for the projected overspend is the continued significant pressure in respect of Children's Social Care costs. Adult Social Care costs are also greater than forecast for the year due to increasing demand for direct payments and initial set-up costs for a number of care homes which the Council has acquired over the last 18 months. The Community and Environment Department continues to experience significant financial pressures, primarily due to shortfalls in various areas of income. The other significant budget pressure is within the Education, Inclusion and Provision department due to increasing costs for school transport.
- 3.5 The potential overspend is a worst case scenario, as actions are being taken to mitigate the impact of these pressures and bring net spending back in line with budget as far as possible. A review of earmarked reserves is also being undertaken to identify options which might assist with funding the overspend. The general reserve balance is currently around £5.0m, equivalent to approximately 4.3% of the net budget for 2020/21, which is considered a prudent level. Any overspend would reduce the level of the general reserve, however the actions being taken should help to mitigate the impact.

2020/21 Revenue Budget

- 3.6 The proposed revenue budget totals £115.770m. The departmental analysis of the budget is shown in Appendix C and the major reasons for change from the current budget are shown in Appendix D.
- 3.7 Included at Appendix B are proposed budget savings for 2020/21 totalling £4.230m.

- 3.7 The proposed budget incorporates the grant figures announced in the Local Government Grant Settlement. It includes £2.207m for the New Homes Bonus 2020/21 grant. This is inclusive of additional grant of £0.339m for 2020/21, confirmed by Government that it would be paid for one year only rather than a four year legacy payment which has been the case in past years.
- 3.8 The budget includes Better Care Funding (BCF) of £6.777m, this is inclusive of £5.234m for the improved BCF element, £0.904m for the additional BCF element and £0.639m covering Winter Care Pressures. The grant has been awarded at the same allocation levels as for 2019/20.
- 3.9 Announced in the Government's 2019 Spending Review was additional funding for both Adult and Children's Social Care. Confirmation was given that the 2019/20 grant used for wider social care measures of £1.092m was to continue in 2020/21. An additional £1bn grant was announced for 2020/21, the value of the allocation to Halton is in the region of £2.915m. This funding will be included in the Council budget to help fund existing pressures within Social Care services.
- 3.10 Government have confirmed the continuation of the 100% Business Rates Retention pilot within the Liverpool City Region for 2020/21. The pilot comes with a no detriment guarantee from Government that no authority will be worse off than had they not been in the pilot. In balancing the budget for 2020/21 £2m of gain from the pilot scheme has been used to fund future spending.
- 3.11 Pay rates for 2020/21 have not yet been agreed but the budget provides for an increase in pay awards in the region of 2.5%.
- 3.12 Inflation of 2% has been applied to contractual (non-controllable) budgets for 2020/21. Additional inflation has been applied to social care contract costs which will increase at above normal inflation rates due to the increase of 6.2% in National Living Wage rates from April 2020.
- 3.13 The risk to the Council's budget continues over the next year due to increasing service demand pressures. To mitigate the risk budgets have been increased in 2020/21 to help manage the current departmental budget overspends, inclusive of £5.2m across adults' and children's social care and £0.490m for the Community and Environment Department.
- 3.14 It is considered prudent for the budget to include a general contingency of £1.0m. At this stage it is considered sufficient to cover the potential for price changes, increases in demand led budgets, as well as a general contingency for uncertain and unknown items. The latter includes potential increased costs arising from the retendering of bus

support contracts previously operated by Halton Borough Transport Limited.

- 3.15 The Council invited the LGA to conduct a Peer Review during September 2019, from which a number of recommendations were made. An amount of £0.5m has been allocated within the 2020/21 budget to provide resources to implement the resulting action plan.
- 3.16 The Local Government Act 2003 places a requirement on the Chief Financial Officer to report on the robustness of the estimates included in the budget and the adequacy of the reserves for which the budget provides. In my view the budget setting process and the information provided should be sufficient to allow the Council to come to an informed view regarding the 2020/21 revenue budget, capital programme and council tax. Balances and reserves should provide sufficient resilience to meet the financial consequences of any unforeseen events.

Local Government Finance Settlement

- 3.17 The Government announced the provisional Local Government Finance Settlement on 20 December 2019. At the time of writing the report the final settlement is still to be announced. In addition, the Council are waiting on confirmation of some 2020/21 grant allocations, including the Public Health grant.
- 3.18 As part of the Liverpool City Region, the Council will continue to participate in a pilot scheme of 100% business rates retention. Government have reiterated that the pilot scheme will operate under a “No Detriment” policy, in that no council operating as part of the pilot will see a reduction in their funding in comparison to what it would have received under the 49% national scheme. The pilot will result in additional business rates being retained by the Council although offset by Revenue Support and Better Care Fund grants no longer being received.
- 3.19 From 2021/22 it is expected the Business Rates Retention Scheme will be rolled-out on a national basis, with the level of retained rates for each Council being set at 75%. In conjunction with this, Government will continue to undertake a review of needs and resources of Local Government, the first review since April 2013, and will also reconsider the business rate “baselines” for each council.
- 3.20 For 2020/21 the Council’s total Government Settlement Funding Allocation is £52.372m. This is made up of £46.857m Business Rates Baseline Funding and Top-Up grant of £5.515m. Excluding the rolled in Better Care Funding grant, the increase to the Settlement Funding Assessment from 2019/20 is 1.6%.

- 3.21 The Government's Spending Power analysis (the total of business rates, council tax and Government grant funding available to each council) calculates that over the period 2011/12 to 2020/21, in cash terms there has been a reduction in funding for Halton of £27.5m or 19.7%. This compares with a national average reduction over the same period of 10.3%.
- 3.22 The Council is required to provide an annual forecast of business rates to Government by the end of January of the preceding year. The forecast has been undertaken and the Council expect net collectable rates to be £54.250m for 2020/21.
- 3.23 As far as non-domestic premises are concerned, the business rates multiplier rate is fixed centrally by Government and then applied to each premises' rateable value. For 2020/21 the multiplier rate has been set at 51.2p in the pound and 49.9p in the pound for small businesses.
- 3.24 In 2016/17 the Council set an Adult Social Care council tax precept level of 2%. For the three years from 2017/18 to 2019/20 Government extended the flexibility in order that councils could apply a further precept of up to 6% over the period, with a limit of 3% being in place for the first two years and a limit of 2% for 2019/20. In 2017/18 and 2018/19 the Council set Adult Social Care precept levels of 3% in each of the years.
- 3.25 The Government Spending Review published 04 September 2019 confirmed that a further Adult Social Care council tax precept of 2% could be applied for 2020/21.

Budget Outlook

- 3.26 Beyond 2020/21 there is great uncertainty regarding the funding of Local Government, due to the potential impact of a number of changes to the Local Government funding regime and other associated areas. There is therefore further continued uncertainty regarding the Council's funding resources in 2021/22.
- 3.27 The impact of the following developments will have to be assessed when considering the 2021/22 budget and beyond. Further information will be known as we progress through the coming year:
- Fair Funding Review – A review of how cumulative Local Government funding should be apportioned between Councils. The last review was in April 2013 and since then reductions made to Local Government funding have been made on a percentage basis. This has had the impact of protecting those authorities less reliant on Government grant funding, whilst those councils who are more reliant (such as Halton) have had to deal with the larger reductions in funding on a per capita basis.

- 75% Business Rate Retention – Government have indicated that from 2021/22 the percentage share of retained rates at a local level will be 75%. It is unclear how this will impact on pilot authorities, such as Halton, as to whether they will continue at 100% or switch to 75% retention.
- Business Rates Baseline Reset – It is proposed there will be a reset of the business rates baseline in April 2021, which could work against Halton and similar authorities who have seen significant growth in business rates since the current baseline was set in 2013. It is not yet known if there will be a transition process put in place to protect authorities from excessive losses in funding from an increase to the baseline position.
- 2020 Public Spending Review – The next medium term review of public spending for the period from 2021 onwards is expected to be announced during the coming year.
- Social Care Green Paper – It is uncertain what impact this will have on the future of Local Government funding.

3.28 The Medium Term Financial Strategy has been updated to take into account the 2020/21 Local Government Finance Settlement and multi-year allocations and saving measures already agreed or proposed. It includes a number of assumptions for 2021/22 including:

- Settlement Funding Assessment as per 2020/21 plus 2% inflation.
- Business rate growth since 2013 to be lost as a result of the reset to business rates system.
- Pay, prices and income growth of 2%.
- Reversal of 2020/21 one-off savings proposals.

3.29 The resulting funding gap over the subsequent three financial years (2021/22 to 2023/24) is forecast to be in the region of £22.7m.

Halton's Council Tax

3.30 The Government no longer operates council tax capping powers, but instead there is a requirement for councils to hold a local referendum if they propose to increase council tax by more than a percentage threshold prescribed by the Government.

3.31 The Government have confirmed the council tax referendum threshold at 2% for 2020/21.

3.32 On 12 December 2018 the Council's Executive Board agreed council tax premiums for empty properties be applied as follows:

- From 01 April 2019, 100% premium in addition to the full council tax charge for each dwelling unoccupied and unfurnished for more than two years.

- From 01 April 2020, 100% premium in addition to the full council tax charge for each dwelling unoccupied and unfurnished between two and five years, and 200% premium for dwellings unoccupied for more than five years.
- From 01 April 2021, 100% premium in addition to the full council tax charge for each dwelling unoccupied and unfurnished between two and five years, 200% for dwellings unoccupied between five and ten years, and 300% for properties unoccupied for more than ten years.

3.33 As a result of the additional council tax premium applied in April 2019 the number of long term empty properties in Halton reduced from 160 to 117. The number of properties empty for over five years and therefore billed a 200% premium from April 2020 is currently 51.

3.34 The tax base (Band D equivalent) for the Borough has been set by Council at 35,359.

3.35 The combined effect of the budget proposals presented within this report, Government grant support, business rate retention and the council tax base, requires the Council to set a Band D council tax for Halton of £1,475.70 (equivalent to £28.38 per week), in order to deliver a balanced budget for 2020/21 as required by statute. This is an increase of 3.99% (£56.62 per annum or £1.09 per week) over the current year.

Parish Precepts

3.36 The Parish Councils have set their precepts for the year as shown below, with the resultant additional Council Tax for a Band D property in these areas being as follows:

	Precept	Precept Increase		Additional Council Tax	Basic Council Tax
	£	£	%	£	£
Hale	49,002	5,777	13.4%	73.91	1,549.61
Daresbury	5,359	424	8.6%	29.94	1,505.64
Moore	5,225	473	10.0%	15.98	1,491.68
Preston Brook	xx,xxx	x	x%	xx.xx	x,xxx.xx
Halebank	39,235	18,330	87.7%	75.02	1,550.72
Sandymoor	36,799	4,240	13.0%	29.09	1,504.79

Average Council Tax

3.37 In addition, it is also necessary to calculate the average Council Tax for the area as a whole. This is the figure required by Government and used for comparative purposes. For a Band D property the figure is £x,xxx.xx, an increase of £xx.xx per annum.

Police Precept

- 3.38 The Cheshire Police and Crime Commissioner has set the precept on the Council at £7.441m which is £210.44 for a Band D property, an increase of £10.00 or 4.99%. The figures for each Band are shown in Recommendation 5 in Appendix A.

Fire Precept

- 3.39 The Cheshire Fire Authority has set the precept on the Council at £2.804m which is £79.29 for a Band D property, an increase of £1.55 or 1.99%. The figures for each Band are shown in Recommendation 6 in Appendix A.

Liverpool City Region Mayoral Precept

- 3.40 The Liverpool City Region Combined Authority has set the precept on the Council at £0.672m which is £19.00 for a Band D property, an increase of £0.00 or 0%. The figures for each Band are shown in Recommendation 7 in Appendix A.

Total Council Tax

- 3.41 Combining all these figures will give the Total Council Tax for 2020/21 and these are shown in Recommendation 8 in Appendix A. The total Band D Council Tax (before Parish precepts) is £x,xxx.xx an increase of £xx.xx or x.xx%. The inclusion of parish precepts means the increase in Hale is x.xx%, in Daresbury is x.xx%, in Moore is x.xx%, in Preston Brook is x.xx%, in Halebank is x.xx% and in Sandymoor is x.xx%.
- 3.42 It is expected that Halton's total council tax will continue to be amongst the lowest in the North West. Given that nearly half of all properties in the Borough are in Band A, and also 82% of properties are in Bands A-C, most households will pay less than the "headline" figure. In addition, many households will receive reduced council tax bills through discounts, and these adjustments will be shown on their bills.
- 3.43 A complex set of resolutions, shown in Appendix A, needs to be agreed by Council to ensure that the Budget and Council Tax level are set in a way which fully complies with legislation, incorporating changes required under the Localism Act 2012.

Capital Programme

- 3.44 The following table brings together the existing capital programme spend and shows how the capital programme will be funded.

	2020/21	2021/22	2022/23
	£000	£000	£000
<u>Spending</u>			
Scheme estimates	38,536.9	35,826.5	8,145.0
Slippage between years	1,335.8	591	5,536.3
	<u>39,872.7</u>	<u>36,417.5</u>	<u>13,681.3</u>
<u>Funding</u>			
Borrowing and Leasing	7,822.0	11,791.9	6690.0
Grants and External Funds	26,273.4	20,853.5	586.0
Direct Revenue Finance	443.0	0.00	0.0
Capital Receipts	2,907.3	2,330.0	1,869.0
Slippage between years	2,427.0	1,442.1	4,536.3
	<u>39,872.7</u>	<u>36,417.5</u>	<u>13,681.3</u>

3.45 The committed Capital Programme is shown in Appendix F.

3.46 As the Capital Programme is fully committed, there are no funds available for new capital schemes unless external funding is available or further savings are identified to cover capital financing costs.

Prudential Code

3.47 The Local Government Act 2003 introduced the Prudential Code which provides a framework for the self-regulation of capital expenditure. The key objectives of the Code are to ensure that the Council's:

- capital expenditure plans are affordable;
- external borrowing is within prudent and sustainable levels;
- treasury management decisions are taken in accordance with good professional practice; and
- there is accountability through providing a clear and transparent framework.

3.48 To demonstrate that Councils have fulfilled these objectives, the Prudential Code sets out a number of indicators which must be used. These are included in the Treasury Management Strategy report elsewhere on the Agenda. The prudential indicators are monitored throughout the year and reported as part of the Treasury Management monitoring reports to the Executive Board.

School Budgets

3.49 Schools are fully funded by Government Grants, primarily the Dedicated Schools Grant (DSG) which is mainly used to fund the Individual School Budgets. DSG is now allocated in four blocks;

Schools Block, Central Schools Services Block, Early Years Block and High Needs Block. The funding is allocated to schools by way of a formula in accordance with the National Funding Formula introduced in 2018/19.

- 3.50 Schools Block pupil numbers in mainstream primary and secondary schools have increased slightly from 18,148 for 2019/20 to 18,281 for 2020/21. Funding for mainstream primary and secondary schools is based on the pupil cohort on the October 2019 census. The DSG settlement was announced on 19 December 2019 giving a total of £92.6m for the Schools Block for 2020/21, which is a significant increase of £5.7m (6.2%) from the previous year. This includes an amount of £0.7m for 'growth funding'.
- 3.51 The Central Schools Services Block (CSSB) was split from the Schools Block for the first time in 2018/19, following the introduction of the ring-fenced requirement for the Schools Block to be wholly passed to primary and secondary schools, with the exception any agreed transfer to the High Needs Block. For 2020/21 we are not transferring any Schools Block funding to High Needs. There are regulations in place which limit what the CSSB grant can be used for and limit budgets to the same level as previous years. The CSSB includes budgets that are de-delegated from maintained schools. As more schools convert to academy status, so the de-delegated funds are reduced, unless schools are asked to contribute a higher amount
- 3.52 The Early Years Block allocation for 2019/20 was £9.629m and the indicative Early Years Block grant for 2020/21 is £9.982m. The hourly rate the Council are funded at for 3 and 4 year old provision, as opposed to the hourly rate we pay providers, is remaining the same at £5.12 per hour. This includes transitional protection of £0.44 per hour. The hourly rate the Council are funded at for 2 year old provision has increased from £5.28 per hour to £5.36 per hour.
- 3.53 The High Needs Block for 2019/20 was £16.771m with £2.907m recouped by the Department for Education for commissioned places in special academies and independent special schools, leaving £13.864m available. For 2020/21 the High Needs Block is £19.041m with £2.884m recouped for commissioned places leaving £16.157m available, an increase of £2.29m.
- 3.54 The Minimum Funding Guarantee has been agreed by Schools Forum at plus 1.84% which is the highest level possible.
- 3.55 The Teachers' Pay Grant and Teachers' Pension Grant are continuing to be paid separately to the DSG but the indications are that these will be rolled into the DSG in future years. There has been a request for transparency when the new grants are combined and we have been told that we will be consulted on this change. However, there is some support for the grant to be left as a separate entity, including the impact

on the Minimum Funding Guarantee. There is also an issue around the inclusion of these grants in the High Needs Block and Early Years Block determinations.

- 3.56 There is consideration being given to the design of the funding formula to make it fairer to smaller schools. Whilst this should have minimal impact on the majority of Halton's schools, it should be beneficial to our small schools.
- 3.57 The Pupil Premium has been increased to £1,345 per Primary pupil and £955 per Secondary pupil who are or have been eligible for Free School Meals in the last six years. Children who have been adopted from care and children who leave care under a special guardianship order or residence order will be funded at £2,345 per pupil. Eligibility for the Service Children Premium remains at £310 per pupil. The amount for Looked after Children which comes to the Council for distribution is £2,345 per pupil. The Pupil Premium will be added to school budgets on top of the Minimum Funding Guarantee.

4.0 POLICY IMPLICATIONS

- 4.1 The Council's budget will support the delivery of all of the Council's services.

5.0 FINANCIAL IMPLICATIONS

- 5.1 The financial implications relating to the Council's budget are as set out within the report and appendices.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

The budget will support the Council in achieving the aims and objectives set out in the Community Strategy for Halton and the Council's Corporate Plan and has been prepared in consideration of the priorities listed below.

- 6.1 **Children and Young People in Halton**
- 6.2 **Employment, Learning and Skills in Halton**
- 6.3 **A Healthy Halton**
- 6.4 **A Safer Halton**
- 6.5 **Halton's Urban Renewal**

7.0 RISK ANALYSIS

7.1 The budget is prepared in accordance with detailed guidance and timetable to ensure the statutory requirements are met and a balanced budget is prepared that aligns resources with corporate objectives.

7.2 A number of key factors have been identified in the budget and a detailed risk register has been prepared. These will be closely monitored throughout the year and the Contingency and the Reserves and Balances Strategy will help to mitigate the risks.

8.0 EQUALITY AND DIVERSITY ISSUES

8.1 Equality Impact Assessments will be undertaken in relation to the individual savings proposals as required.

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

Document	Place of Inspection	Contact Officer
Local Government Finance Report (England) 2020/21	Financial Management Halton Stadium	Steve Baker

10.0 REASON FOR THE DECISION

10.1 To seek approval for the Council's revenue budget, capital programme and council tax for 2020/21.

11.0 ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

11.1 In arriving at the budget saving proposals set out in Appendix B, numerous proposals have been considered, some of which have been deferred pending further information or rejected.

12.0 IMPLEMENTATION DATE

12.1 04 March 2020.

APPENDIX A

**DRAFT RESOLUTION FOR SUBMISSION TO THE COUNCIL
AT ITS MEETING ON 04 March 2020**

RECOMMENDATION: that the Council adopt the following resolution:

1. The policies outlined in this paper be adopted, including the budget and council tax for 2020/21, the savings set out in Appendix B and the Capital Programme set out in Appendix F.
2. That it be noted that at the meeting on 18 December 2019 the Council agreed the following:
 - (a) The Council Tax Base 2020/21 for the whole Council area is 35,359 (item T in the formula in Section 31B(3) of the Local Government Finance Act 1992, as amended (the Act) and
 - (b) For dwellings in those parts of its area to which a Parish precept relates, be set out as follows:

Parish	Tax Base
Hale	663
Daresbury	179
Moore	327
Preston Brook	368
Halebank	523
Sandymoor	1,265

being the amounts calculated by the Council, in accordance with Regulation 6 of the Regulations, as the amounts of its Council Tax Base for the year for dwellings in those parts of its area to which special items relate.

3. Calculate that the Council Tax requirement for the Council's own purposes for 2020/21 (excluding Parish precepts) is £52,179,276.
4. In accordance with the relevant provisions of the Local Government Finance Act 1992 (Sections 31 to 36), the following amounts be now calculated by the Council for the year 2020/21 and agreed as follows:
 - (a) £xxx,xxx,xxx – being the aggregate of the amounts which the Council estimates for the items set out in Section 31A(2) of the said Act, taking into account all precepts issued to it by Parish Councils.

- (b) £xxx,xxx,xxx– being the aggregate of the amounts which the Council estimates for the items set out in Section 31A(3) of the Act.
- (c) £xx,xxx.xx – being the amount by which the aggregate at 3(a) above exceeds the aggregate at 3(b) above, calculated by the Council in accordance with Section 31A(4) of the Act as its Council Tax requirement for the year (item R in the formula in Section 31A(4) of the Act).
- (d) £x,xxx,xx– being the amount at 3(c) above (item R), all divided by item T (2 above), calculated by the Council, in accordance with Section 31B(1) of the Act, as the basic amount of its Council Tax for the year (including Parish precepts).
- (e) £xxx,xxx – being the aggregate amount of all special items (Parish precepts) referred to in Section 34(1) of the Act, each individual Parish precept being:

	£
Hale	49,002
Daresbury	5,359
Moore	5,225
Preston Brook	xx,xxx
Halebank	39,235
Sandymoor	36,799

- (f) £1,475.70 being the amount at 3(d) above less the result given by dividing the amount at 3(e) above by item T (2(a) above), calculated by the Council, in accordance with Section 34(2) of the Act, as the basic amount of its Council Tax for the year for dwellings in those parts of its area to which no special item relates.
- (g) Part of the Council's Area

	£
Hale	73.91
Daresbury	29.94
Moore	15.98
Preston Brook	xx.xx
Halebank	75.02
Sandymoor	29.09

being the amounts given by adding to the amounts at 3(e) above the amounts of the special item or items relating to dwellings in those parts of the Council's area mentioned above divided in each case by the amount at 2(b) above, calculated by the

Council, in accordance with Section 34(3) of the Act, as the basic amounts of its Council Tax for the year for dwellings of its area to which one or more special items relate.

(h) Part of the Council's Area

Band	Hale	Daresbury	Moore	Preston Brook	Halebank	Sandymoor	All other Parts of the Council's Area
	£	£	£	£	£	£	£
A	1,033.07	1,003.76	994.45	xx.xx	1,033.81	1,003.19	983.80
B	1,205.25	1,171.05	1,160.20	xx.xx	1,206.12	1,170.39	1,147.77
C	1,377.43	1,338.35	1,325.94	xx.xx	1,378.42	1,337.59	1,311.73
D	1,549.61	1,505.64	1,491.68	xx.xx	1,550.72	1,504.79	1,475.70
E	1,893.97	1,840.23	1,823.16	xx.xx	1,895.32	1,839.19	1,803.63
F	2,735.73	2,658.11	2,154.65	xx.xx	2,239.93	2,173.59	2,131.57
G	2,582.68	2,509.40	2,486.13	xx.xx	2,584.53	2,507.98	2,459.50
H	3,099.22	3,011.28	2,983.36	xx.xx	3,101.44	3,009.58	2,951.40

being the amounts given by multiplying the amounts at 3(f) and 3(g) above by the number which, in the proportion set out in Section 5(1) of the Act, is applicable to dwellings listed in a particular band divided by the number which in that proportion is applicable to dwellings listed in Valuation Band D, calculated by the Council, in accordance with Section 36(1) of the Act, as the amounts to be taken into account for the year in respect of categories of dwellings listed in different valuation bands.

5. It is further noted that for the year 2020/21 the Cheshire Police and Crime Commissioner has stated the following amounts in precepts issued to the Council, in accordance with Section 40 of the Local Government Finance Act 1992 for each of the categories of dwellings shown below:

	£
A	140.29
B	163.68
C	187.06
D	210.44
E	257.20
F	303.97
G	350.73
H	420.88

6. It is further noted that for the year 2020/21 the Fire Authority have stated the following amounts in precepts issued to the Council, in accordance with the Local Government Act 2003 for each of the categories of dwellings shown below:

	£
A	52.86
B	61.67
C	70.48
D	79.29
E	96.91
F	114.53
G	132.15
H	158.58

7. It is further noted that for the year 2020/21 the Liverpool City Region Combined Authority have stated the following amounts in precepts issued to the Council, in accordance with the Local Government Act 2003 for each of the categories of dwellings shown below:

	£
A	12.67
B	14.78
C	16.89
D	19.00
E	23.22
F	27.44
G	31.67
H	38.00

8. That, having calculated the aggregate in each case of the amounts at 4h, 5, 6 and 7 above, the Council, in accordance with Section 30(2) of

the Local Government Finance Act 1992, hereby sets the following amounts as the amounts of Council Tax for the year 2020/21 for each of the categories of dwellings shown below:

Band	Hale	Daresbury	Moore	Preston Brook	Halebank	Sandymoor	All other Parts of the Council's Area
	£	£	£	£	£	£	£
A	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx
B	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx
C	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx
D	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx
E	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx
F	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx
G	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx
H	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx	xxxx.xx

being satisfied that:

- (a) The total amount yielded by its Council Taxes for the said financial year will be sufficient, so far as is practicable, to provide for items mentioned at 4(a) to (c) above; and, to the extent that they are not, to be provided for by any other means.
 - (b) Those amounts which relate to a part only of its area will secure, so far as is practicable, that the precept or portion of a precept relating to such part will be provided for only by the amount yielded by such of its Council Taxes as relate to that part.
8. The Operational Director Finance be authorised at any time during the financial year 2020/21 to borrow on behalf of the Council by way of gross bank overdraft such sums as he shall deem necessary for the purposes of this paragraph, but not such that in any event the said overdraft at any time exceeds £10m on an individual bank account (£0.5m net across all bank accounts) as the Council may temporarily require.

APPENDIX B

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET £'000	ESTIMATED BUDGET SAVING		PERM /TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
				2020/21 £'000	2021/22 £'000		
DIRECTORATE: PEOPLE							
INCOME GENERATION OPPORTUNITIES							
1	Childrens & Families Dept/ Children in Care Division	Income target for the generation of income from reviewing how additional accommodation at Inglefield (no longer required for use by Ashley School) might be utilised	N/A	53	0	P	M
2	Education, Inclusion & Provision Dept/ Education Div	Increase in income received from the LEP/BSF	N/A	30	0	P	D
3	Education, Inclusion & Provision Dept/ IYSC & Troubled Families Div	One-off increase in income from the payment-by-results grant received in respect of the Troubled Families Programme.	N/A	50	-50	T	M
SHARED SERVICES / PARTNERSHIP ARRANGEMENTS							
4	Adult Social Care Dept/	Reduction in the cost of supporting the Halton Safeguarding Board as a result of the new Chairmanship arrangement	77	10	0	P	M

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET £'000	ESTIMATED BUDGET SAVING		PERM /TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
				2020/21 £'000	2021/22 £'000		
PROCUREMENT OPPORTUNITIES							
5	Adult Social Care Dept/ Commissioning Div	Reduction in the grant provided to the Carers Association.	109	56	0	P	D
6	Adult Social Care Dept/ Commissioning Div	Reduction of 10% in the contract with Age UK (Age Concern)	183	18	0	P	D
7	Education, Inclusion & Provision Dept/ IYSS & Commissioning Div	Target reduction of 10% in the Youth Service budget. This will involve a review of the service specification, comparison with independent providers and doing more targeted work.	550	55	0	P	D
EFFICIENCY OPPORTUNITIES							
8	Adult Social Care Dept/ Community Svcs Div	Review of premium pay arrangements for the Halton Supported Housing Network.	2,148	140	0	P	D
9	Adult Social Care Dept	One-off use of earmarked reserves established due to uncertainty with funding levels.	400	400	-400	T	D

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET	ESTIMATED BUDGET SAVING		PERM /TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
			£'000	2020/21 £'000	2021/22 £'000		
10	Children & Family Services/ Education, Inclusion & Provision/ Community & Environment Departments	Review of community based facilities including community centres, children's centres and other locality based facilities, in order to seek an overall reduction in costs. The proposed saving is at this stage an initial target for the review and reports will be brought to Executive Board detailing the specific proposals.	N/A	200	0	P	M
11	Education, Inclusion & Provision Dept/ IYSS & Commissioning Div	Deletion of a vacant Commissioning Post.	276	50	0	P	D
12	Education, Inclusion & Provision Dept/ Policy, Provision & Perform Div	Restructure of the 14-19 Advisory Service	210	73	0	P	M
13	Education, Inclusion & Provision Dept/ Inclusion Div	Restructure of the Portege Service which provides a home-visiting educational service for pre-school children with SEND.	74	15	0	P	M
14	Children & Family Services Dept/ Locality Services	Change in funding of the home equipment budget as now part-funded by Halton CCG.	14	9	0	P	M

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET £'000	ESTIMATED BUDGET SAVING		PERM /TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
				2020/21 £'000	2021/22 £'000		
15	Adult Social Care Dept/ Commissioning Div	Deletion of a vacant Policy Support Officer post.	340	20	0	P	D
16	Adult social Care Dept/Community Services Div	Target for efficiency savings to be achieved within the Halton Supported Housing Network.	994	50	0	P	M
TOTAL PERMANENT				779	0		
TOTAL TEMPORARY (ONE-OFF)				450	-450		
GRAND TOTAL				1,229	-450		

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET	ESTIMATED BUDGET SAVING		PERM / TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
			£'000	2020/21 £'000	2021/22 £'000		
DIRECTORATE: ENTERPRISE, COMMUNITY & RESOURCES							
INCOME GENERATION OPPORTUNITIES							
17	Community & Environ Dept / School Meals	Increase the price of "snack" food items by between 5p and 10p which have been set at 20p for over 10 years.	578	25	0	P	D
18	Community & Environ Dept / School Meals	Apply an above inflation increase in the price of "less healthy" food items in Secondary Schools.	2,305 total paid meal income	100	0	P	D
19	Community & Environ Dept / Waste Management Div	Introduction of a single charge of £35pa for the collection of Green Waste (currently £32pa online £37pa at HDL).	523	40	0	P	D
20	Finance Dept / Audit, Procuremt & Op Fin Div	Income generation from the introduction of late payment penalties to be applied to debts owed to the Council by commercial organisations.	N/A	5	0	P	D
21	Finance Dept / Audit, Procuremt & Op Fin Div	Income generation following the introduction of legislation permitting the charging of penalties in respect of fraudulently claimed council tax discounts and reliefs.	N/A	4	0	P	D

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET £'000	ESTIMATED BUDGET SAVING		PERM / TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
				2020/21 £'000	2021/22 £'000		
22	EE&P Dept / Employment Learning and Skills Div	Additional contribution towards overhead costs from grant funding provided for Adult Learning courses and externally funded contracts.	4	10	0	P	D
23	EE&P Dept / Property Services/Asset Management Div	Introduction of charges for property/asset management support and advice e.g. leases; land transfer work.	0	10	0	P	D
24	Policy, People, Performance & Efficiency Dept	Increased income from school SLAs for the provision of Employee Relations and Payroll, through extending the range of services available and increased charges.	76	18	0	P	D
25	Planning, Provision & Tran Dept / Planning	Introduction of a charge on Section106 agreements, as permitted by legislation, to cover the Council's cost of monitoring compliance with those agreements.	N/A	47	0	P	M
26	Planning, Provision & Tran Dept / Traffic	Increase in income generation relating to road work permits provided to the Utilities. This will be both from an increase in charges and by increased vigilance of poor reinstatements or road works time overruns.	188	100	0	P	M
PROCUREMENT OPPORTUNITIES							
27	Community & Environ Dept / Waste Management Div	Capitalise the purchase of new waste bins with a corresponding reduction in the required revenue budget.	40	35	0	P	M

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET £'000	ESTIMATED BUDGET SAVING		PERM / TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
				2020/21 £'000	2021/22 £'000		
28	Finance Dept / Audit, Procuremt & Op Fin Div	Reduction in budget for vehicle insurance which has been achieved following the retendering of insurance contracts.	135	10	0	P	M
EFFICIENCY OPPORTUNITIES							
29	Community & Environ Dept / School Meals	Review Nursery/Special school meals provision in order to identify efficiencies without affecting service delivery, in order to ensure provision of meals is cost effective.	1,271	25	0	P	D
30	Community & Environ Dept / School Meals	Review the school meals Service Level Agreement in respect of Academy Schools, in order to ensure that it is provided on a cost effective basis.	436	75	0	P	D
31	Community & Environ Dept / Waste Management Div	Deletion of a vacant part-time Community Development Officer post.	153	25	0	P	D
32	Finance Dept / Audit, Procuremt & Op Fin Div	Deletion of a vacant Purchase to Pay Assistant post.	265	24	0	P	M
33	Finance Dept / Revenues and Financial Management Div	Reduction in the budget for court costs relating to council tax and business rates cases, but usually underspent.	33	10	0	P	D

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET £'000	ESTIMATED BUDGET SAVING		PERM / TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
				2020/21 £'000	2021/22 £'000		
34	EE&P Dept / Property Services	Remaining balance of the saving from completion of the relocation of staff from Kingsway House, taking into account relocation and dilapidation costs.	190	175	0	P	D
35	EE&P Dept / Property Services	A reduction in the building maintenance budget. This would result in only being able to deliver essential maintenance, plus no further accommodation moves and no internal decoration projects could be supported from this budget.	1,959	50	0	P	D
36	EE&P Dept / Regeneration	Fund two vacant Regeneration Officer posts from the forthcoming allocation of Town Centre grant funding, as they will be fully utilised to deliver these initiatives.	83	83	0	P	D
37	EE&P Dept Regeneration	Implement a reduction in hours in the Business Support Team through use of flexible retirements.	156	15	0	P	D
38	ICT & Support Services / Support Svcs Div	Increase staff turnover target by increasing the period for filling vacancies within the Support Services Division to approximately six months, other than for certain key roles.	3,616	307	0	P	D
39	ICT & Support Services / Support Svcs Div	Cease providing minute taking services for non-statutory meetings across all Services. This will enable approximately 9fte posts to be removed from the Support Services Division. There will be an increased workload for officers involved in those meetings.	3,616	226	0	P	D

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET £'000	ESTIMATED BUDGET SAVING		PERM / TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
				2020/21 £'000	2021/22 £'000		
40	ICT & Support Services / Support Svcs Div	Cease the corporate provision of the majority of stationary supplies for all Services. Existing stocks would be run down and thereafter Services or staff would provide for themselves, other than key items eg. printer paper.	69	50	0	P	D
41	ICT & Support Services / ICT Services	Review of ICT Services staffing structures, without affecting service delivery, in order to adapt our approach to delivery with changing technologies eg. Virtual Desktop Infrastructure (VDI).	2,335	400	0	P	D
42	Legal & Democratic Dept/ Members Services	Reduced leasing cost achieved for the mayoral vehicle.	11	3	-3	T	D
43	Legal & Democratic Dept/ Members Services	Reduction in allowances following the reduction of two Members in total.	877	20	0	P	D
44	Legal & Democratic Dept/ Legal Services	Realignment of the Legal Services Practice Manager post.	41	12	0	p	D
45	Legal & Democratic Dept/ Legal Services	Budget reduction arising from a temporary reduction in hours already approved for a member of staff in the Licensing Team.	40	12	-12	T	M

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET £'000	ESTIMATED BUDGET SAVING		PERM / TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
				2020/21 £'000	2021/22 £'000		
46	Policy, People, Performance & Efficiency Dept	Temporary reduction to funding arrangements for the salary costs of new apprenticeship placements, whereby relevant Departments provide funding themselves from existing budgets. The position will be reviewed after a year to see whether it can be made permanent.	192	96	-96	T	D
47	Policy, People, Performance & Efficiency Dept	Review and restructuring of some functional areas of the Department, resulting in the reconfiguration of activity in Learning & Development, Employment Relations, Policy, and Performance Management.	1,172	40	0	P	D
48	Planning, Provision & Tran Dept / Highways	Reduction in the Highways development and Highways maintenance technical surveys budgets. These budgets provide highways modelling work and asset surveys, therefore, slightly older data will be used in some instances when considering asset management decisions.	140	40	0	P	M
49	Planning, Provision & Tran Dept	Reduction in various supplies and services budgets eg. contracted services, personal protective equipment etc. by creating a centralised budget which can be better utilised across the whole Department.	81	60	0	P	D
OTHER BUDGET SAVINGS							
50	Community & Environ Dept / School Meals	Net saving from replacing plastic bottles of water with re-usable bottles, from the set lunch meal of secondary schools.	40	40	0	P	D

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET	ESTIMATED BUDGET SAVING		PERM / TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
			£'000	2020/21 £'000	2021/22 £'000		
51	Community & Environ Dept / Open Spaces Div	Seek alternative sources of funding for the Borough fireworks display, with options being reported to Executive Board.	48	48	0	P	D
52	Community & Environ Dept / Community Safety Div	Commence discussions with Police and other Partners regarding all potential options for how the CCTV monitoring service should be provided and funded. Reports will then be presented to Executive Board outlining potential options.	119	119	0	P	D
53	Policy, People, Performance & Efficiency Dept	Restructuring of the Unison Office.	140	8	0	P	D
54	Policy, People, Performance & Efficiency Dept	Consolidate employee training budgets and reduce by 5% (Training Resources, In-house consultants, PET and short courses).	132	7	0	P	D
55	Planning, Provision & Tran Dept / Traffic	Release of a reserve accumulated from charging developers a service fee for providing works as part of their developments eg. installation of street lights and signage.	300	300	-300	T	D
56	Corporate	Reduction in the capital financing budget as a result of holding increased cash sums which reduce the need for additional borrowing.	300	300	0	P	D

	DEPARTMENT/ DIVISION / SERVICE AREA	DESCRIPTION OF PROPOSAL	TOTAL BUDGET £'000	ESTIMATED BUDGET SAVING		PERM / TEMP (P/T)	MANDATORY OR DISCRETIONARY SERVICE AFFECTED (M / D)
				2020/21 £'000	2021/22 £'000		
TOTAL PERMANENT				2,563	0		
TOTAL TEMPORARY (ONE-OFF)				411	-411		
GRAND TOTAL				2,974	-411		

APPENDIX C

DEPARTMENTAL OPERATIONAL BUDGETS

£000

People Directorate

Children and Families Service	20,663
Education, Inclusion & Provision	5,044
Adult Social Care	12,260
Complex Care Pooled Budget	29,883
Public Health & Public Protection	156
	<hr/>
	68,006

Enterprise, Community & Resources Directorate

Finance	6,691
Policy, Planning & Transportation	9,119
ICT & Support Services	7,038
Legal & Democratic Services	1,848
Policy, People, Performance & Efficiency	1,875
Community and Environment	14,021
Economy, Enterprise and Property	4,339
	<hr/>
	44,931

Departmental Operational Budgets

Corporate and Democracy	<hr/>
	2,833
Total Operational Budget	<hr/>
	115,770

APPENDIX D

2020/21 BUDGET – REASONS FOR CHANGE

	£000
2019/20 Approved Budget	108,621
Add back One-Off savings	4,920
	<hr/> 113,541
<u>Policy Decisions</u>	
Capital Programme	44
<u>Inflation and Service Demand Pressures</u>	
Pay (including Increments)	1,940
Prices	3,058
Income	-607
Existing Service Demand Pressures	4,435
<u>Other</u>	
Net Adjustment to Specific Grants	-687
Contingency Increase	36
Peer Review	500
Social Care Grant	-2,915
Reserves	628
Base Budget	<hr/> 119,973
Less Savings (Including savings agreed by Council)	-4,203
Total 2020/21 Budget	<hr/> 115,770

APPENDIX E

MEDIUM TERM FINANCIAL FORECAST

	2021/22 £000	2022/23 £000	2023/24 £000
Spending			
Previous Year's Budget	115,770	105,464	106,394
Add back one-off savings	861	0	0
<u>Inflation</u>			
Pay	1,278	1,673	1,707
Prices	968	988	1,008
Income	-613	-625	-638
<u>Other</u>			
Capital Financing	374	2	0
Contingency	1,000	1,500	2,000
Reduction to New Homes Bonus Grant	851	687	670
Reverse Use of Reserves (Business Rates Retention)	-5,555	0	0
Loss of S31 Business Rate Grant	5,351	0	0
Terms and Conditions – 4 Day Xmas Saving	0	750	0
Budget Forecast	120,285	110,439	111,141
Resources			
Baseline Business Rates Funding and Top-Up Grant	53,284	54,214	55,163
Council Tax	52,180	52,180	52,180
	105,464	106,394	107,343
Funding Gap	-14,821	-4,045	-3,798

APPENDIX F

COMMITTED CAPITAL PROGRAMME 2020/23

SCHEME	2020/21 £000	2021/22 £000	2022/23 £000
Schools Capital Projects	1,714.5	-	-
ALD Bungalows	199.0	-	-
Disabled Facilities Grant	-	-	-
Adapted Properties	-	-	-
Care home acquisition and refurbishment	1,437.0	-	-
People Directorate	3,350.5	-	-
Stadium Minor Works	30.0	30.0	30.0
Brookvale Pitch Refurbishment	500.0	-	-
Leisure Centre	5,000.0	10,000.0	5,000.0
Children's Playground Equipment	65.0	65.0	65.0
Landfill Tax Credit Schemes	340.0	340.0	340.0
Crow Wood Park Play Area	14.9	-	-
Open Spaces Schemes	0	-	-
Peelhouse Lane Cemetery	40.0	20.0	-
Sandymoor Playing Fields	30.0	-	-
Widnes & Runcorn Cemeteries - garage & storage	8.9	-	-
Runcorn Town Park	280.0	280.0	280.0
Bowling Greens	2.0	-	-
Litter Bins	20.0	20.0	20.0
IT Rolling Programme	700.0	700.0	700.0
3MG	0	-	-
Widnes Waterfront (Including Bayer)	1,000.0	-	-
Linnets Club House	58.5	-	-
Murdishaw Redevelopment	38.0	-	-
Equality Act Improvement Works	300.0	300.0	300.0
Widnes Market Refurbishment	39.8	-	-
Broseley House	4.7	441.0	-
Advertising screen at The Hive	100.0	-	-
Foundary Lane Residential Area	1,800.0	-	-
Street Lighting - Structural Maintenance	200.0	200.0	200.0
Street Lighting – Upgrades	1,799.6	-	-
SJB Lighting	500.0	-	-
Sustainable Urban Development	435.0	267.5	-
Risk Management	120.0	120.0	120.0
Fleet Replacements	1,760.0	3,043.0	1,090.0
Early Land Acquisition Mersey Gateway	0	-	-
Runcorn Station Quarter / Runcorn Delinking	20,000.0	20,000.0	-
Economy, Community & Resources Directorate	35,186.4	35,826.5	8,145.0
Total Capital Programme	38,536.9	35,826.5	8,145.0
Slippage between years	1,335.8	591	5,536.3
GRAND TOTAL	39,872.7	36,417.5	13,681.3

REPORT TO: Executive Board

DATE: 27 February 2020

REPORTING OFFICER: Operational Director – Finance

PORTFOLIO: Resources

SUBJECT: 2019/20 Quarter 3 Spending

WARD(S): Borough-wide

1.0 PURPOSE OF REPORT

1.1 To report the Council's overall revenue and capital spending position as at 31 December 2019.

2.0 RECOMMENDED: That

- 1) All spending continues to be limited to only absolutely essential items;**
- 2) Departments continue to seek to implement the 2019/20 budget savings proposals listed in Table A which were approved by Council in March 2019;**
- 3) Strategic Directors take appropriate action to ensure overall spending is contained as far as possible within their total operational budget by year-end; and**
- 4) Council be asked to approve the revised capital programme as set out in Appendix 2.**

3.0 SUPPORTING INFORMATION

Revenue Spending

- 3.1 Appendix 1 presents a summary of spending against the revenue budget up to 31 December 2019, along with individual statements for each Department. In overall terms, revenue expenditure is £3.790m above the budget profile. This compares with £2.654m reported as at the end of September 2019. The trend shows that the overspend has slowed over the past three months, as action continues to be taken by all Departments to restrict spending.
- 3.2 Based on current spend patterns the Council will have a year-end outturn overspend of approximately £5.115m. This is a reduction from the £6.145m forecast at quarter 2, but still represents a significant risk to the Council finances. As at 31 March 2019 the Council's General Reserve balance was £5.0m. Unless the projected overspend is reduced and net

spending brought back into line with budget as far as possible, the General Reserve will be fully consumed and impact negatively upon the Council's financial position going forward. The level of earmarked reserves will continue to be reviewed on a regular basis and surplus funds released to the General Reserve.

- 3.3 In March 2019 the Council approved budget savings proposals totalling £9.250m for the current year's budget. The value of permanent savings was £4.432m, of which a number of savings proposals totalling £1.604m remain to be implemented. The resulting delay with their implementation impacts detrimentally upon the forecast outturn position and will also have a negative impact on the 2020/21 budget.
- 3.4 There are a number of departments where net spend for the quarter significantly exceeds the budgeted profile, The main budget pressure continues to be within the Children & Families Department where the forecast outturn overspend is in the region of £4.7m. Service demand for Adult Social Care has increased over the year to date and this has resulted in an increase in the forecast outturn to a level of £2.1m above budget. There are four departments with forecast overspend positions of over £1m at 31 March 2020.
- 3.5 In December 2019 Government announced the provisional financial settlement for Local Government which included additional social care grant of £2.915m allocated to Halton. The funding will help address existing service demand pressures but there will continue to be concern to future budgets based on future demand increasing provider costs.
- 3.6 Total spending on employees is £0.364m above budget profile at the end of the quarter, compared to an overall staffing budget to date of £36.381m.
- 3.7 Included within the employee budget is a staff turnover saving target of 7%, which reflects the saving made between a member of staff leaving a post and the post being filled. The target for the year to date has been achieved in just under half of the departments. Staff turnover saving targets are not held against service areas where continuity of front line service is required. Based on current projections it is unlikely the target will be achieved across the Council unless consideration is given to vacant posts being held open for a longer period.
- 3.8 Included as part of the 2019/20 budget savings was a reduction in the supplies and services budget of £0.4m. Based upon projections at 31 December it is forecast the saving will not be achieved in full by year-end. Further action is required across all departments to reduce the level of spend in this area.
- 3.9 Details of spend and income on Mersey Gateway is included within Appendix 1 to the report. Overall the Mersey Gateway has no impact on the Council's 2019/20 budget position as all spend is funded from either toll charges or Government grant.

3.10 Within the overall budget position for the quarter, the key budget variances are as follows;

(i) **Children and Families Department:-**

The Department's net spend position is currently £3.498m over budget, an increase of £1.264m from the Q2 position. The projected outturn forecast is for the Department to overspend by £4.665m against a net budget of £22.842m.

It is forecast that staffing will overspend by £0.467m by year-end. Included within this figure are a number of 2019/20 savings which have not yet been allocated. These budget reductions are offset by staffing costs not being incurred whilst Edinburgh Road remains closed.

Spend on supplies and services over the three quarters to date has been consistently above the profiled budget. If spend continues at the same levels in the final quarter of the year it is forecast to be £0.289m higher than the available budget.

Spend on direct payments has increased consistently since 2016/17 as a result of increased users and cost of packages. Extrapolating similar levels of increase in 2019/20, results in a forecast outturn overspend of £0.361m. A saving measure of £0.127m was applied in 2019/20, with regard to efficiencies within the short break respite service. Halton Clinical Commissioning Group (HCCG) continues to robustly implement their Continuing Healthcare Assessment, which has resulted in a reduction in the number of joint funded packages of care at the detriment of the Council. The high cost packages will need to be reviewed periodically to see if any costs can be reduced, but still ensuring all needs are being met.

The biggest pressure on the budget continues to be as a result of costs for residential and independent fostering placements. Extensive work continues with the aim of reducing the number of placements and cost per placement. There is evidence that this work has had an impact as the forecast outturn overspend has reduced from £3.711m to £3.149m. This is offset by an increase in costs for in-house foster carers although the cost per placement will be much lower. Unfortunately over the past quarter there has been a net increase of 5 young people entering residential placement at an additional cost of approximately £300,000 to March 2020.

(ii) **Community & Environment Department:-**

The Department's spending is currently £0.786m above budget. The projected outturn forecast for the department has reduced during the past quarter from £1.396m to £1.033m, against a net budget of £21.040m. The reduction in forecast is largely due to a reduction in staffing costs and increased income.

The forecast on staffing costs has reduced as a result of the implementation of a restructure at the Stadium which came into effect in mid-June and reductions on overtime and casual staffing costs.

The most significant issue for the Department once again relates to income targets not being achieved. The current forecast shows income will be below the budgeted target by £1.056m at year-end, but is a significant improvement from the forecast of £1.327m estimated at quarter 2. Income targets were reviewed as part of the 2019/20 budget setting process and were reduced wherever possible. A policy which has again been adopted for the 2020/21 budget

The majority of the shortfalls in sales income budgets relate to activities within the Stadium and the commercial catering division.

The shortfall in the fees and charges income budget is primarily due to activities within leisure management and the difficulties in recruitment and retention of swimming instructors, leading to cancelled swimming lessons and lack of fitness classes.

The cancellation of the Vintage Rally over the past quarter has resulted in an income target not being achieved for the event as well as the Council having to meet unavoidable costs.

There are some positives in relation to fee income, including crematorium fees being £0.085m higher than at this point last year.

(iii) Education, Inclusion & Provision:-

As at 31 December 2019 the Department's net spend is exceeding the profiled budget by £0.829m. Based upon current projections it is forecast that the Department will overspend in the region of £1.050m by 31 March 2020, a reduction of £0.193m from that forecast at Q2.

The main budget pressure area for the Department relates to costs for school transport. In 2018/19 costs for the service were £0.438m above budget and an additional £0.375m was agreed as a 2019/20 saving measure from a review of all transport arrangements within the People Directorate. This review has not yet been undertaken and therefore the forecast overspend for the year is £0.785m.

A general budget savings target of £0.590m was approved for the People Directorate, to reduce costs associated with the re-procurement of contracts across the Directorate. To date £0.391m of this saving has been achieved against specific budget areas, but £0.199m remains unallocated and is temporarily held within this Department's budget.

Inter authority income is expected to be £0.267m short of the budget target as the Council has reduced capacity to accept pupils from other authorities as special schools and units are full as a result of the volume of SEN pupils.

(iv) ICT & Support Services:-

The Department's net spend at quarter 3 is £0.304m above budget. The forecast net outturn spend for the Department is £0.478m over budget. This represents a significant reduction from previous forecasts (£1.0m at Q1), notably as result of vacant posts being held open for longer periods both within the Admin Services and ICT Services.

Software costs for the current year are estimated at £1.072m, compared to available budget of £0.940m, due to increasing charges for Microsoft licences.

The Department has an income target of £0.984m, predominantly from the charging of services to other local authorities from the hosting of Financial Management services. Based upon current known agreements and income levels from last year, it is forecast that external income generation will be £0.386m below the budget target by year-end, inclusive of the 2019/20 additional saving target of £0.250m.

5) Adult Social Care incl Complex Care Pool:-

The Complex Care Pool arrangement hosted with Halton Clinical Commissioning Group (HCCG) has seen an increase in costs over the three quarters to date. This has resulted in a forecast outturn overspend significantly higher than what was anticipated. The main increase in forecast costs relates to the number and value of direct payments made.

After allowing for HCCG contributions to the Pool Budget it is forecast the net outturn overspend will be in the region of £1.467m.

Expenditure on Directs Payments has doubled since 2014, and in the last two years costs have increased by 150%. The trend of service users choosing this service over a traditional commissioned domiciliary care package is forecast to continue as it provides a more flexible, personalised service. In theory there should be a corresponding reduction in the cost of commissioned services, but this is not fully being borne out.

The number of Direct Payment awards as at 31 December was 605, compared to 564 at the start of the financial year. During the past quarter alone the net additional cost of Direct Payment care packages was £14,000 per week, equating to £0.728m over the course of the year.

There has been an increase in the number of service users commissioning services from agencies, which charge more than the council's contract rate of £14.50 per hour. These are generally complex needs clients whose needs cannot be met by Council contracted providers. The annual cost for these clients to date is £162,000.

The financial recovery working group remains in place to look at addressing the current cost pressures within Health and Social Care, whilst ensuring the needs of clients continue to be met.

Established as a short term solution, Ward B3 was initiated to support individuals who no longer require ongoing care in an acute setting i.e. who are medically optimised and have reached their functional potential, but are delayed being discharged from hospital. Costs up to November 2019 are forecast to be in the region of £1.4m, funded from slippage on Better Care Fund and Improved Better Care Fund schemes. In previous years this funding has been used to help achieve a balanced budget position for the Complex Care Pool.

Over the past two years the Council has acquired four care homes, costs for the year against these homes are forecast to be in the region of £0.676m higher than the set budget.

The main driver of the higher costs relates to the use of agency staff, required until Council staffing structures are fully implemented within each of the four care homes. It is expected for this to be a short term impact and costs for 2020/21 will be lower. Income for each of the care homes is budgeted based on 100% bed occupancy, which may not be achieved.

(vi) **Corporate & Democracy:-**

Corporate and Democracy is currently £2.262m under budget. The 2019/20 net spend for this area is forecast to be £3.249m below budget.

Investment income is currently forecast to be £0.374m above the target income level, as a result of higher investment rates than expected and cash balances held being higher than forecast.

Slippage in the capital programme over the past couple of years will result in borrowing costs for the year being lower than anticipated by approximately £0.941m.

There has to date been limited use of the contingency budget. However, there may be calls upon it during the fourth quarter from additional bus support costs arising from the interim measures put in place due to Halton Borough Transport Limited ceasing to operate.

The business rate pool budget arrangement operated between Halton, St Helens and Warrington recorded a significant surplus as at the end of March 2019 and a one-off payment of £0.421m was payable to Halton in accordance with the sharing agreement.

A review of earmarked reserves has been undertaken at the end of the quarter which has resulted in £0.500m being released to the General Fund.

- 3.11 The council tax collection rate for the third quarter of 81.9% is marginally lower (0.25%) than at this stage last year. The collection rate for business rates of 82.4% is down by 0.63% from last year. However, the forecast retained element of business rates and council tax are still in line with the estimate used when setting the 2019/20 budget.

Capital Spending

- 3.12 The Capital Programme has been revised to reflect a number of changes in spending profiles and funding as schemes have developed. These are reflected in the capital programme presented in Appendix 3. The schemes which have been revised within the Programme are as follows;

1. Stadium Reconfiguration
2. Community Shop
3. Venture Fields
4. Murdishaw Redevelopment
5. Advertising Screen at The Hive
6. Foundary Lane Residential Area
7. Mersey Gateway Land Acquisitions
8. Mersey Gateway Construction
9. Bridge & Highway Maintenance
10. Integrated Transport & Network Management
11. Strategic Cycling & Walking Network
12. Grangeway Court Refurbishment
13. Carehome acquisitions & refurbishment
14. Millbrow
15. Madeline McKenna Care Home
16. Basic Need
17. SEND capital allocation
18. The Grange – Brookfields Provision

Capital spending at 31st December 2019 totalled £25.5m, which is 96% of the planned spending of £26.6m at this stage. This represents 70% of the total Capital Programme of £36.4m (which assumes a 20% slippage between years).

Balance Sheet

- 3.13 The Council's Balance Sheet is monitored regularly in accordance with the Reserves and Balances Strategy which forms part of the Medium Term Financial Strategy. The key reserves and balances have been reviewed and are considered prudent and appropriate at this stage in the financial year.

4.0 POLICY AND OTHER IMPLICATIONS

- 4.1 None.

5.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

- 5.1 There are no direct implications, however, the revenue budget and capital programme support the delivery and achievement of all the Council's priorities.

6.0 RISK ANALYSIS

- 6.1 There are a number of financial risks within the budget. However, the Council has internal controls and processes in place to ensure that spending remains in line with budget.
- 6.2 In preparing the 2019/20 budget, a register of significant financial risks was prepared which has been updated as at 31 December 2019.

7.0 EQUALITY AND DIVERSITY ISSUES

- 7.1 None.

8.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1072

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

Summary of Revenue Spending to 31 December 2019

Directorate / Department	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
Community & Environment	21,042	13,218	14,004	(786)	(1,033)
Economy, Enterprise & Property	1,766	1,393	1,266	127	170
Finance	4,462	5,621	5,441	180	211
ICT & Support Services	17	-748	-444	(304)	(478)
Legal & Democratic Services	545	451	357	94	94
Planning & Transportation	8,446	4,908	4,559	349	465
Policy, People, Performance & Efficiency	169	-40	-48	8	10
Enterprise, Community & Resources	36,447	24,803	25,135	(332)	(561)
Adult Social Care	20,968	15,964	16,465	(501)	(656)
Children & Families	22,842	15,611	19,109	(3,498)	(4,665)
Complex Care pool Budget	22,540	14,829	15,752	(923)	(1,467)
Education, Inclusion & Provision	7,283	4,998	5,827	(829)	(1,050)
Public Health & Public Protection	901	229	198	31	35
People	74,534	51,631	57,351	(5,720)	(7,803)
Corporate & Democracy	-2,360	1,249	-1,013	2,262	3,249
Mersey Gateway	0	-12,033	-12,033	0	0
Net Total	108,621	65,650	69,440	(3,790)	(5,115)

ENTERPRISE, COMMUNITY & RESOURCES DIRECTORATE**Community & Environment**

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	14,393	10,830	10,844	(14)	(6)
Premises	2,034	1,539	1,639	(100)	(144)
Supplies & Services	1,073	880	976	(96)	(108)
Book Fund	146	114	106	8	11
Hired & Contracted Services	951	635	551	84	78
Food Provisions	450	314	316	(2)	(4)
School Meals Food	1,919	1,272	1,240	32	54
Transport	115	72	68	4	5
Other Agency Costs	431	297	266	31	10
Waste Disposal Contracts	6,140	2,475	2,492	(17)	(52)
Grants To Voluntary Organisations	67	5	(10)	15	51
Grant To Norton Priory	172	172	173	(1)	(1)
Rolling Projects	41	41	44	(3)	(17)
Capital Financing	88	88	90	(2)	(2)
Total Expenditure	28,020	18,734	18,795	(61)	(125)
<u>Income</u>					
Sales Income	(1,672)	(1,301)	(1,020)	(281)	(375)
School Meals Sales	(2,305)	(1,574)	(1,510)	(64)	(85)
Fees & Charges Income	(5,803)	(4,254)	(3,781)	(473)	(633)
Rents Income	(207)	(171)	(184)	13	19
Government Grant Income	(1,198)	(1,198)	(1,023)	(175)	(176)
Reimbursements & Other Grant Income	(597)	(261)	(261)	0	36
Schools SLA Income	(1,349)	(1,349)	(1,407)	58	58
Internal Fees Income	(247)	(116)	(199)	83	107
School Meals Other Income	(254)	(146)	(151)	5	6
Catering Fees	(114)	(57)	(40)	(17)	(23)
Capital Salaries	(173)	(128)	(135)	7	10
Transfers From Reserves	(314)	(215)	(215)	0	0
Total Income	(14,233)	(10,770)	(9,926)	(844)	(1,056)
Net Operational Expenditure	13,787	7,964	8,869	(905)	(1,181)
<u>Recharges</u>					
Premises Support	1,499	1,124	1,124	0	0
Transport Recharges	2,365	1,752	1,634	118	147
Central Support Services	3,892	2,919	2,919	0	0
Asset Charges	146	0	0	0	0
HBC Support Costs Income	(647)	(541)	(542)	1	1
Net Total Recharges	7,255	5,254	5,135	119	148
Net Department Expenditure	21,042	13,218	14,004	(786)	(1,033)

Economy, Enterprise & Property

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	4,582	3,458	3,409	49	65
Repairs & Maintenance	2,243	1,540	1,355	185	246
Premises	62	53	54	(1)	(1)
Energy & Water Costs	712	409	425	(16)	(22)
NNDR	495	496	502	(6)	(7)
Rents	301	231	231	0	0
Economic Regeneration Activities	34	8	6	2	3
Supplies & Services	2,044	1,261	1,277	(16)	(21)
Grants To Voluntary Organisations	61	35	35	0	0
Transfer to Reserves	217	194	194	0	0
Total Expenditure	10,751	7,685	7,488	197	263
<u>Income</u>					
Fees & Charges Income	-462	-214	-215	1	1
Rent – Commercial Properties	-1,057	-771	-707	-64	-85
Rent – Investment Properties	-44	-32	-32	0	0
Rent – Markets	-771	-570	-569	-1	-1
Government Grant Income	-1,841	-642	-642	0	0
Reimbursements & Other Grant Income	-416	-416	-416	0	0
Schools SLA Income	-502	-496	-490	-6	-8
Capital Salaries	-108	-90	-90	0	0
Transfers From Reserves	-1,099	-1,099	-1,099	0	0
Total Income	-6,300	-4,330	-4,260	-70	-93
Net Operational Expenditure	4,451	3,355	3,228	127	170
<u>Recharges</u>					
Premises	1,868	1,401	1,401	0	0
Transport	28	21	21	0	0
Asset Charges	4	0	0	0	0
Central Support Services	1,975	1,489	1,489	0	0
HBC Support Income	-6,560	-4,873	-4,873	0	0
Net Total Recharges	-2,685	-1,962	-1,962	0	0
Net Department Expenditure	1,766	1,393	1,266	127	170

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	5,497	4,102	4,108	(6)	(8)
Supplies & Services	371	278	258	20	26
Insurance	1,053	733	722	11	15
Rent Allowances	42,900	24,928	24,928	0	0
Non HRA Rent Rebates	65	45	45	0	0
Discretionary Social Fund	106	99	99	0	0
Discretionary Housing Pmts	470	306	306	0	0
Concessionary Travel	2,218	1,342	1,312	30	40
LCR Levy	2,241	2,241	2,241	0	0
Total Expenditure	54,921	34,074	34,019	55	73
<u>Income</u>					
Clerical Error Recovery	-400	-142	-142	0	0
Rent Allowances	-42,500	-21,825	-21,825	0	0
Other fees & Charges	-228	-173	-201	28	38
Non HRA Rent Rebate	-65	-47	-47	0	0
Burdens Grant	-66	-66	-101	35	35
Dedicated Schools Grant	-102	0	0	0	0
Discretionary Hsg Payment Grant	-469	-469	-469	0	0
Hsg Benefit Admin Grant	-445	-334	-334	0	0
Council Tax Admin Grant	-204	-204	-208	4	4
Council Tax Liability Order	-406	-386	-386	0	0
Business Rates Admin Grant	-156	0	0	0	0
Schools SLAs	-818	-818	-844	26	26
LCR Reimbursement	-2,241	-2,241	-2,241	0	0
Reimbursements & Other Grants	-196	-135	-167	32	35
Transfer from Reserves	-27	-10	-10	0	0
Total Income	-48,323	-26,850	-26,975	125	138
Net Operational Expenditure	6,598	7,224	7,044	180	211
<u>Recharges</u>					
Premises	248	186	186	0	0
Central Support Services	2,493	1,870	1,870	0	0
Support Service Income	-4,877	-3,659	-3,659	0	0
Net Total Recharges	-2,136	-1,603	-1,603	0	0
Net Department Expenditure	4,462	5,621	5,441	180	211

ICT & Support Services

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	7,332	5,493	5,475	18	24
Supplies & Services	1,029	687	658	29	40
Capital Financing	78	32	17	15	19
Computer Repairs & Software	940	940	978	(38)	(132)
Communication Costs	17	17	42	(25)	(25)
Transfer to Reserves	15	0	0	0	0
Premises Costs	64	51	65	(14)	(18)
Total Expenditure	9,475	7,220	7,235	(15)	(92)
<u>Income</u>					
Fees & Charges	-1,107	-499	-179	(320)	(428)
Schools SLA Income	-532	-485	-516	31	42
Total Income	-1,639	-984	-695	(289)	(386)
Net Operational Expenditure	7,836	6,236	6,540	(304)	(478)
<u>Recharges</u>					
Premises	424	318	318	0	0
Transport	20	15	15	0	0
Central Support Services	1,116	837	837	0	0
Asset Charges	1,494	0	0	0	0
Support Service Income	-10,873	-8,154	-8,154	0	0
Net Total Recharges	-7,819	-6,984	-6,984	0	0
Net Department Expenditure	17	-748	-444	(304)	(478)

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	1,765	1,390	1,392	(2)	(3)
Supplies & Services	282	195	177	18	23
Civic Catering & Functions	49	26	15	11	15
Legal Expenses	215	174	174	0	0
Total Expenditure	2,311	1,785	1,758	27	35
<u>Income</u>					
Land Charges	-80	-43	-50	7	8
School SLAs	-80	-80	-80	0	0
Licence Income	-250	-179	-188	9	18
Government Grant	0	0	-21	21	21
Fees & Charges Income	-56	-56	-86	30	12
Total Income	-466	-358	-425	67	59
Net Operational Expenditure	1,845	1,427	1,333	94	94
<u>Recharges</u>					
Premises	64	48	48	0	0
Central Support Services	363	271	271	0	0
Support Service Income	-1,727	-1,295	-1,295	0	0
Net Total Recharges	-1,300	-976	-976	0	0
Net Department Expenditure	545	451	357	94	94

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	4,663	3,498	3,288	210	280
Premises	169	136	101	35	47
Contracted Services	186	113	265	(152)	(203)
Supplies & Services	162	172	279	(107)	(142)
Street Lighting	1,583	762	755	7	9
Highways Maintenance	2,495	1,877	1,807	70	94
Fleet Transport	1,333	946	793	153	203
Halton Hopper Tickets	193	121	121	0	0
Bus Support	519	318	318	0	0
Finance Charges	16	12	12	0	0
Grants to Voluntary Organisations	61	61	61	0	0
LCR Levy	882	661	661	0	0
NRA Levy	66	66	65	1	1
Contribution to Reserves	432	31	0	31	41
Total Expenditure	12,760	8,774	8,526	248	330
<u>Income</u>					
Sales	-121	-103	-106	3	4
Planning Fees	-546	-460	-412	(48)	(64)
Building Control Fees	-213	-149	-155	6	8
Other Fees & Charges	-746	-559	-681	122	162
Grants & Reimbursements	-127	-57	-164	107	143
Government Grant Income	-10	-11	-17	6	8
Halton Hopper Income	-203	-123	-123	0	0
Efficiency Savings	-68	-51	0	(51)	(68)
School SLA's	-44	-43	-42	(1)	(1)
Capital Salaries	-317	-125	-14	(111)	(147)
LCR Levy Reimbursement	-882	-661	-661	0	0
Total Income	-3,277	-2,342	-2,375	33	45
Net Operational Expenditure	9,483	6,432	6,151	281	375
<u>Recharges</u>					
Premises Recharges	542	407	407	0	0
Transport Recharges	688	510	490	20	26
Asset Charges	1,036	0	0	0	0
Central Support Services	1,643	1,235	1,235	0	0
Transport Recharge Income	-4,296	-3,188	-3,236	48	64
Support Service Income	-650	-488	-488	0	0
Net Total Recharges	-1,037	-1,524	-1,592	68	90
Net Department Expenditure	8,446	4,908	4,559	349	465

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	2,000	1,528	1,583	(55)	(73)
Employees Training	133	91	58	33	43
Supplies & Services	137	99	107	(8)	(10)
Apprenticeship Levy	300	192	179	13	17
Total Expenditure	2,570	1,910	1,927	(17)	(23)
<u>Income</u>					
Reimbursement & Other Grants	0	0	-12	12	15
Fees and Charges	-95	-95	-125	30	35
Schools SLAs	-435	-435	-418	(17)	(17)
Total Income	-530	-530	-555	25	33
Net Operational Expenditure	2,040	1,380	1,372	8	10
<u>Recharges</u>					
Premises Support	89	66	66	0	0
Central Support Recharges	900	675	675	0	0
Support recharges Income	-2,860	-2,161	-2,161	0	0
Net Total Recharges	-1,871	-1,420	-1,420	0	0
Net Department Expenditure	169	-40	-48	8	10

PEOPLE DIRECTORATE

Adult Social Care

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	14,043	10,396	10,312	84	110
Other Premises	310	247	252	(5)	(10)
Supplies & Services	506	375	384	(9)	(10)
Aids & Adaptations	113	84	81	3	0
Transport	186	140	170	(30)	(30)
Food Provision	173	126	113	13	10
Contracts & SLAs	536	455	450	5	0
Emergency Duty Team	644	466	477	(11)	(5)
Other Agency	100	50	51	(1)	0
Payments To Providers	1,443	1,082	1,079	3	0
Revenue Contrib.To Capital	44	44	44	0	0
Care Homes	4,119	2,482	3,006	(524)	(676)
Total Expenditure	22,217	15,947	16,419	(472)	(611)
<u>Income</u>					
Sales & Rents Income	-353	-281	-297	16	10
Fees & Charges	-677	-510	-489	(21)	(15)
Reimbursements & Grant Income	-970	-589	-556	(33)	(45)
Transfer From Reserves	-1,243	0	0	0	0
Capitalised Salaries	-111	-83	-91	8	5
Government Grant Income	-123	-114	-115	1	0
Total Income	-3,477	-1,577	-1,548	(29)	(45)
Net Operational Spend	18,740	14,370	14,871	(501)	(656)
<u>Recharges</u>					
Premises Support	490	367	367	0	0
Asset Charges	13	0	0	0	0
Central Support Services	3,026	2,270	2,270	0	0
Internal Recharge Income	-1,850	-1,377	-1,377	0	0
Transport Recharges	549	334	334	0	0
Net Total Recharges	2,228	1,594	1,594	0	0
Net Department Expenditure	20,968	15,964	16,465	(501)	(656)

Children & Families

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	8,836	6,476	6,791	(315)	(467)
Premises	270	169	161	8	32
Supplies and Services	943	567	793	(226)	(289)
Transport	97	48	97	(49)	(55)
Direct Payments/Individual Budgets	483	328	599	(271)	(361)
Commissioned Services	224	129	116	13	16
External Provider Residential Placements	4,916	3,187	4,878	(1,691)	(2,255)
Out of Borough Adoption	84	11	16	(5)	(7)
Independent Fostering Agency Placements	1,630	902	1,573	(671)	(894)
In House Adoption	276	152	219	(67)	(89)
Special Guardianship	1,699	1,237	1,226	11	14
In House Foster Carer Payments	2,012	1,423	1,405	18	22
Care Leavers	331	215	247	(32)	(42)
Family Support	53	36	52	(16)	(22)
Emergency Duty Team	102	47	51	(4)	(6)
Contracted Services	4	3	2	1	2
Early Years	86	69	274	(205)	(277)
Transfer to Reserves	65	0	0	0	0
Total Expenditure	22,111	14,999	18,500	(3,501)	(4,678)
<u>Income</u>					
Fees and Charges	-28	-8	-4	(4)	(6)
Sales Income	-48	-38	-39	1	5
Rents	-82	-49	-49	0	2
Dedicated Schools Grant	-97	0	0	0	0
Reimbursements & Other Grant Income	-487	-357	-362	5	11
Government Grants	-1,211	-920	-920	0	0
Transfer from Reserves	-115	-115	-115	0	0
Total Income	-2,068	-1,487	-1,489	2	12
Net Operational Expenditure	20,043	13,512	17,011	(3,499)	(4,666)
<u>Recharges</u>					
Premises Support	138	103	103	0	0
Transport Support	19	14	13	1	1
Central Support Services	2,687	2,016	2,016	0	0
Support Service Income	-45	-34	-34	0	0
Net Total Recharges	2,799	2,099	2,098	1	1
Net Department Expenditure	22,842	15,611	19,109	(3,498)	(4,665)

Complex Care Pool Budget

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
Expenditure					
Intermediate Care Services	5,890	4,070	4,203	(133)	(232)
End of Life	200	150	147	3	4
Sub-Acute	1,940	1,067	1,052	15	33
Joint Equipment Store	613	408	425	(17)	(25)
CCG Contracts & SLA's	3,458	437	395	42	49
Intermediate Care Beds	599	449	449	0	0
BCF Schemes	1,514	127	115	12	16
Carers Breaks	444	410	345	65	87
Oakmeadow	1,614	958	963	(5)	(14)
B3 Beds	1,226	866	945	(79)	(131)
Adult Health & Social Care Services:					
Residential & Nursing Care	18,883	14,873	15,516	(643)	(941)
Domiciliary & Supported Living	14,245	9,787	8,834	953	1,400
Direct Payments	8,022	7,614	9,226	(1,612)	(3,016)
Day Care	445	239	349	(110)	(157)
Total Expenditure	59,093	40,992	42,964	(1,972)	(2,927)
Income					
Residential & Nursing Income	-6,966	-4,523	-4,620	97	121
Domiciliary Income	-1,432	-881	-907	26	50
Direct Payments Income	-581	-357	-436	79	151
Winter Pressures	-639	-479	-479	0	0
BCF	-10,377	-7,782	-7,782	0	0
CCG Contribution to Pool	-15,112	-11,217	-11,217	0	0
ILF	-656	-328	-328	0	0
Oakmeadow Income	-604	-453	-450	(3)	0
Income from other CCG's	-126	-98	-98	0	0
Falls Income	-60	-45	-45	0	0
Total Income	-36,553	-26,163	-26,362	199	322
Net Department Expenditure	22,540	14,829	16,602	(1,773)	(2,605)
HCCG liability			-850	850	1,138
Adjusted Net Dept. Expenditure	22,540	14,829	15,752	(923)	(1,467)

Education, Inclusion & Provision

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	5,590	3,917	3,991	(74)	(100)
Premises	28	9	7	2	3
Supplies & Services	1,175	1,003	1,001	2	2
Transport	43	25	28	(3)	(4)
Schools Transport	610	300	926	(626)	(785)
Commissioned Services	2,404	1,056	1,054	2	3
Agency Related Expenditure	1,471	1,047	1,047	0	0
Independent School Fees	3,381	2,530	2,530	0	0
Inter Authority Special Needs	175	74	74	0	0
Pupil Premium Grant	179	19	19	0	0
Nursery Education Payments	6,275	4,457	4,457	0	0
Special Education Needs	829	828	828	0	0
Contingency					
Schools Contingency	205	71	71	0	0
Capital Finance	1	1	1	0	0
Total Expenditure	22,366	15,337	16,034	(697)	(881)
<u>Income</u>					
Fees & Charges	-155	-116	-131	15	26
Government Grants	-498	-374	-374	0	0
Reimbursements & Other Grants	-489	-445	-459	14	19
Schools SLA Income	-600	-435	-474	39	53
Transfer from Reserves	-455	-163	-163	0	0
Dedicated Schools Grant	-14,551	-10,170	-10,170	0	0
Inter Authority Income	-578	-401	-201	(200)	(267)
Total Income	-17,326	-12,104	-11,972	(132)	(169)
Net Operational Expenditure	5,040	3,233	4,062	(829)	(1,050)
<u>Recharges</u>					
Central Support Services	1,756	1,317	1,317	0	0
Support Service Income	-79	-59	-59	0	0
Premises Support	138	104	104	0	0
Transport Support	410	403	403	0	0
Asset Charges	18	0	0	0	0
Net Total Recharges	2,243	1,765	1,765	0	0
Net Department Expenditure	7,283	4,998	5,827	(829)	(1,050)

Public Health & Public Protection

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (Overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	3,690	2,768	2,720	48	67
Other Premises	5	0	0	0	0
Supplies & Services	296	227	165	62	80
Contracts & SLA's	6,586	4,281	4,348	(67)	(95)
Transport	10	7	6	1	1
Other Agency	18	18	19	(1)	(1)
Total Expenditure	10,605	7,301	7,258	43	52
<u>Income</u>					
Other Fees & Charges	-86	-82	-76	(6)	(8)
Government Grant	-9,919	-7,442	-7,442	0	0
Reimbursements & Grant Income	-229	-200	-193	(7)	(9)
Transfer from Reserves	-405	-44	-44	0	0
Total Income	-10,639	-7,768	-7,755	(13)	(17)
Net Operational Expenditure	-34	-467	-497	30	35
<u>Recharges</u>					
Premises Support	143	107	107	0	0
Central Support Services	786	589	589	0	0
Transport Recharges	23	17	16	1	0
Support Income	-17	-17	-17	0	0
Net Total Recharges	935	696	695	1	0
Net Department Expenditure	901	229	198	31	35

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Employees	250	187	222	(35)	(48)
Contracted Services	35	26	7	19	19
Supplies & Services	130	108	140	(32)	(40)
Members Allowances	877	658	651	7	10
Interest Payable	2,069	1,551	858	693	941
Bank Charges	83	62	92	(30)	(40)
Audit Fees	124	93	93	0	0
Contingency	964	723	0	723	964
Capital Financing	1,419	1,419	1,446	(27)	(27)
Contribution to Reserves	2,455	2,455	1,900	555	555
Debt Management Expenses	34	26	11	15	15
Precepts & Levies	192	144	144	0	0
Total Expenditure	8,632	7,452	5,564	1,888	2,349
<u>Income</u>					
Interest Receivable – Treasury	-1,508	-1,131	-1,412	281	374
Interest Receivable – Other	-25	-12	-12	0	0
Fees & Charges	-54	-41	-35	(6)	0
Grants & Reimbursements	-65	-49	-43	(6)	421
Government Grant Income	-7,608	-5,706	-5,811	105	105
Total Income	-9,260	-6,939	-7,313	374	900
Net Operational Expenditure	-628	513	-1,749	2,262	3,249
<u>Recharges</u>					
Premises	5	4	4	0	0
Central Support Services	1,315	987	987	0	0
Support Services Income	-3,052	-255	-255	0	0
Net Total Recharges	-1,732	736	736	0	0
Net Department Expenditure	-2,360	1,249	-1,013	2,262	3,249

	Annual Budget £'000	Budget To Date £'000	Actual To Date £'000	Variance (overspend) £'000	Forecast Outturn (Overspend) £'000
<u>Expenditure</u>					
Premises	160	140	124	16	17
Hired and Contracted Services	0	0	9	(9)	(12)
Unitary Charge	37,053	24,512	24,845	(333)	(297)
DMPA fee	8,449	5,771	10,883	(5,112)	(6,461)
Insurance	1,540	1,154	384	770	1,028
Supplies & Services	0	0	3	(3)	(4)
MGCB Ltd	2,208	1,518	712	806	831
MGET Ltd	573	165	159	6	104
Sustainable Transport	500	427	225	202	184
External Interest	5,173	2,246	2,246	0	0
Finance Charges	151	151	148	3	3
Total Expenditure	55,807	36,084	39,738	(3,654)	(4,607)
<u>Income</u>					
Toll Income	-29,492	-22,194	-25,851	3,657	4,708
Grants & Reimbursements	-25,808	-25,808	-25,811	3	3
Transfer from reserves	-573	-165	-159	(6)	(104)
Total Income	-55,873	-48,167	-51,821	3,654	4,607
Net Operational Expenditure	-66	-12,083	-12,083	0	0
<u>Recharges</u>					
Central Support Services	66	50	50	0	0
Net Total Recharges	66	50	50	0	0
Net Department Expenditure	0	-12,033	-12,033	0	0

APPENDIX 2

Directorate/Department	Actual Expenditure to Date £'000	2019/20 Cumulative Capital Allocation		Capital Allocation 2020/21 £'000	Capital Allocation 2021/22 £'000
		Quarter 3 £'000	Quarter 4 £'000		
<u>Enterprise Community & Resources Directorate</u>					
Community and Environment					
Stadium Minor Works	0	0	39	30	30
Stadium Pitch	0	0	21	0	0
Stadium Reconfiguration	532	532	553	0	0
Brookvale Pitch refurbishment	0	0	0	500	0
New Leisure Centre	0	0	0	5,000	10,000
Open Spaces Schemes	284	300	560	0	0
Children's Playground Equipment	88	100	154	65	65
Upton Improvements	0	0	13	0	0
Crow Wood Play Area	13	13	20	15	0
Crow Wood Park Pavillion	240	250	320	0	0
Peelhouse Lane Cemetery & Enabling Works	478	707	950	40	20
Pheonix Park	3	3	3	0	0
Victoria Park Glass House	233	235	305	0	0
Sandymoor Playing Fields	39	30	40	30	0
Widnes & Runcorn Cemeteries	183	150	190	9	0
Landfill Tax Credit Schemes	2	10	20	340	340
Runcorn Town Park	65	150	200	280	280
Bowling Greens	2	20	32	2	0

Directorate/Department	Actual Expenditure to Date £'000	2019/20 Cumulative Capital Allocation		Capital Allocation 2020/21 £'000	Capital Allocation 2021/22 £'000
		Quarter 3 £'000	Quarter 4 £'000		
Litter Bins	0 0	0	20	20	20
Community Shop	50	50	100	0	0
Libraries IT equipment	90	94	94	0	0
ICT & Support Services					
ICT Rolling Programme	574	574	700	700	700
Economy, Enterprise & Property					
3MG	41	41	126	0	0
Widnes Waterfront	0	0	0	1,000	0
SciTech Daresbury – EZ Grant	96	96	96	0	0
Venture Field	55	55	61	0	0
Linnets Clubhouse	33	33	50	58	0
The Croft	0	0	30	0	0
Murdishaw redevelopment	0	0	0	38	0
Former Crosville Site	127	127	127	0	0
Advertising Screen at The Hive	0	0	0	100	0
Widnes Market Refurbishment	40	40	100	40	0
Broseley House	13	13	15	5	441
Solar Farm	309	309	1,209	0	0
Moor Lane Bus Depot	4	4	247	0	0
Manor Park	0	0	37	0	0

Directorate/Department	Actual Expenditure to Date £'000	2019/20 Cumulative Capital Allocation		Capital Allocation 2020/21 £'000	Capital Allocation 2021/22 £'000
		Quarter 3 £'000	Quarter 4 £'000		
Equality Act Improvement Works	211	211	300	300	300
Foundary Lane Residential Area	0	0	350	1,800	0
Kingsway Learning Centre	0	0	0	745	0
Mersey Gateway					
Land Acquisitions	835	835	3,270	0	0
Development Costs	54	79	105	0	0
Construction Costs	83	83	125	0	0
Other					
Risk Management	87	87	377	120	120
Fleet Replacements	644	644	1,471	1,760	3,043
Policy, Planning & Transportation					
Bridge & Highway Maintenance	3,914	3,914	5,985	0	0
Integrated Transport & Network Management	275	275	692	0	0
Street Lighting – Structural Maintenance & Upgrades	171	171	1,755	2,000	200
STEPS Programme	1,922	1,922	2,013	0	0
Silver Jubilee Bridge Major Maintenance	2,654	2,654	4,126	0	0
Silver Jubilee Bridge Decoupling / Runcorn Station Quarter	5,794	5,794	5,705	20,000	20,000
Widnes Loops	228	228	4,553	0	0

Directorate/Department	Actual Expenditure to Date £'000	2019/20 Cumulative Capital Allocation		Capital Allocation 2020/21 £'000	Capital Allocation 2021/22 £'000
		Quarter 3 £'000	Quarter 4 £'000		
KRN – Earle Road Gyratory	7	7	238	0	0
Travelodge/Watkinson Way Footpath	161	161	128	0	0
SUD Green Cycle / Walk Corridors	19	19	245	435	267
Strategic Cycling & Walking Network	289	289	289	0	0
Total Enterprise Community & Resources	20,942	21,309	38,159	35,432	35,826
People Directorate					
Adult Social Care					
ALD Bungalows	0	0	0	199	0
Grangeway Court Refurbishment	0	0	0	0	0
Bredon Reconfiguration	26	26	30	0	0
Purchase of 2 adapted properties	124	130	512	0	0
Orchard House	34	34	407	0	0
Carefirst Upgrade	362	362	362	0	0
Complex Pool					
Disabled Facilities Grant	413	450	601	0	0
Stairlifts (Adaptations Initiative)	173	190	256	0	0
RSL Adaptations (Joint Funding)	181	190	260	0	0

Directorate/Department	Actual Expenditure to Date £'000	2019/20 Cumulative Capital Allocation		Capital Allocation 2020/21 £'000	Capital Allocation 2021/22 £'000
		Quarter 3 £'000	Quarter 4 £'000		
Carehome Acquisitions and refurbishment	2,054	2,060	2,400	1,437	0
Oakmeadow refurbishment	70	70	105	0	0
Millbrow	80	80	107	0	0
Madeline McKenna Care Home	14	14	20	0	0
Schools Related					
Asset Management Data	3	5	5	27	0
Capital Repairs	361	608	882	800	0
Asbestos Management	6	20	43	35	0
Schools Access Initiative	4	17	17	50	0
Basic Need Projects	0	0	188	437	0
Fairfield Primary School	0	34	34	0	0
Kitchen Gas Safety	32	50	68	0	0
Small Capital Works	48	75	126	0	0
Bridge School Vocational Centre	9	27	27	0	0
Simms Cross	1	1	1	0	0
SEND capital allocation	528	550	618	253	0
Healthy Pupils Capital Fund	9	17	17	0	0
The Grange – Brookfields Provision	37	37	37	0	0
Chesnut Lodge	8	225	300	0	0
School Condition Grant - unallocated	0	0	0	112	0

Total People Directorate	4,577	5,272	7,423	3,350	0
TOTAL CAPITAL PROGRAMME	25,519	26,581	45,582	38,782	35,826
Slippage (20%)			-9,116	-7,756	-7,165
				9,116	7,756
TOTAL	25,519	26,581	36,466	40,142	36,417

REPORT TO: Executive Board

DATE: 27 February 2020

REPORTING OFFICER: Operational Director – Finance

PORTFOLIO: Resources

TITLE: Capital Strategy 2020/21

WARDS: Borough-wide

1.0 PURPOSE OF REPORT

1.1 To consider the Council's Capital Strategy for 2020/21 and recommend it's approval by Council.

2.0 RECOMMENDATION: That Council be recommended to approve the 2020/21 Capital Strategy, as presented in the Appendix.

3.0 SUPPORTING INFORMATION

3.1 The revised 2017 Prudential and Treasury Management Code of Practice has required since 2019-20 that all councils prepare annually a Capital Strategy, which will provide the following:

- a high-level, long term overview of how capital expenditure, capital financing and treasury management activity will contribute to the provision of services
- an overview of how the associated risk is managed
- the implications for future financial sustainability

3.2 The aim of the Capital Strategy is to ensure that the Council understands the overall long-term policy objectives and resulting capital strategy requirements, governance procedures and risk appetite.

3.3 The Capital Strategy should be read in conjunction with the Treasury Management Strategy Statement, found elsewhere on the Agenda, which details the expected activities of the treasury management function and incorporates the Annual Investment Strategy and the Minimum Revenue Provision (MRP) policy for 2020/21.

4.0 POLICY IMPLICATIONS

4.1 The successful delivery of the Capital Strategy will assist the Council in planning and funding its capital expenditure over the next three years, enabling the Council to use capital expenditure to assist in delivering the Council's priorities and managing the revenue cost implications.

5.0 OTHER IMPLICATIONS

5.1 None.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 There are no direct implications, however, the revenue budget and capital programme support the delivery and achievement of all the Council's priorities.

7.0 RISK ANALYSIS

7.1 This report, along with the Treasury Management Strategy ensure that the Council operates within the guidelines set out in the Prudential Code. The aim at all times is to operate in an environment where risks are clearly identified and managed.

8.0 EQUALITY AND DIVERSITY ISSUES

8.1 None.

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

Document	Place of Inspection	Contact Officer
Working Papers	Financial Management	Matt Guest
CIPFA TM Code	Halton Stadium	
CIPFA Prudential Code		

HALTON BOROUGH COUNCIL

CAPITAL STRATEGY

2020/21

Revenues and Financial Management Division
Finance Department
February 2020

CAPITAL STRATEGY STATEMENT 2020/21**1 Background**

- 1.1 The Capital Strategy gives a high-level overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of local public services along with an overview of how associated risk is managed and the implications for future financial sustainability. It is written in an accessible style to assist understanding of these, sometimes technical, areas.

2 Capital Expenditure and Financing

- 2.1 Capital expenditure is where the Council spends money on assets, such as property or vehicles that will be used for more than one year. In local government this includes spending on assets owned by other bodies, and loans and grants to other bodies enabling them to buy assets. The Council has some limited discretion as to what is treated as capital expenditure, for example assets costing below £35,000 are not capitalised and are charged to revenue in year. Further detail on how the Council differentiates between revenue and capital spend is shown in the Capital Guidance included at Appendix 1.
- 2.2 All capital expenditure must be financed, either from external sources (Government grants and other contributions), the Council's own resources (revenue, reserves or capital receipts) or debt (borrowing, leasing or Private Finance Initiative).
- 2.3 Capital expenditure and financing for 2018/19 is shown below, along with estimates for 2019/20 and the following three years:

Table 1 – Capital Expenditure and Funding

	2018/19 Actual £000	2019/20 Estimate £000	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000
Capital Expenditure:					
People	3,426	7,062	3,351	-	-
Enterprise, Community & Resources	18,475	38,524	35,431	35,827	8,145
	21,901	45,586	38,782	35,827	8,145
Financed By:					
Capital receipts	(4,156)	(4,567)	(3,152)	(2,330)	(1,869)
Capital grants	(14,146)	(17,946)	(26,818)	(20,854)	(586)
Revenue	(344)	(524)	(443)	-	-
Net financing need for the year	3,255	22,549	8,369	12,643	5,690

3 Governance

- 3.1 The Council maintains a three year rolling programme of capital schemes (The Capital Programme). A summary of the three year Capital Programme is included in the Budget Report approved annually by Council. In addition a more detailed capital programme report is approved in June of each year, this contains detail of all known grant funded capital projects.
- 3.2 In line with Finance Standing Orders specific capital schemes are reported throughout the year to Executive Board with a recommendation for Council to subsequently approve. Changes to the Capital Programme during the year are reported quarterly to Council.
- 3.3 Capital project managers must complete a capital project form (Appendix 2) giving details of the financial impact of their capital schemes. The form will be completed in conjunction with Financial Management and will help to evaluate whether capital schemes are fully, correctly and effectively funded, that consideration has been given to contingency costs within the project and known future revenue costs are fully budgeted for. The project form should be included with reports to Executive Board by way of evidencing that the financial implications of schemes have been fully addressed.

4 Repayment of Borrowing:

- 4.1 Debt is only a temporary source of finance, since loans and leases must be repaid. This is therefore replaced over time by other financing, usually from revenue which is known as the Minimum Revenue Provision (MRP). Planned MRP payments are shown in the table below:

Table 2 – Minimum Revenue Provision

	2018/19 Actual £000	2019/20 Estimate £000	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000
Minimum Revenue Provision					
General Fund	2,214	2,116	2,115	1,831	1,837
Leases and PFI Schemes	952	614	535	479	558
Mersey Gateway unitary charge	5,636	5,941	6,310	6,518	6,766
Net financing need for the year	8,802	8,671	8,960	8,828	9,161

- 4.2 The table above includes MRP payable for finance leases, PFI schemes and the Mersey Gateway unitary charge. For accounting purposes these schemes are classed as borrowing and the annual payments are split between an interest charge and repayment of borrowing, which is shown as MRP above. It should be noted that leases, PFI schemes and Mersey Gateway unitary repayments have no impact on the Council's General Fund.

The Council's MRP statement is included as an appendix to the Treasury Management Strategy which should be read in conjunction with this report.

5 Outstanding Debt – Capital Financing Requirement

- 5.1 The Council's cumulative outstanding amount of debt finance is measured by the capital financing requirement (CFR). This increases with new debt-financed capital expenditure and reduces with MRP. The table below shows the Council's Capital Financing Requirement for 2018/19 and how this is expected to change in 2019/20 and over the following three years.

Table 3 – Capital Financing Requirement

	2018/19 Actual £000	2019/20 Estimate £000	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000
Capital Financing Requirement	608,870	599,950	603,841	599,218	602,521
Movement in CFR due to:					
Net financing need for the year	3,255	22,549	8,369	12,643	5,690
PFI / Finance Leases	-	-	-	-	-
Mersey Gateway unitary charge	(3,373)	(9,988)	(4,033)	(513)	(526)
Less Minimum Revenue Provision	(8,802)	(8,670)	(8,959)	(8,827)	(9,161)
Increase / (Decrease) in CFR	(8,920)	3,891	(4,623)	3,303	(3,997)

6 Asset Management

- 6.1 To ensure that capital assets continue to be of long-term use, the Council has an asset management plan in place. This summarises how the Council manages its land and property assets and sets out the Council's strategy to ensure that these assets can make the maximum contribution to achieving the aims and the objectives of the organisation.
- 6.2 The Council's Asset Management Plan comprises a number of sections including the accommodation plans; assets disposal plan and maintenance programme which are presented to the Asset Management Working Group, on a quarterly basis.

7 Asset Disposals

- 7.1 When a capital asset is no longer needed, it may be sold so that the proceeds, known as capital receipts, can be spent on new assets or the repayment of debt relating to the asset sold. The level of the Council's capital receipts reserve, the expected sales and planned expenditure is shown in the table below:

Table 4 – Capital Receipts Reserve

	2018/19 Actual £000	2019/20 Estimate £000	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000
Capital Receipts - 1st April	(10,775)	(7,741)	(3,856)	(3,106)	(2,976)
Asset Sales	(4,495)	(10,182)	(5,935)	(2,200)	(1,000)
Use of Capital Receipts					
- New Capital Expenditure	4,156	4,567	3,152	2,330	1,869
- Repayment of debt	3,373	9,500	3,533	-	
Capital Receipts - 31st March	(7,741)	(3,856)	(3,106)	(2,976)	(2,107)

8 Treasury Management

- 8.1 Treasury management is concerned with keeping sufficient but not excessive cash available to meet the Council's spending needs, while managing the risks involved. Surplus cash is invested until required, while a shortage of cash will be met by borrowing, to avoid excessive credit balances or overdrafts in the bank current account. The Council is typically cash rich in the short-term as revenue income is received before it is spent, but cash poor in the long-term as capital expenditure is incurred before being financed. The revenue cash surpluses are offset against capital cash shortfalls to reduce overall borrowing.
- 8.2 The Treasury Management Strategy, elsewhere on the Agenda, details all aspects of the Treasury Management function and the associated risks as detailed below.
- Borrowing strategy
 - Investment strategy
 - Capital Financing Requirement
 - Capital Prudential Indicators
 - Treasury Indicators – Operational Boundary and Authorised Limit
 - Prospects for interest rates
 - MRP Policy

9 Knowledge and Skills

9.1 The Council employs professionally qualified and experienced staff in senior positions with responsibility for making capital expenditure, borrowing and investment decisions:

- The Operational Director - Finance is a CIPFA qualified accountant with over 35 years' experience in local government finance
- The Operational Director – Economy, Enterprise and Property has over 20 years' experience in Regeneration
- The Treasury Manager is a CIMA qualified accountant with 14 years' experience in local government finance and treasury management.
- The Council ensures all staff receive appropriate training for their roles including formal training and courses to support their development.
- The Council currently employs Link Asset Services to provide treasury management services in order to access specialist skills, advice and resources

CAPITAL GUIDANCE

1. Background & Purpose

- 1.1 The difference between capital and revenue expenditure is by no means simple to establish. In recent years it has become even more difficult, with the increasingly multi-funded and complex nature of many of the Council's services.
- 1.2 There is now an increased focus on the treatment of capital and revenue expenditure from Government and other funding bodies, along with the external auditor who have previously identified and reported upon capital transactions which had been incorrectly categorised. It is therefore essential to ensure the correct accounting treatment of capital and revenue transactions.
- 1.3 This Guidance is intended to clarify the difference between capital and revenue expenditure. It will also assist those involved in managing capital projects or processing capital transactions, to ensure the correct approval, accounting treatment, coding, monitoring, control and funding of capital expenditure.

2. Introduction

- 2.1 Capital expenditure is fundamentally different in its nature, funding and methods of control from revenue expenditure. It is therefore important that expenditure is correctly treated in terms of whether it constitutes capital or revenue expenditure and is correctly coded as such within the Agresso system. In addition, both revenue and capital expenditure must be accounted for correctly in order to comply with statutory accounting regulations.

3. Capital Definition

- 3.1 All costs must be treated as revenue expenditure, unless it is correct and proper to treat them as capital expenditure.
- 3.2 Capital expenditure is defined as expenditure on the acquisition of an asset (eg. land, property, plant, equipment, vehicles) or expenditure which adds to (rather than merely maintains) the value of an existing asset, or considerably extends the life of the asset. The asset must also provide benefit to the Council for more than one year.
- 3.3 For example, the construction of a Council office building will be treated as capital expenditure. Whereas, the on-going annual running costs for that building (eg. staffing, heating, lighting, contracts, supplies) will be treated as revenue expenditure.

4. What Constitutes Capital Expenditure?

- 4.1 In order to be included in the Council's Capital Programme, capital schemes must have a total estimated cost of at least £10,000 in respect of land, property and infrastructure and £5,000 in respect of equipment, plant and vehicles. Schemes having a total cost of less than these values must be treated as revenue expenditure.

- 4.2 Directly attributable costs incurred after a capital scheme has been formally approved in detail by Council, should be treated as capital expenditure.
- 4.3 Preparatory or feasibility costs incurred “prior” to the formal approval of a capital scheme must initially be treated as revenue expenditure, as these costs may prove abortive if the scheme does not ultimately go ahead and so may not ultimately result in the creation of an asset. However, once the scheme has been formally approved and will therefore proceed, the related preparatory or feasibility costs may be treated as part of the capital scheme costs.
- 4.4 The cost of providing an extension to a building should be treated as capital expenditure, as it is likely to increase the value of the building.
- 4.5 Major structural maintenance costs such as re-roofing, re-wiring, re-plumbing, boiler replacement, full window replacement etc., which are considered to considerably extend the life of a property, should also be treated as capital expenditure.
- 4.6 However, day-to-day building maintenance and repair costs such as roof repairs, electrical and plumbing repairs, decorating, building and window repairs must be treated as revenue expenditure.
- 4.7 Individual expenditure transactions of less than £1,000 should usually be treated as revenue expenditure, unless they form part of a larger capital cost which meets the capital definition eg. the balance of capital contract payments, monthly recharges of capital fees, invoices for specific elements of capital works.
- 4.8 Professional fees in respect of Valuers, Highway Engineers, Landscape Architects, and Regeneration staff are considered to add value to the assets they deal with and may therefore be charged to the relevant capital schemes. However, it is important to ensure that sufficient capital allocation exists to fund these costs. All other staffing costs must be treated as revenue expenditure.
- 4.9 Project support and implementation costs such as room hire, printing, hospitality, training, advertising, publicity etc. must be treated as revenue expenditure.
- 4.10 Expenditure on the initial, one-off purchase of computer software may be capitalised as an intangible asset. However, the on-going cost of annual software licences, support contracts, implementation consultancy and system training must be treated as revenue expenditure.
- 4.11 Where capital schemes are part or fully externally funded, the definition of what constitutes capital expenditure applied by the external funding body may differ to that presented in this Guidance and therefore the requirements of the external funding body should take precedence.

5. The Council’s Capital Programme

Scheme Approval

- 5.1 The Council maintains a three year rolling programme of capital schemes (The Capital Programme). A summary of the three year Capital Programme is included in the Budget Report approved annually by Council. In addition a more detailed capital programme report is approved by Executive Board in June of each year, this contains detail of all known grant funded capital projects. In line with Finance Standing Orders specific capital schemes are reported throughout the year to Executive Board with a recommendation for Council to subsequently approve. Proposed new capital starts will be considered and

prioritised in the light of the Council's Medium Term Financial Strategy, the Asset Management Plan, and delivery of the Council's corporate priorities.

- 5.2 Reports seeking approval for individual capital schemes should include the following financial information;
- (i) the gross cost of each scheme before any external contributions, reimbursements, or capital grants;
 - (ii) the estimated cashflows over the life of the scheme;
 - (iii) the expected revenue expenditure consequences of the scheme and how these will be funded;
 - (iv) details of any specific funding attributable to the scheme such as from capital grants, external contributions and other reimbursements.
- 5.3 The Operational Director, Finance will ensure that the estimated capital financing costs of the approved Capital Programme are incorporated within the annually set revenue budget.
- 5.4 Once a detailed scheme has been formally approved the designated Project Manager should contact the Revenues and Financial Management Division, providing details of the approval, in order for the appropriate capital accounting codes to be set-up to enable orders to be raised and expenditure incurred against the scheme.

Variations to the Capital Programme

- 5.5 Variations to the Capital Programme may be addressed by transfers (virements) between capital schemes within the Programme. This must be with the written approval of the Operational Director, Finance, and may only be up to 10% on schemes costing less than £5m or up to £500,000 on schemes costing more than £5m, as set out in the Council's Standing Orders Relating to Finance.
- 5.6 Any variations in excess of £500,000 must be reported for approval by Council. The report should include the reasons for the variation, details of how the variation might be contained or mitigated, revised cost estimates profiled over the life of the scheme, and the impact upon the scheme of the potential cost overrun.

Year-end Carry Forward / Slippage

- 5.7 Where total expenditure by year-end is less than the total capital allocation approved for a particular capital scheme, due to delays, slippage, or other exceptional circumstances, the Operational Director, Finance may choose to approve the carry forward of allocation into the following financial year. All applications for carry forward, including full details of the circumstances, must be made in writing to the Operational Director, Finance by 31st March each year.

6. Funding the Capital Programme

- 6.1 Capital expenditure may be funded from a variety of sources including capital receipts, capital grants, prudential borrowing, and revenue contributions. The Operational Director, Finance shall arrange for the financing of the Capital Programme as considered appropriate.

Capital Receipts

- 6.2 Where capital assets are sold the resulting income is termed capital receipts. Capital receipts can be used to fund additional capital expenditure or to repay outstanding capital financing debt, but they cannot be used for revenue purposes.

Capital Grants

- 6.3 Capital grants are provided with the specific purpose of funding capital expenditure. This will be stated within the grant conditions and therefore they cannot be used for revenue purposes.
- 6.4 Where funding agencies indicate that capital grants may be utilised for expenditure which does not meet the capital definition or constitute capital expenditure as per Sections 3 and 4 above, then the funding agency should be asked to re-assign part of the capital grant as a revenue grant.

Prudential Borrowing

- 6.5 The Council is able to borrow funds from approved external institutions. However, this must be in accordance with the Prudential Borrowing Code of Practice (The Prudential Code).
- 6.6 The fundamental requirements for compliance with the Prudential Code is that the Council must be able to demonstrate that its borrowing is prudent, affordable and sustainable ie. that it is able to repay the annual financing costs (principal and interest) over the life of the loan.

Revenue Contributions

- 6.7 The Council may decide to make a contribution from the revenue budget to assist with funding a capital scheme. It is “not” however possible to use capital funding for the purposes of meeting revenue expenditure.

External Contributions and Reimbursements

- 6.8 External contributions or reimbursements from partner organisations or other bodies may be received towards the funding of capital schemes.
- 6.9 Where capital schemes are part or fully funded from external funding sources, the “gross” rather than “net” cost of the scheme must be included within the Council’s Capital Programme. All approval limits etc. will then apply to the gross expenditure total for the scheme.
- 6.10 Any external funding should be claimed regularly and as early as possible, in order to minimise the cash flow costs associated with schemes.
- 6.11 Where funding organisations indicate that their contribution may be utilised for expenditure which does not meet the capital definition or constitute capital expenditure as per Sections 3 and 4 above, then the funding organisation should be asked to re-assign part of their contribution as revenue funding.

7. Capital Expenditure Controls

- 7.1 Full narrative descriptions must be input on the Agresso system in respect of all capital transactions, to support their correct accounting treatment and to assist with reporting.
- 7.2 In order to ensure that all capital expenditure is correctly treated within the accounts, the Revenues and Financial Management Division will periodically check that all transactions charged to capital schemes meet the definition of capital expenditure outlined above.
- 7.3 Where transactions are identified which do not meet the capital expenditure definition they will be transferred to the revenue account.

- 7.4 All capital expenditure must be incurred in accordance with the Council's Procurement Standing Orders.

8. Capital Monitoring and Reporting Requirements

- 8.1 Comments should be sought from the Operational Director, Finance on all draft reports to Management Team or Members regarding capital proposals, spending and funding.
- 8.2 It is the responsibility of each designated Capital Project Manager to monitor expenditure for their schemes, in order to ensure they remain within the approved Capital Programme allocations.
- 8.3 Where expenditure is anticipated to exceed allocation, Capital Project Managers should liaise with their Finance Officer at the earliest opportunity, in order to agree the corrective action required to bring the scheme back in line with the Capital Programme.
- 8.4 Capital Project Managers are required to provide the Revenues and Financial Management Division with estimated quarterly expenditure profiles for each of their capital schemes, by 31 May each year. Any significant revisions to the profiles should also be notified to the Revenues and Financial Management Division during the year. The profiles will be used to monitor the Capital Programme and to provide quarterly Councilwide reports to Executive Board
- 8.5 The Revenues and Financial Management Division will provide access to appropriate financial reports, to assist Capital Project Managers with monitoring expenditure for each of their capital schemes.

9. Accounting for Capital Expenditure

- 9.1 Where capital expenditure does not increase the value of an asset or considerably extend its life, then at year-end the expenditure will be deemed "impaired" and certified as such by a Valuer. The impaired expenditure will then be charged against the Council's revenue budget.
- 9.2 The Council operates a five year rolling programme of land and property re-valuations, whereby a fifth of the land and property assets are re-valued each year. Changes in valuation arising from this exercise are then reflected in the value of assets held on the Council's balance sheet at year-end.
- 9.3 Changes in the valuation of assets are required by accounting regulations to be recorded and maintained as a historic record for each individual asset. This is to enable revaluations and impairments to be identified and accounted for on an individual asset basis.

APPENDIX 2

Capital Project Financial Assessment Form

Division	
Responsible Officer	
Project Name	
Brief Description of project	
Intended purpose of scheme (eg regeneration, operational, investment, maintenance of asset)	
Outcomes hoped to be achieved	
Projected total cost	
How funded (eg grant, S106, capital receipts, borrowing, revenue, other)	
Value of contingency within project costs	
Ongoing annual revenue costs	
Estimated Life of asset (in years)	
Projected start date	
Projected end date	
Sensitivity analysis (for invest to save schemes)	

Notes for completion of form

Responsible Officer	This should be the name of the officer responsible for implementing the project.
Brief description of project	Describe what the capital monies will be spent on e.g. building new commercial property to be rented out to bring in income, purchase nursing home, prepare land for sale etc.
Outcomes hoped to be achieved	describe the reason for the scheme e.g. to retain nursing beds, to generate future revenue savings, to prolong life of existing asset etc.
Projected cost	This should be the total estimated cost to complete the capital project including capitalised salary costs, landscaping the area after completion (if required) and should include a contingency for unexpected costs.
How funded	For each different funding stream state exactly where the funding is coming from and how much e.g. for grants state which grant, for S106 monies state the agreement number, if borrowing state how the borrowing is to be repaid (i.e. cost centre savings will be coming from and over what period), if revenue state cost centre, if other state exactly where funds are coming from i.e area forum (state cost centre), developer - state who. Note that the total of 'how funded' should equal the 'projected cost'.
Ongoing annual revenue costs	e.g if purchasing a nursing home what would be the annual net cost of running the home, if building a new building what would be the costs of utilities, repairs etc.
Estimated life of asset	How long do you think the asset will last. E.g a vehicle may be 5yrs or may be 7 yrs, a building in good repair may be 60yrs. For a capital project to develop land for resale this may not be applicable.
Projected start & end date	When is it proposed the project will commence and if everything goes to plan when is the project expected to be complete so that the building can be used, the land can be sold, savings can be achieved etc.
Sensitivity analysis	This is required only for those schemes where the purpose of the scheme is to generate future income and may require input from your finance officer. You should state how long it would take for the scheme to break given the assumptions you have made, and how long it would take for the scheme to break given if those assumptions where different. Eg. if the scheme was to generate future income from solar energy and you have assumed future income will increase @ 3% per year how long would it take to break even if the increase was only 2% per year, or if it was 4% per year.

REPORT TO: Executive Board

DATE: 27 February 2020

REPORTING OFFICER: Operational Director – Finance

PORTFOLIO: Resources

TITLE: Treasury Management Strategy Statement 2020/21

WARDS: Borough-wide

1.0 PURPOSE OF REPORT

1.1 To consider the Treasury Management Strategy Statement which incorporates the Annual Investment Strategy (AIS) and the Minimum Revenue Provision (MRP) Strategy for 2020/21.

2.0 RECOMMENDATION: That Council be recommended to adopt the policies, strategies, statements, prudential and treasury indicators outlined in the report.

3.0 SUPPORTING INFORMATION

3.1 This Treasury Management Strategy Statement (TMSS) details the expected activities of the treasury function in the forthcoming financial year (2020/21). Its production and submission to Council is a requirement of the CIPFA Prudential Code and the CIPFA Treasury Management Code.

3.2 The Local Government Act 2003 requires the Council to 'have regard to' the Prudential Code and to set Prudential Indicators for the next three years to ensure that the Council's capital investment plans are affordable, prudent and sustainable.

3.3 The Act requires the Council to set out its treasury strategy for borrowing and to prepare an Annual Investment Strategy; this sets out the Council's policies for managing its investments and for giving priority to the security and liquidity of those investments.

3.4 Government guidance notes state that authorities can combine the Treasury Strategy Statement and Annual Investment Strategy into one report. The Council has adopted this approach and the Annual Investment Strategy is therefore included as section 4.

3.5 The Council is also required to produce a Minimum Revenue Provision (MRP) Policy Statement. There is a formal statement for approval detailed in paragraph 2.3 and the full policy is shown in Appendix A

4.0 POLICY IMPLICATIONS

4.1 The successful delivery of the Strategy will assist the Council in meeting its budget commitments.

5.0 OTHER IMPLICATIONS

5.1 None.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 There are no direct implications, however, the revenue budget and capital programme support the delivery and achievement of all the Council's priorities.

7.0 RISK ANALYSIS

7.1 The Authority operates its treasury management activity within the approved code of practice and supporting documents. The aim at all times is to operate in an environment where risk is clearly identified and managed. This strategy sets out clear objectives within these guidelines.

7.2 Regular monitoring is undertaken during the year and reported on a half-yearly basis to the Executive Board.

8.0 EQUALITY AND DIVERSITY ISSUES

8.1 None.

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

Document	Place of Inspection	Contact Officer
Working Papers	Financial Management	Matt Guest
CIPFA TM Code	Halton Stadium	
CIPFA Prudential Code		

HALTON BOROUGH COUNCIL
TREASURY MANAGEMENT STRATEGY
STATEMENT

2020/21

Revenues and Financial Management Division
Finance Department
February 2020

TREASURY MANAGEMENT STRATEGY STATEMENT 2020/21

1 INTRODUCTION

1.1 Background

The Council is required to operate a balanced budget, which broadly means that cash raised during the year will meet cash expenditure. Part of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Surplus monies are invested in low risk counterparties or instruments commensurate with the Council's risk appetite, providing adequate liquidity initially before considering investment return.

The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer term cash flow planning to ensure that the Council can meet its capital spending obligations. This management of longer term cash may involve arranging long or short term loans, or using longer term cash flow surpluses. On occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.

CIPFA defines treasury management as:

"The management of the local authority's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."

1.2 Reporting requirements

Capital Strategy

The CIPFA 2017 Prudential and Treasury Management Codes requires all local authorities to prepare, a capital strategy report, which will provide the following:

- a high-level long term overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of services
- an overview of how the associated risk is managed
- the implications for future financial sustainability

The aim of this capital strategy is to ensure that Council fully understand the overall long-term policy objectives and resulting capital strategy requirements, governance procedures and risk appetite.

Treasury Management Reporting

Council is required to receive and approve the following reports each year, which incorporate a variety of policies, estimates and actuals.

Prudential and treasury indicators and treasury strategy (this report) - which covers:

- The capital plans (including prudential indicators)
- A minimum revenue provision (MRP) policy - how residual capital expenditure is charged to revenue over time
- The treasury management strategy – how the investment and borrowing are organised, including treasury indicators
- An investment strategy – the parameters of how investments are to be managed

A mid-year treasury management report – This will update members with the progress of the capital position, amending prudential indicators as necessary, and whether any policies require revision.

An annual treasury report – This provides details of a selection of actual prudential and treasury indicators and actual treasury operations compared to the estimates within the strategy.

Scrutiny

The above reports are required to be adequately scrutinised before being recommended to the Council. This role is undertaken by the Executive Board.

1.3 Treasury Management Strategy for 2020/21

The strategy for 2020/21 covers two main areas:

Capital issues

- the capital plans and the prudential indicators
- the minimum revenue provision (MRP) policy

Treasury Management Issues

- The current treasury position
- Treasury indicators which limit the treasury risk and activities of the Council
- Prospects for interest rates
- The borrowing strategy
- Policy on borrowing in advance of need
- Debt rescheduling
- The investment strategy
- Creditworthiness policy
- Policy on use of external service providers

These elements cover the requirement of the Local Government Act 2003, the CIPFA Prudential Code, MHCLG MRP Guidance, the CIPFA Treasury Management Code and MHCLG Investment Guidance.

1.4 Training

The CIPFA Code requires the responsible officer to ensure that members with responsibility for treasury management receive adequate training in treasury

management. This especially applies to Members responsible for scrutiny and therefore training was undertaken by Members in February 2018. The training needs of treasury management officers are periodically reviewed.

1.5 Treasury management consultants

The Council uses Link Asset Services as its external treasury management advisors.

The Council recognises that responsibility for treasury management decisions remains with the organisation at all times and will ensure that undue reliance is not placed upon our external service providers.

It also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

2 THE CAPITAL PRUDENTIAL INDICATORS 2020/21 – 2022/23

The Council's capital expenditure plans are the key driver of treasury management activity. The output of the capital expenditure plans is reflected in the prudential indicators, which are designed to assist members' overview and confirm capital expenditure plans.

2.1 Capital Expenditure

This prudential indicator is a summary of the Council's capital expenditure plans, both those agreed previously, and those forming part of this budget cycle.

Table 1 shows planned capital spend by directorate and summarises how these plans are being financed by capital or revenue resources, any shortfall of resources results in the need to borrow.

Table 1 – Capital Expenditure

	2018/19 Actual £000	2019/20 Estimate £000	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000
Capital Expenditure:					
People	3,426	7,062	3,351	-	-
Enterprise, Community & Resources	18,475	38,524	35,431	35,827	8,145
	21,901	45,586	38,782	35,827	8,145
Financed By:					
Capital receipts	(4,156)	(4,567)	(3,152)	(2,330)	(1,869)
Capital grants	(14,146)	(17,946)	(26,818)	(20,854)	(586)
Revenue	(344)	(524)	(443)	-	-
Net financing need for the year	3,255	22,549	8,369	12,643	5,690

The above financing need excludes other long-term liabilities such as PFI and leasing arrangements which already include borrowing instruments.

2.2 The Council's borrowing need – The Capital Financing Requirement

The second prudential indicator is the Council's Capital Financing Requirement (CFR). The CFR is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need. Any capital expenditure above, which has not immediately been paid for will increase the CFR.

The CFR does not increase indefinitely as the minimum revenue provision (MRP) is a statutory annual revenue charge which broadly reduces the borrowing need in line with the life of each asset, and so charges the economic consumption of capital assets as they are used.

The CFR includes any other long-term liabilities (e.g. PFI schemes, finance leases). Whilst these increase the CFR, and therefore the Council's borrowing requirement, these types of scheme include a borrowing facility and so the Council is not required to separately borrow for these schemes.

Table 2 – Capital Financing Requirement

	2018/19 Actual £000	2019/20 Estimate £000	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000
Capital Financing Requirement	608,870	599,950	603,841	599,218	602,521
Movement in CFR due to:					
Net financing need for the year	3,255	22,549	8,369	12,643	5,690
PFI / finance leases	-	-	-	-	-
Use of Reserves to reduce MRP liability	(3,373)	(9,988)	(4,033)	(513)	(526)
Less Minimum Revenue Provision	(8,802)	(8,670)	(8,959)	(8,827)	(9,161)
Increase / (Decrease) in CFR	(8,920)	3,891	(4,623)	3,303	(3,997)

Please note that the CFR has been restated in 2018/19 following the change in the valuation of the Mersey Gateway bridge included in the 2018/19 accounts.

2.3 Minimum revenue provision (MRP) statement

The Council is required to pay off an element of the accumulated General Fund capital spend each year (the CFR) through a revenue charge called the Minimum Revenue Provision (MRP).

MHCLG regulations require Council to approve an MRP Statement in advance of each year. A variety of options are provided to councils, so long as there is a prudent provision. The full statement is detailed in Appendix A.

The Council is recommended to approve the following MRP Statement.

For capital expenditure incurred before 1 April 2008 the MRP policy will be to follow Option 1 (regulatory method), which will be charged on a 2% straight line basis.

For all unsupported borrowing since 1 April 2008, the MRP policy will be Option 3 (Asset Life Method) and is based on the estimated life of the assets. This will usually be charged using the equal instalment method, but the annuity method may also be used.

One exception to the above is expenditure that the Council has incurred on the construction of the Mersey Gateway Bridge. As this debt will be repaid from future toll income the Council will not charge any MRP on this expenditure until the income is received. When received, MRP payments will be matched with income received thus having little impact on the Council's revenue budget.

The MRP relating to PFI schemes, finance leases and Mersey Gateway unitary charge payments will be based on the annual lease payment, and will have no direct impact on the Council's revenue budget.

2.4 Affordability prudential indicators

The previous sections cover the overall capital and control of borrowing prudential indicators, but within this framework prudential indicators are required to assess the affordability of the capital investment plans. These provide an indication of the impact of the capital investment plans on the Council's overall finances.

2.5 Ratio of financing costs to net revenue stream

This indicator identifies the trend in the cost of capital (borrowing net of investment income) against the net revenue stream.

Table 3 – Ratio of financing costs to net revenue stream

Ratio of finance costs to net revenue stream	2018/19 Actual £000	2019/20 Estimate £000	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000
Council's net budget	109,227	108,621	111,655	106,457	107,543
Finance Costs					
Net interest costs	4,637	4,521	4,533	4,546	4,558
Minimum Revenue Provision	2,214	2,116	2,115	1,831	1,837
	6,851	6,637	6,648	6,377	6,395
	6.3%	6.1%	6.0%	6.0%	5.9%

The MRP and Interest cost relating to PFI schemes and finance leases have been excluded from the figures above as they have no impact on the revenue budget.

3 BORROWING

The capital expenditure plans set out in Section 2 provide details of the service activity of the Council. The treasury management function ensures that the Council's cash is organised in accordance with the relevant professional codes, so that sufficient cash is available to meet this service activity. This will involve both the organisation of the cash flow and, where capital plans require, the organisation of appropriate borrowing facilities. The strategy covers the relevant treasury / prudential indicators, the current and projected debt positions and the annual investment strategy.

3.1 Current portfolio position

The overall treasury management portfolio as at 31 March 2019 and the position as at 31 December 2019 are shown in Table 4 for borrowing and investments.

Table 4 – Current Portfolio Position

	31st March 2019		31st December 2019	
	£000	%	£000	%
Treasury Investments				
UK banks and building societies	15,900	16%	35,631	34%
Non-UK banks	15,500	16%	10,000	9%
Local authorities	50,000	52%	55,000	52%
Money market funds	10,450	11%		0%
Property funds	5,000	5%	5,000	5%
Total	96,850	100%	105,631	100%
Treasury External Borrowing				
Public Works Loans Board (PWLB)	(162,000)	94%	(162,000)	94%
Other long term borrowing	(10,000)	6%	(10,000)	6%
Total	(172,000)	100%	(172,000)	100%
Net treasury investments / (borrowing)	(75,150)		(66,369)	

The Council's treasury portfolio position at 31 March 2019, with forward projections are summarised in Table 5. The table shows the actual external debt (the treasury management operations), against the underlying capital borrowing need (the Capital Financing Requirement - CFR), highlighting any over or under borrowing.

Table 5 – External debt

	2018/19 Actual £000	2019/20 Estimate £000	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000
External debt					
Borrowing					
Debt at 1 April	172,000	172,000	192,000	192,000	172,000
Expected change in debt	-	20,000	-	-	-
Debt at 31 March	172,000	192,000	192,000	192,000	172,000
Other long-term liabilities					
Debt at 1 April	387,663	381,075	374,520	367,676	360,679
Expected change in debt	(6,588)	(6,555)	(6,844)	(6,997)	(7,324)
Debt at 31 March	381,075	374,520	367,676	360,679	353,355
Total external debt at 31 March	553,075	566,520	559,676	552,679	525,355
Capital Financing Requirement	608,870	599,950	603,841	599,218	602,521
Under / (over) borrowing	55,795	33,430	44,165	46,539	77,166

Within the prudential indicators there are a number of key indicators to ensure that the Council operates its activities within well-defined limits. One of these is that the Council needs to ensure that its gross debt does not (except in the short term) exceed the total of the CFR in the preceding year plus the estimates of any additional CFR for 2020/21 and the following two financial years.

This allows some flexibility for limited early borrowing for future years, but ensures that borrowing is not undertaken for revenue purposes.

3.2 Treasury Indicators: limits to borrowing activity

The operational boundary

This is the limit beyond which external debt is not normally expected to exceed. In most cases, this would be a similar figure to the CFR, but may be lower or higher depending on the levels of actual debt.

Table 6 – Operational Boundary

	2019/20	2020/21	2021/22	2022/23
Operational boundary	Estimate	Estimate	Estimate	Estimate
	£000	£000	£000	£000
Debt	192,000	212,000	212,000	212,000
Other long term liabilities	381,075	374,520	367,676	360,679
Operational boundary	573,075	586,520	579,676	572,679
Total external debt at 31 March	553,075	566,520	559,676	552,679
Estimated headroom	20,000	20,000	20,000	20,000

The authorised limit for external debt

A further key prudential indicator represents a control on the maximum level of borrowing. This represents a limit beyond which external debt is prohibited. It reflects the level of external debt which, while not desired, could be afforded in the short term, but is not sustainable in the longer term.

This is the statutory limit determined under section 3 (1) of the Local Government Act 2003. The Government retains an option to control either the total of all councils' plans, or those of a specific council, although this power has not yet been exercised.

Table 7 – Authorised Limit

	2019/20	2020/21	2021/22	2022/23
Authorised limit	Estimate	Estimate	Estimate	Estimate
	£000	£000	£000	£000
Capital Financing Requirement	599,950	603,841	599,218	602,521
Contingency	20,000	20,000	20,000	20,000
Total	619,950	623,841	619,218	622,521
Total external debt at 31 March	553,075	566,520	559,676	552,679
Estimated headroom	66,875	57,321	59,542	69,842

3.3 Prospects for Interest Rates

The Council has appointed Link Asset Services as its treasury advisor and part of their service is to assist the Council to formulate a view on interest rates. Table 8 and supporting narrative gives their central view:

Table 8 – Interest rate forecast

Quarter average	Bank rate %	PWLB borrowing rates %			
		(including certainty rate adjustment)			
		5 year	10 year	25 year	50 year
Mar-20	0.75	2.4	2.7	3.3	3.2
Jun-20	0.75	2.4	2.7	3.4	3.3
Sep-20	0.75	2.5	2.7	3.4	3.3
Dec-20	0.75	2.5	2.8	3.5	3.4
Mar-21	1.00	2.5	2.9	3.6	3.5
Jun-21	1.00	2.7	3.0	3.7	3.6
Sep-21	1.00	2.8	3.1	3.7	3.6
Dec-21	1.00	2.9	3.2	3.8	3.7
Mar-22	1.00	2.9	3.2	3.9	3.8
Jun-22	1.25	3.0	3.3	4.0	3.9
Sep-22	1.25	3.1	3.3	4.0	3.9
Dec-22	1.25	3.2	3.4	4.1	4.0
Mar-23	1.25	3.2	3.5	4.1	4.0

Overview

The above forecasts have been based on an assumption that there is an agreed deal on Brexit, including agreement on the terms of trade between the UK and EU, at some point in time. The result of the general election has removed much uncertainty around this major assumption. However, it does not remove uncertainty around whether agreement can be reached with the EU on a trade deal within the short time to December 2020, as the prime minister has pledged.

It has been little surprise that the Monetary Policy Committee (MPC) has left Bank Rate unchanged at 0.75% so far in 2019 due to the ongoing uncertainty over Brexit and the outcome of the general election. In its meeting on 7 November, the MPC became more dovish due to increased concerns over the outlook for the domestic economy if Brexit uncertainties were to become more entrenched, and for weak global economic growth: if those uncertainties were to materialise, then the MPC were likely to cut Bank Rate. However, if they were both to dissipate, then rates would need to rise at a “gradual pace and to a limited extent”. Brexit uncertainty has had a dampening effect on UK GDP growth in 2019, especially around mid-year. There is still some residual risk that the MPC could cut Bank Rate as the UK economy is still likely to only grow weakly in 2020 due to continuing uncertainty over whether there could effectively be a no deal Brexit in December 2020 if agreement on a trade deal is not reached with the EU. Until that major uncertainty

is removed, or the period for agreeing a deal is extended, it is unlikely that the MPC would raise Bank Rate.

There has been much speculation during 2019 that the bond market has gone into a bubble, as evidenced by high bond prices and remarkably low yields. However, given the context that there have been heightened expectations that the US was heading for a recession in 2020, and a general background of a downturn in world economic growth, together with inflation generally at low levels in most countries and expected to remain subdued, conditions are ripe for low bond yields. While inflation targeting by the major central banks has been successful over the last thirty years in lowering inflation expectations, the real equilibrium rate for central rates has fallen considerably due to the high level of borrowing by consumers: this means that central banks do not need to raise rates as much now to have a major impact on consumer spending, inflation, etc. This has pulled down the overall level of interest rates and bond yields in financial markets over the last thirty years. We have therefore seen over the last year, many bond yields up to ten years in the Eurozone actually turn negative. In addition, there has, at times, been an inversion of bond yields in the US whereby ten-year yields have fallen below shorter-term yields. In the past, this has been a precursor of a recession. The other side of this coin is that bond prices are elevated, as investors would be expected to be moving out of riskier assets i.e. shares, in anticipation of a downturn in corporate earnings and so selling out of equities. However, stock markets are also currently at high levels as some investors have focused on chasing returns in the context of dismal ultra-low interest rates on cash deposits.

During the first half of 2019-20 to 30 September, gilt yields plunged and caused a near halving of longer term PWLB rates to completely unprecedented historic low levels. There is though, an expectation that financial markets have gone too far in their fears about the degree of the downturn in US and world growth. If, as expected, the US only suffers a mild downturn in growth, bond markets in the US are likely to sell off and that would be expected to put upward pressure on bond yields, not only in the US, but also in the UK due to a correlation between US treasuries and UK gilts; at various times this correlation has been strong but at other times weak. However, forecasting the timing of this, and how strong the correlation is likely to be, is very difficult to forecast with any degree of confidence. Changes in UK Bank Rate will also impact on gilt yields.

The overall longer run future trend is for gilt yields, and consequently PWLB rates, to rise, albeit gently. From time to time, gilt yields, and therefore PWLB rates, can be subject to exceptional levels of volatility due to geo-political, sovereign debt crisis, emerging market developments and sharp changes in investor sentiment. Such volatility could occur at any time during the forecast period.

In addition, PWLB rates are subject to ad hoc decisions by H.M. Treasury to change the margin over gilt yields charged in PWLB rates: such changes could be up or down. It is not clear that if gilt yields were to rise back up again by over 100bps within the next year or so, whether H M Treasury would remove the extra 100 bps margin implemented on 09 October 2019.

Economic and interest rate forecasting remains difficult with so many influences weighing on UK gilt yields and PWLB rates. The above forecasts, (and MPC

decisions), will be liable to further amendment depending on how economic data and developments in financial markets transpire over the next year. Geopolitical developments, especially in the EU, could also have a major impact. Forecasts for average investment earnings beyond the three-year time horizon will be heavily dependent on economic and political developments.

Investment and borrowing rates

- Investment returns are likely to remain low during 2020/21 with little increase in the following two years. However, if major progress was made with an agreed Brexit, then there is upside potential for earnings.
- Borrowing interest rates were on a major falling trend during the first half of 2019-20 but then jumped up by 100 bps on 09 October 2019. The policy of avoiding new borrowing by running down spare cash balances has served local authorities well over the last few years. However, the unexpected increase of 100 bps in PWLB rates requires a major rethink of local authority treasury management strategy and risk management.
- While the Council may not be able to avoid borrowing to finance new capital expenditure there will be a cost of carry, (the difference between higher borrowing costs and lower investment returns), to any new short or medium-term borrowing that causes a temporary increase in cash balances as this position will, most likely, incur a revenue cost.

3.4 Borrowing Strategy

The Council is currently maintaining an under-borrowed position which means that the capital borrowing need (the Capital Financing Requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow has been used as a temporary measure. This strategy is prudent as investment returns are low and counterparty risk is relatively high.

Against this background and the risks within the economic forecast, caution will be adopted with the 2020/21 treasury operations. The Operational Director - Finance will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances:

- If it was felt that there was a significant risk of a sharp fall in long and short term rates (e.g. due to a marked increase of risks around relapse into recession or of risks of deflation), then long term borrowings will be postponed, and potential rescheduling from fixed rate funding into short term borrowing will be considered.
- If it was felt that there was a significant risk of a much sharper rise in long and short term rates than that currently forecast, perhaps arising from an acceleration in the start date and in the rate of increase in central rates in the USA and UK, an increase in world economic activity or a sudden increase in inflation risks, then the portfolio position will be re-appraised with the likely action that fixed rate funding will be drawn whilst interest rates are still lower than they will be in the next few years.

3.5 Policy on borrowing in advance of need

The Council will not borrow more than or in advance of its needs purely in order to profit from the investment of the extra sums borrowed. Any decision to borrow in advance will be within forward approved Capital Financing Requirement estimates, and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds.

3.6 Debt Rescheduling

Rescheduling of current borrowing in our debt portfolio is unlikely to occur as the 100 bps increase in PWLB rates only applied to new borrowing rates and not to premature debt repayment rates.

4 ANNUAL INVESTMENT STRATEGY

4.1 Investment Policy

The Council's investment policy has regard to the following:

- MGCLG's Guidance on Local Government Investments ("the Guidance")
- CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes 2017 ("the Code")
- CIPFA Treasury Management Guidance Notes 2018

The Council's investment priorities will be security first, liquidity second, then yield.

The above guidance from the MHCLG and CIPFA place a high priority on the management of risk. This authority has adopted a prudent approach to managing risk and defines its risk appetite by the following means: -

1. Minimum acceptable **credit criteria** are applied in order to generate a list of highly creditworthy counterparties. This also enables diversification and thus avoidance of concentration risk. The key ratings used to monitor counterparties are the short term and long-term ratings.
2. **Other information:** ratings will not be the sole determinant of the quality of an institution; it is important to continually assess and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take account of information that reflects the opinion of the markets. To achieve this consideration the Council will engage with its advisors to maintain a monitor on market pricing such as "credit default swaps" and overlay that information on top of the credit ratings.
3. **Other information sources** used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.
4. The Council has defined the list of **types of investment instruments** that the treasury management team are authorised to use. These are split into specified and non-specified investments, as detailed below:

Specified investments

These are sterling denominated with maturities up to a maximum of 1 year and include the following:

- Debt Management Agency deposit facility
- UK Government gilts
- Bonds issued by an institution guaranteed by the UK Government
- Term deposits – UK Government
- Term deposits – other local authorities
- Term deposits - banks and building societies
- Certificates of deposit with banks and building societies

- Money market funds (rated AAA)

Non-specified investments

These are investments that do not meet the specified investment criteria. A variety of investment instruments can be used, subject to the credit quality of the institution:

- Term deposits – UK Government (maturities over 1 year)
- Term deposits – Other local authorities (maturities over 1 year)
- Term deposits – Banks and building societies (maturities over 1 year)
- Certificates of deposit with banks and building societies (maturities over 1 year)
- Property funds

5. Non-specified investments limit. The Council has determined that it will limit the maximum total exposure to non-specified investments as being 40% of the total investment portfolio at the time of investing. Please note that the limit has been increased from 30% to 40% for 2020/21 to take advantage of high rates payable by other local authorities on investments over 12 months.
6. Lending limits, (amounts and maturity), for each counterparty will be set through applying the creditworthiness policy detailed in 4.2, and the Counterparty Limits detailed in 4.4.
7. The Council will set a limit for the amount of its investments which are invested for longer than 1 year, (see paragraph 4.4).
8. Investments will only be placed with counterparties from countries with a specified minimum sovereign rating, (see paragraph 4.3).
9. The Council has engaged external consultants, (see paragraph 1.5), to provide expert advice on how to optimise an appropriate balance of security, liquidity and yield, given the risk appetite of this authority in the context of the expected level of cash balances and need for liquidity throughout the year.
10. All investments will be denominated in sterling.
11. Following the change in accounting standards in 2018/19 under IFRS 9, the Council will consider the implications of investment instruments which could result in an adverse movement in the value of the amount invested and resultant charges at the end of the year to the General Fund.

4.2 Creditworthiness Policy

Council applies the creditworthiness service provided by Link Asset Services. This service employs a sophisticated modelling approach utilising credit ratings from the three main credit rating agencies - Fitch, Moody's and Standard and Poor's. The credit ratings of counterparties are supplemented with the following overlays:

- credit watches and credit outlooks from credit ratings agencies
- CDS spreads to give early warning of likely changes in credit ratings
- Sovereign ratings to select counterparties from only the most creditworthy countries

This modelling approach combines credit ratings, credit watches and credit outlooks in a weighted scoring system which is then combined with an overlay of CDS spreads for which the end product is a series of colour coded bands which indicate the relative creditworthiness of counterparties. These colour codes are used by the Council to determine the suggested duration for investments. The Council will therefore use counterparties within the following durational bands:

- Yellow 5 years
- Purple 2 years
- Blue 1 year (only applies to nationalised and part nationalised UK Banks)
- Orange 1 year
- Red 6 months
- Green 100 days
- No Colour May not be used

Typically the minimum credit ratings criteria the Council use will be a Short Term rating (Fitch or equivalents) of F1 and a Long Term rating of BBB. There may be occasions when the counterparty ratings from one rating agency are marginally lower than these ratings but may still be used. In these instances consideration will be given to the whole range of ratings available, or other topical market information, to support their use.

All credit ratings will be monitored whenever new lending takes place. The Council is alerted to changes to ratings of all three agencies through its use of Link's creditworthiness service.

- If a downgrade results in the counterparty / investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.
- In addition the Council will be advised of information in movements in credit default swap spreads against the iTraxx benchmark and other market data on a weekly basis. Extreme market movements may result in downgrade of an institution or removal from the Council's lending list.

Sole reliance will not be placed on the use of this external service. In addition the Council will also use market data, market information, and information on any external support for banks to help support its decision making process.

4.3 Country Limits

Other than the United Kingdom, the Council has determined that it will only use approved counterparties from countries with a minimum sovereign credit rating of AAA from Fitch or equivalent.

4.4 Counterparty Limits for 2020/21

The Council has set the following counterparty limits for 2020/21, and will invest in line with the creditworthiness policy detailed in 4.2.

Table 11 – Counterparty limits

	Maximum limit per institution £m
UK Government	40
UK banks/building societies with:	
- Minimum rating of AAA	30
- Minimum rating of AA	25
- Minimum rating of A	20
- Minimum rating of BBB	10
Foreign banks in countries with a sovereign rating of AAA and:	
- Minimum rating of AAA	20
- Minimum rating of AA	10
- Minimum rating of A	5
Money market funds	
- Minimum rating of AAA	20
Local authorities	40
Property fund	10
Note: No more than 25% of the total portfolio will be placed with one institution at the time of investing, except where balances are held for cash-flow purposes	

4.5 Investment strategy

Investments will be made with reference to the core balance and cash flow requirements and the outlook for short-term interest rates (i.e. rates for investments up to 12 months). Where cash sums can be identified that could be invested for longer periods, the value to be obtained from longer term investments will be carefully assessed.

- If it is thought that Bank Rate is likely to rise significantly within the time horizon being considered, then consideration will be given to keeping most investments as being short term or variable

- Conversely, if it is thought that Bank Rate is likely to fall within this time period, consideration will be given to locking in higher rates currently obtainable, for longer periods.

Investment return expectations

Base Rate is forecast to increase steadily but slowly over the next few years to reach 1.25% by June 2022. Base Rate forecasts for financial year ends (March) are:

- 2019/20 0.75%
- 2020/21 1.00%
- 2021/22 1.00%
- 2022/23 1.25%

Investment treasury indicator and limit – Total principal funds invested for greater than 1 year

These limits are set with regard to the Council's liquidity requirements and to reduce the need for early sale of an investment, and are based on the availability of funds after each year-end.

Table 12 – Maximum principal sums invested over 365 days

Upper limit for principal sums invested for longer than 1 year	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000
Upper limit of principal sums invested for longer than 1 year	40,000	40,000	40,000	40,000
Current investments in excess of 1 years outstanding at year-end'	35,000	15,000	-	-

4.6 Investment rate benchmarking

The Council will use an investment benchmark to assess the investment performance of its investment portfolio of 7 days, 1, 3, 6, 12 month LIBID un compounded.

4.7 End of year investment report

At the end of the financial year, the Council will report on its investment activities as part of its Annual Treasury Report

Minimum Revenue Provision

Capital expenditure is generally expenditure on assets which have a life expectancy of more than one year e.g. buildings, vehicles, machinery etc. It would be impractical to charge the entirety of such expenditure to revenue in the year in which it was incurred therefore such expenditure is spread over several years in order to try to match the years over which such assets benefit the local community through their useful life. The manner of spreading these costs is through an annual Minimum Revenue Provision, which was previously determined under Regulation, and will in future be determined under Guidance.

Statutory duty

Statutory Instrument 2008 no. 414 s4 lays down that:

- “A local authority shall determine for the current financial year an amount of minimum revenue provision that it considers to be prudent.”
- The above is a substitution for the previous requirement to comply with regulation 28 in S.I. 2003 no. 3146 (as amended).
- There is no requirement to charge MRP where the Capital Financing Requirement is nil or negative at the end of the preceding financial year.
- The share of Housing Revenue Account CFR is not subject to an MRP charge.

Government Guidance

Along with the above duty, the Government issued guidance which came into force on 31st March 2008 which requires that a Statement on the Council's policy for its annual MRP should be submitted to the full Council for approval before the start of the financial year to which the provision will relate. This guidance was updated in February 2018.

The Council is legally obliged to “have regard” to the guidance, which is intended to enable a more flexible approach to assessing the amount of annual provision than was required under the previous statutory requirements. The guidance offers four main options under which MRP could be made, with an overriding recommendation that the Council should make prudent provision to redeem its debt liability over a period which is reasonably commensurate with that over which the capital expenditure is estimated to provide benefits. The requirement to ‘have regard’ to the guidance therefore means that: -

1. although four main options are recommended in the guidance, there is no intention to be prescriptive by making these the only methods of charge under which a local authority may consider its MRP to be prudent.
2. it is the responsibility of each authority to decide upon the most appropriate method of making a prudent provision, after having had regard to the guidance.

Option 1: Regulatory Method

Under the previous MRP regulations, MRP was set at a uniform rate of 4% of the adjusted CFR (i.e. adjusted for "Adjustment A") on a reducing balance method (which in effect meant that MRP charges would stretch into infinity). From the 2016/17 financial year the Council changed this to a 2% straight line as the new method:

- will aid forecasting as option 1 MRP will remain unchanged each year and enable the Council to link additional MRP costs to specific assets
- will ensure that option 1 MRP is paid off by 2065. If the reducing balance method was used, there would still be a balance of £5.4m by this date

Option 2: Capital Financing Requirement Method

This is a variation on option 1 which is based upon a charge of 4% of the aggregate CFR without any adjustment for Adjustment A, or certain other factors which were brought into account under the previous statutory MRP calculation. The CFR is the measure of an authority's outstanding debt liability as depicted by their balance sheet.

Option 3: Asset Life Method

This method may be applied to most new capital expenditure, including where desired that which may alternatively continue to be treated under options 1 or 2.

Under this option, it is intended that MRP should be spread over the estimated useful life of either an asset created, or other purpose of the expenditure. There are two useful advantages of this option: -

- longer life assets e.g. freehold land can be charged over a longer period than would arise under options 1 and 2
- no MRP charges need to be made until the financial year after that in which an item of capital expenditure is fully incurred and, in the case of a new asset, comes into service use (this is often referred to as being an 'MRP holiday'). This is not available under options 1 and 2

There are two methods of calculating charges under option 3: -

- a. equal instalment method – equal annual instalments
- b. annuity method – annual payments gradually increase during the life of the asset

Option 4: Depreciation Method

Under this option, MRP charges are to be linked to the useful life of each type of asset using the standard accounting rules for depreciation (but with some exceptions) i.e. this is a more complex approach than option 3.

The same conditions apply regarding the date of completion of the new expenditure as apply under option 3.

Date of implementation

The previous statutory MRP requirements ceased to have effect after the 2006/07 financial year. Transitional arrangements included within the guidance no longer apply for

the MRP charge for 2009/10 onwards. Therefore, options 1 and 2 should only be used for Supported Capital Expenditure (SCE). Authorities are however reminded that the DCLG document remains as guidance and authorities may consider alternative individual MRP approaches, as long as they are consistent with the statutory duty to make a prudent revenue provision.

Strategy Adopted for 2020/21 and future years

In order to determine its MRP for 2020/21 and taking into consideration the available options the Council has applied the following strategy:

- For all capital expenditure incurred before 2009/10 and for all capital expenditure funded via supported borrowing MRP to be calculated using Option 1 – The Regulatory Method, calculated using a 2% straight-line charge.
- For all capital expenditure incurred from 2009/10 financed by prudential borrowing MRP to be calculated using Option 3 the Asset Life Method, with the MRP Holiday option being utilised for assets yet to come into service use.
- For Mersey Gateway expenditure the options above will not be used. The MRP Holiday option will be utilised until the Council receives toll income to repay outstanding capital expenditure. MRP payments will then be matched with income received.
- For credit arrangements such as on-balance sheet leasing arrangements (finance leases), the MRP charge will be equal to the principal element of the annual rental.
- For on balance sheet PFI contracts MRP charge will be equal to the principal element of the annual rental.
- For the unitary payments for the Mersey Gateway, the MRP charge will equal the principal repayment elements of the payments made.
- For assets that have an outstanding balance in the Capital Adjustment Account at the time of disposal, the Council have the option of using the capital receipts raised from the sale to repay the balance. Although this will not affect the MRP charge in year (this will be a direct charge from Capital Receipts Reserve to the Capital Adjustment Account) this will reduce an MRP charge for future years. Please note:
 - If the sale of the asset does not raise sufficient receipts to repay the outstanding balance the council has the option to use the Capital Receipts Reserve to make the repayment
 - If the Council choose not to use the methods detailed above, the MRP should be repaid over a period that is considered prudent

REPORT TO: Executive Board

DATE: 27 February 2020

REPORTING OFFICER: Strategic Director – Enterprise, Community and Resources

PORTFOLIO: Resources

SUBJECT: Directorate Performance Overview Reports for Quarter 2 2019 - 20

1.0 PURPOSE OF REPORT

1.1 To report the Council's performance for the second quarter period to 30th September 2020. The reports detail progress against key objectives / milestones and performance targets, and describes factors affecting each of the Directorates.

2.0 RECOMMENDED: That

- 1) Executive Board note the information contained in the reports**
- 2) Consider the progress and performance information and raise any questions or points for clarification.**

3.0 SUPPORTING INFORMATION

3.1 It is essential that the Council maintains a planning and performance framework that allows the identification and on-going monitoring of key activities and performance measures that meet organisational needs. Performance management will also continue to be important in our demonstration of value for money and outward accountability.

3.2 The Directorate Performance Overview Reports provide a strategic summary of the key issues arising from performance in the relevant quarter for each Directorate and being aligned to Council priorities or functional areas. Such information is central to the Council's performance management arrangements and the Executive Board has a key role in monitoring performance and strengthening accountability.

3.3 Information for each of the Council's Directorates, including the implementation of high-risk mitigation measures, is contained within the following appendices:

Appendix 1 – People Directorate (Children and Young People)

Appendix 2 – People Directorate (Adult Social Care)

Appendix 3 – Enterprise, Community and Resources Directorate

4.0 POLICY IMPLICATIONS

4.1 The Council's Performance Management Framework will continue to form a key part of the Council's policy framework.

5.0 OTHER IMPLICATIONS

5.1 These reports would also be available to support future scrutiny arrangements of services by Members and Inspection regimes for Ofsted and Adult Social Care.

6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

6.1 Existing and future performance frameworks at both local and national level are linked to the delivery of the Council's priorities.

6.2 The provision of Directorate Overview Reports to Executive Board, that include progress in relation to objectives/ milestones and performance indicators will support organisational improvement and accountability.

7.0 RISK ANALYSIS

7.1 The Council performance management framework allows the authority to both align its activities to the delivery of organisational and partnership priorities and provide appropriate information to all relevant stakeholders in accordance with the "transparency agenda". Performance Indicators are used by external agencies and the public at large in informing any judgement they make as to how the authority is currently performing.

8.0 EQUALITY AND DIVERSITY ISSUES

8.1 There are no specific equality and diversity issues relating to this report.

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

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

Directorate Performance Overview Report

Directorate: People Directorate (Children & Young People)

Reporting Period: Quarter 2 – Period 1st July 2019 – 30 September 2019

1.0 Introduction

1.1 This report provides an overview of issues and progress that have occurred during the period of the report towards the priority of Children and Young People. The way in which traffic light symbols have been used to reflect progress is explained within Appendix 1 (section 8).

1.2 Please note initials have been provided to indicate which officer is responsible for the commentary to aid Members, as requested by the Children and Young People Policy and Performance Board. A key is provided in Appendix 1 (section 8).

2.0 Key Developments

2.1 School Finance

The Government has announced that it will be increasing the funding for Education with a three year plan to increase school funding by £7.1 billion by 2022-2023.

The headline details of the Government announcement are summarised below and include: (AMc)

- A new minimum level of funding of per pupil spending of £5,000 in secondary and £4,000 in primary schools;
- An extra £700 million for pupils with special educational needs;
- A teachers starting salary of £30,000 from 2022-2023 to help address teacher recruitment
- £66 million additional funding for early years provision; and
- £400 million support for further and vocational education.

Specific details for each local authority area have yet to be shared. A technical note on funding changes for 2020-2021 is due for release shortly to Local Authority Finance Officers and once more details are available these will be shared with all schools and settings. (AMc)

2.2 Reducing Teacher Workload

The number of teachers on long-term sick leave due to stress increased to over 3,500 last year. The DfE has acknowledged that workload is a significant cause and is actively encouraging senior leaders, including governors and trustees, to reduce excessive and unnecessary workload demands; see the Policy Paper on reducing teacher workload, updated on July 19 2019. (AMc)

<https://www.gov.uk/government/publications/reducing-teachers-workload/reducing-teachers-workload>

The updated Governance Handbook, on page 135 in Section 7.5, states the following: “The ‘Making Data Work’ report and the workload reduction toolkit contain principles and resources for executive leaders and boards to work with staff to address teacher workload issues. Boards should be aware of these materials and act on the recommendations to support staff wellbeing and retention.”

The latest edition of 'Governing Matters' (September/October 2019) includes an article on teacher workload and wellbeing which outlines steps governors and trustees can take to help develop a positive school culture. (AMc)

2.3 **Reception Baseline Assessment**

This term over 10,000 schools nationally (NFER data: Sept 2019) are participating in the 2019/20 reception baseline assessment pilot. All schools were invited to participate in the full pilot before the intended introduction of the statutory reception baseline assessment (RBA) in autumn 2020.

Once individual pupil's responses to the assessment activities have been submitted online to NFER, the school will have received a series of narrative statements to describe how each pupil performed on the assessment. (AMc)

2.4 **Multiplication Tables Check (MTC)**

The national voluntary pilot of the multiplication tables check took place between 10 and 28 June 2019. The MTC is an online test where the pupils are asked 25 questions on times tables 2 to 12. For every question you have 6 seconds to answer and in between the questions there is a 3 second rest. Questions about the 6, 7, 8, 9, and 12 times table come up more often. The questions are generated randomly based on the rules of the MTC. (AMc)

2.5 **Careers Hub**

The Careers Hub is a DfE funded initiative, supported by the Careers and Enterprise Company and the Liverpool City Region Local Enterprise Partnership. Liverpool City Region has had a Careers Hub since September 2018 and have been successful in securing funding for a Wave 2 expansion. This will mean that, from September 2019, 80 City Region Secondary Schools will be part of the Careers Hub. For Halton it will mean 6 secondary schools are part of the Careers Hub. The model will also bring the rest of the region's schools who are part of the Enterprise Advisor Network within the auspices of the Careers Hub. The Careers Hub feel this will allow them to be able to support more schools and more young people in preparing them for the world of work. (AMc)

3.0 **Emerging Issues**

3.1 **Reading Strategy**

Halton as a borough are aiming to promote reading for pleasure across the region. Whilst there will be a focus upon schools to further develop their teaching and learning of reading skills and strategies, there will also be many approaches to develop reading engagement for all community members. In early spring we will be holding a Reading Strategy Launch at Halton stadium and aim to have representation from all members of the community. Following this launch, we will also be holding a large scale Reading event at the stadium on 25th March. The purpose will be to promote this increased focus on reading across the community and provide increased accessibility to reading materials for all. There will continue to be an ongoing focus for all community members, schools and businesses whilst also trying to reach all generations to enjoy reading for pleasure. Further information will be available regarding the promotion of reading as the term progresses.

3.2 **Commissioning of Children in Care Placements**

The commissioning of Children in Care placements remains a challenge, specifically in relation to locating localised Fostering placements that will maintain young people's educational placements. Halton is not alone in relation to this challenge. The Liverpool City Region Children's Commissioners have been working together on a Market Reform Programme which will be delivered / outlined to the LCR Directors of Children's Services and

Assistant Directors in early October 2019. This significant evidence based report outlines a number of decision requests which once combined could enable more localised availability of placements. (AMc)

3.3 **Joint Halton and St Helen’s Secondary Social Emotional and Mental Health Free School**

By the 30th September all applications had to be submitted by potential proposers interested in developing the joint SEMH secondary Free School in Widnes. Between September and December 2019 an assessment process of the application then takes place including the interview process. Applications are assessed against the published criteria and proposers must set out their vision, curriculum plan, capacity and capability and financial viability. The assessment which is undertaken by both LAs and the DFE then makes its recommendations. The Secretary of State will then make the final decision and this will be announced in early 2020.

3.4 **Review of High Needs Provision**

The review has been split into three workstreams; Identifying Need, Meeting Need and the Pupil Referral Unit. Each of the workstreams was independently Chaired by Peopletoo and representatives across the workstreams included parents and carers, schools and settings, Riverside College, Social Care, colleagues from Health, Educational Psychology, Early Years, Commissioning, Admissions, Virtual School, Education Welfare and LA SEND. Peopletoo also undertook separate consultation with parents and carers and children and young people.

To date a number of key themes have started to emerge which include the opportunity to streamline the current process, the need for a better understanding by all partners of what an EHCP is and what it is not, the need for better involvement with young people and the development of a “pledge”, more use of the graduated approach, clearer definition of the roles and responsibilities of those involved in EHCPs, development of a banding model for funding, the extent to which there is a focus on independence and preparation for adulthood and better triangulation of education, health and social care contributions.

The focus of the second task group is Meeting Needs. The themes considered to date include the need for better inclusion in Halton Schools, identifying need early through understanding the need in the early years, need to share expertise within the borough through developing clusters of mainstream and specialist provision, providing a continuity of specialist resource provision and special school support across the age range linked to the main primary identified SEND needs and revision of SLAs and their monitoring.

The role and remit of the third task group is to change the operating model of the PRU and its relationship to schools so that it can maximise the integration of pupils back into mainstream. Emerging issues included the impact of the “Care Schedule”, role of the Educational Psychology team in terms of early intervention, the role of CAMHS, the need for a more positive narrative for parents underpinned by the PRUs role in early intervention and evidenced by case studies, need to gain the views of young people and the role and capacity of vocational provision offered by the PRU.

The aim is for the three workstreams to complete their work by December 2019. In January 2020 a report will be submitted to the Executive Board of the Council setting out the proposed changes for their consideration. If the recommendations of this report are agreed formal consultation on the revised arrangements will then be undertaken.

3.5 **Preparing for Adulthood**

Halton are involved in a project with the National Team for Preparing for Adulthood. The aim is to achieve cultural change across education health and care in order to embed person centred practice across our local area. This will ensure young people with Special Education Needs and/or Disabilities are listened to; their aspirations sought and they shape their future.

In February 2019, a shared vision across education, health and social care of what a good life looks like for Halton's 16-25 year olds with SEND was agreed.

We are holding a series of workshops in October and November, delivered by national and internationally renowned experts; bringing together families and practitioners across education, health and care. Working together they will develop the skills and tools to be confident having good quality conversations to identify what is important to young people as they move into adulthood. We are initially focusing this work for young people with an Education Health and Care Plans and are in key transition years 9, 11 and 14. (AMc)

3.6 Inclusion Conference

There were two inclusion conferences with schools over the last academic year. At these events one of the key priorities was for schools to work together to develop a Halton Inclusion Charter. Prior to the conference all this work was pulled together and incorporated into the final Halton Inclusion Charter which was then given to all schools to adopt and to share with all staff and governors.

The conference was well attended and included contributions on inclusion from an outstanding Halton Special School, Ridgeway Secondary School on the Wirral who have reduced exclusions and improved attendance through their approach to behaviour management and the Governments Behaviour Lead, Tom Bennett.

3.7 End of European Social Fund (ESF) funded Coaching provision for 16 to 18 Year olds

Since 2016 Halton has benefitted from £355,000 ESF funding to buy a Peer Coaching and Mentoring service for 16 to 18 year olds who are not accessing education, training or have a job. The service is unique because it will work with young people in their own home until they become confident enough to start meeting outside the home and with a small group of peers, building up to going into education, training or getting a job.

This funding comes to an end in March 2020 and only 5% of the current service can be bought using core Council funding, significantly reducing the ability to work with 16 to 18 year olds who require more than basic Careers Guidance. (AMc)

4.0 Risk Control Measures

4.1 Risk control forms an integral part of the Council's business planning and performance monitoring arrangements. As such, directorate risk registers were updated in tandem with the development of the 2019-20 business plan.

4.2 Progress concerning the implementation of all high-risk mitigation measures are appended to this report.

5.0 Progress against high priority equality actions

5.1 Equality issues continue to form a routine element of the Council's business planning and operational decision making processes. Additionally the Council must have evidence to

demonstrate compliance with the Public Sector Equality Duty (PSED) which came into force April 2011.



The council's latest annual progress report in relation to achievement of its equality objectives is published on the Council's website

<http://www4.halton.gov.uk/Pages/councildemocracy/Equality-and-Diversity.aspx>

6.0 Performance Overview

6.1 The following information provides a synopsis of progress for both milestones and performance indicators across the key business areas that have been identified by the Directorate. It should be noted that given the significant and unrelenting downward financial pressures faced by the Council there is a requirement for Departments to make continuous in-year adjustments to the allocation of resources in order to ensure that the Council maintains a balanced budget. Whilst every effort continues to be made to minimise any negative impact of such arrangements upon service delivery they may inevitably result in a delay in the delivery of some of the objectives and targets contained within this report.







Objective: Improve outcomes for children and young people through effective multi-agency early intervention (PED01)





Ref	Measure	18/19 Actual	19/20 Target	Current	Direction of Travel	Quarterly Progress
PED01 01	Increase the number of children with an early help assessment (measured as those subject to CAF, pre-CAF or specific target interventions in Children's Centres at any point in the year) (financial year cumulative to end of quarter)	N/A	450	359		
<p><i>Supporting Commentary: There has been a steady increase in the number of early help assessments through CAF and pre-CAF over the past 12 months, this is in correlation with an increased demand for early help support direct from iCART screenings. The number of universal plus referrals have also increased from Health visitors.</i></p> <p><i>There has been an increase in the number of pre CAF assessments from the early year's team identified through universal provision in some cases this has led to a full CAF assessment.</i></p> <p><i>Ongoing support and training offered through early help teams with partners.</i></p>						
PED01 02	Maintain overall attendance at schools: Primary –Pri PRU – PRU Secondary – Sec Special – Spec Total	Pri-95.35 Pru-63.83 Sec-92.67 Spe-91.28 Tot-94.1 (17-18)	TBC	Pri-95.49 Pru-69.75 Sec-93.44 Spe-90.97 Tot-94.51 (18-19)	Refer comment	N/A
<p><i>Supporting Commentary: Debbie Houghton</i></p> <p><i>School attendance for 18/19 has improved from 17/18. Primary attendance has improved from 95.35% to 95.49%, Secondary from 92.67% to 93.44%, PRU from 63.83% to 69.75%. However special school attendance has deteriorated from 91.28% to 90.97%. The Education Welfare Service (EWS) continue to support schools with attendance and work with pupils and families including issuing Penalty Notices and taking legal action where appropriate. THE EWS have seen an increase in the number of primary schools trading with the service and this is having a positive impact on school attendance. None of the special schools currently trade with the EWS. Going forward the EWS are looking at attendance data for all schools and will be reviewing how best to engage with schools not trading with the service around school attendance.</i></p>						


Ref:	Milestones	Quarterly Progress
PED01a	Work with schools to maintain the level of attendance at Primary and Secondary Schools (Martin West/Debbie Houghton) (March 2020)	
<i>Supporting commentary: The LA continues to work with schools through its traded and core service offers. See also comment PED01 02.</i>		
PED01b	As a result of the review of Early Help Services, plan and implement transformation model (Val Armor) (March 2020)	
<i>Supporting commentary: A report has been submitted in October with proposals of a re design of children centre services, this will look at all eight centres and current delivery versus cost. There has already been a reduction in some of the universal provision offered in each ward to offer savings. Work has also been undertaken on updating early help assessments, this will coincide with the new IT system.</i>		
PED01c	Workforce development, including targeted training, to be further developed and implemented (Val Armor) (March 2020)	
<i>Supporting commentary: The borough has adopted the Solihull approach within the children's workforce, to date there have been over 380 staff from social care, early help. Fostering, education, health and private and voluntary sector have been trained. Level 4 in integrated children and young peoples practice has been secured through the apprenticeship levy and will commence January 2020. Staff from social care, early help and schools will be trained. Work is ongoing with commissioning to offer targeted training on parental conflict this will roll out from November 2019, with train the trainer elements that will fit into Halton's existing early help model for parenting. Further funding is available for domestic abuse training through the gateway programme.</i>		

Objective: Keeping Children and Young People safe by improving practice (PED02)









Ref	Measure	18/19 Actual	19/20 Target	Current (6 mths)	Direction of Travel	Quarterly Progress
PED02 01	Monitor the rate of referrals to Children's Social Care per 10000 0-18 yr olds (Forecast annualised rate at end of financial year)	524 (full yr)	500 (full yr)	259 (6 mths)		
<i>Supporting commentary: CIN & CPP Divisional Manager The rate of referrals remains fairly steady with occasional peaks in activity</i>						
PED02 02	Monitor the rate of children in need per 10000 0-18 yr olds (snapshot at end of quarter)	330	380	242		
<i>Supporting commentary: CIN & CPP Divisional Manager Staff are able to work more effectively with cases at this level of need as workloads remain manageable and with the implementations of systemic practice fewer children are escalating to CP or CIC</i>						
PED02 03	Monitor the rate of children subject to a child protection plan per 10000 0-18 yr olds (snapshot at end of quarter)	45	45	39		
<i>Supporting commentary: CIN & CPP Divisional Manager There has been a reduction of children with a CP plan as outlined above; this measure needs continuous review to confirm the level is appropriate</i>						
PED02 04	Monitor the rate of children in care per 10000 0-18 yr olds (snapshot at end of quarter)	94	90	83		
<i>Supporting commentary: Liz Davenport LAM process continues to identify and track cases where CO can be discharged, Target group remains placement with Parent.</i>						
PED02 05	Reduce the number of children and young people who enter the care system (financial year, cumulative to end of quarter)	59	68	49 (6 mths)		
<i>Supporting commentary: CIN & CPP Divisional Manager While the rate of entry has remained low overall, there has been a recent peak in young children being admitted following serious injuries. Given their ages, the majority of these children will leave care fairly quickly, either by returning to a parents, family member or adoption</i>						
PED02 06	Reduce the average caseload in CIN Teams (snapshot end of quarter)	N/A	18	20	N/A	
<i>Supporting commentary: CIN & CPP Divisional Manager This is kept under regular review</i>						

Ref	Measure	18/19 Actual	19/20 Target	Current	Direction of Travel	Quarterly Progress
PED02 07	Increase the proportion of missing incidents where a return interview is completed (financial year, cumulative to end of quarter)	72%	85%	60%		
<i>Supporting commentary: CIN & CPP Divisional Manager, Clare Hunt</i> 198 (60%) return interviews were complete of which 75% were complete in 72 hours.						
PED02 08	Reduce the number of children who repeatedly run away in Halton (number of children with 2+ missing incidents in last 12 months, snapshot end of quarter)	114	N/A	19 (Q2)	N/A	
<i>Supporting commentary: CIN & CPP Divisional Manager; Liz Davenport; Val Armor Clare Hunt</i> For this quarter there have been 331 notifications from the police and 21 from social care. With regard to repeat individuals there are 19 individuals that have 2 or more incidents. These YP Generated 183 Incidents. - Clare Hunt Early help work with the commissioned service in this area to reduce this number and work in a preventative way offering advice guidance and support. -Val Armor There are a small cohort of CIC&CL who represent this repeat MFH, all being targeted utilising the correct procedures. - Liz Davenport						
PED02 09	Monitor the number of children who go missing in the year (number of children recorded as missing in last 12 months, snapshot end of quarter)	265	N/A	Refer comment	N/A	N/A
<i>Supporting commentary: CIN & CPP Divisional Manager; Liz Davenport Clare Hunt</i> The number of notifications have decreased slightly since last quarter, the average age and the breakdown of genders are similar to last quarter's demographics. However an increase of 6 in the amount of missing incidents for CYP under 10 years old. – Clare Hunt There are a small cohort of CIC&CL who represent this repeat MFH, all being targeted utilising the correct procedures. - Liz Davenport						
PED02 10	Monitor the number of young people flagged as at risk of Child Sexual Exploitation (snapshot end of quarter)	26	20	32		
<i>Supporting commentary: CIN & CPP Divisional Manager</i> There is an operational group that meets monthly and scrutinises and monitors this area of work, this information is fed into the sub group.						
PED02 11	Monitor the number of young people flagged as at risk of Child Criminal Exploitation (snapshot end of quarter)	N/A	12	24	N/A	
<i>Supporting commentary: CIN & CPP Divisional Manager</i> There is improved awareness and identification of this vulnerable group which is positive						





Ref:	Milestones	Quarterly Progress
PED02a	Embed a systemic model of social work practice across the whole service; social workers, managers and senior leaders Tracey Coffey (March 2020)	
<i>Supporting commentary:</i> The training is ongoing and the first round will be completed by March 2020. Further training over the next 3 years will be needed to ensure the whole workforce has the relevant skills and knowledge		
PED02b	Implement and embed new Multi-agency safeguarding arrangements to replace LSCB Tracey Coffey (March 2020)	
<i>Supporting commentary: This has not been completed</i>		
PED02c	Implement a revised safeguarding model for vulnerable teenagers under the Contextual Safeguarding Framework Tracey Coffey (March 2020)	
<i>Supporting commentary:</i> This work is underway following the Joint Targeted Area Inspection and a revised model and pathway agreed in principle with the launch in December 2019		
PED02d	With a focus on multi-agency risk assessment, reduce caseloads to a sustainable and manageable level to give workers capacity to deliver quality and focussed interventions to improve outcomes for vulnerable children CIN & CPP Divisional Manager (March 2020)	
<i>Supporting commentary:</i> The MARAF form (Multi-agency risk assessment form) is one of the tools utilised by the social workers when they are stepping down or closing the case, this enables multi-agency partnership working in relation to managing risk and agreeing levels of need, this has supported the positive reduction of caseloads and enables social workers to have the capacity to deliver quality and focussed interventions.		

PED02e	Monitor demand for statutory services for children and young people <i>CIN & CPP Divisional Manager (March 2020)</i>	
<i>Supporting commentary: Performance reports allow continual monitoring of performance, demand and future planning for service delivery for children and young people. This information is fed into and evaluated by Senior Leadership Team.</i>		




Objective: Improve outcomes for Children in Care and Care Leavers (PED03)



Ref	Measure	18/19 Actual	19/20 Target	Current	Direction of Travel	Quarterly Progress
PED03 01	Reduce the number of children who are placed in residential care (snapshot at end of quarter)	31	20	31		
<i>Supporting Commentary: Liz Davenport The children both under the age of 13 and over the age of 16 remain tracked via the Permanency Leadership Board in terms of individual plans - Sam Murtagh/Liz Davenport</i>						
PED03 02	Reduce the number of children who are placed in independent fostering agencies (snapshot at end of quarter)	61	N/A	57		
<i>Supporting Commentary: Liz Davenport The numbers in IFA placements have begun to reduce this quarter, the weekly Resource panel continues to track new referrals as well as "at risk" placements. – Sam Murtagh/Liz Davenport</i>						
PED03 03	Increase the percentage of children in care making progress against their expected outcomes (based on termly PEP outcomes of children making the expected rate of progress in line with their peers with the same prior attainment across reading, writing and maths)	N/A	N/A	Available Q3	N/A	N/A
<i>Supporting Commentary: Sharon Williams</i>						
PED03 04	Increase the percentage of children in care with 95% or above attendance (attendance is cumulative across an academic year – data is based on the term that the QMR falls within)	N/A	N/A	Available Q3	N/A	N/A
<i>Supporting Commentary: Sharon Williams</i>						
PED03 05	Maintain the percentage of Care Leavers in suitable accommodation (snapshot at end of quarter)	80%	95%	88%		
<i>Supporting Commentary: Liz Davenport/Sam Murtagh The new referral pathway for Care Leavers with Halton Housing has begun to deliver in terms of the first properties for young people. This work is currently being expanded to other Registered Social Landlords local. - Sam Murtagh/Liz Davenport</i>						
PED03 06	Increase the percentage of Care Leavers in Education, Employment or Training (snapshot at end of quarter)	60%	65%	62%		
<i>Supporting Commentary: Liz Davenport Work is coordinated and tracked with the Virtual school to target a changing cohort of 10 CL who are currently NEET. Individual impact reports Evidence some progress in this area.</i>						
PED03 07	Benchmarking Year: Percentage of CIC provision where QA visit has been undertaken (cumulative from April to end of quarter)	N/A	N/A	Resid 45.16% completed Leaving Care 57.14% completed	N/A	N/A
<i>Supporting Commentary: Sam Murtagh Within this quarter 3 QA visits have taken place with Residential providers and 3 visits have taken place with Leaving Care providers. This means that the projection of all placements having received a visit by the end of the year remains on target. There are further visits planned for Q3 2019-20.</i>						

PED03 08	Monitor the budget spent on independent and out of borough placements for Children in Care (forecast end of year)	9,672,589	N/A	9,259,036 projected	N/A	N/A
<i>Supporting Commentary: Liz Davenport/Sam Murtagh</i>						
<i>Monthly meetings are held with finance and all managers to ensure all spend and forecasted spend is accounted for. Finance also attend the weekly placement panel. Review meetings are also held with finance to ensure budget control.</i>						

Ref:	Milestones	Quarterly Progress
PED03a	Review the process for children entering and exiting care to ensure there is a sufficient range and choice of provision to meet their needs Tracey Coffey (March 2020)	
<i>Supporting Commentary: The Operational Director tracks all children entering care and a permanence leadership board is in place which tracks and scrutinises plans for children</i>		
PED03b	Review and quality assure the commissioning of services for Children in Care and Care Leavers to ensure that they meet the needs of Halton's population and inform future commissioning decisions. Sam Murtagh (March 2020)	
<i>Supporting Commentary: Currently reviewing the commissioning of the E bed provision and delivering quality assurance visits to Residential and Care Leaver organisations</i>		
PED03c	Restructure the Children in Care and Care Leavers service to create a more flexible, permanent and resilient workforce Liz Davenport (March 2020)	
<i>Supporting Commentary: Restructure agreed at Steering group, but declined by head of finance. COMT Report in progress to ensure budget form existing resources/allocated budget in Ed Rd are released to support the structured establishment moving forward.</i>		
PED03d	Through the quality assurance of Personal Education Plans, identify areas of need and support to improve outcomes for individual Children in Care. Sharon Williams (March 2020)	
<i>Supporting Commentary:</i>		
<i>Personal Education Plans are completed every term for each child in care from the age of 3 to 19 years old. The Virtual School quality assures each Personal Education Plan to ensure that they are high quality, effective plans providing support to each child according to their identified needs. The Virtual School also monitors the use and impact of the Pupil Premium Plus funding that is requested through the Personal Education Plan, to ensure that it is targeted appropriately to improve the educational outcomes of each child and accelerate their expected progress. Data analysis is undertaken of each child's outcomes across the core subjects to identify their individual areas for development however, subject specific analysis is also undertaken across the cohorts.</i>		
<i>In Spring Term 2018/19 over 60% of children in Reception, Y1, Y3 and Y5 were making at least expected progress across all core subjects. However, the majority of children in Y2, Y4 and Y6 were not progressing as well as their peers. Across the Primary cohort writing is an area that children in care need additional support in to achieve their expected progress and to perform in line with national expectations. Over 55% of pupils in Y7 and Y8 are making at least expected progress across all core subjects, whilst those in Y9, Y10 and Y11 are not. English and Science are subjects in which Secondary age young people in care need additional support to achieve their expected progress and to perform in line with national expectations.</i>		

Objective: Improve the offer for children and young people with disabilities and those with Special Educational Needs (PED04)

Ref	Measure	18/19 Actual	19/20 Target	Current	Direction of Travel	Quarterly Progress
PED04 01	Increase the percentage of EHCP assessments completed within 20 weeks (academic year cumulative to end of quarter)	49%	75%	38%		
<i>Supporting Commentary: Eileen Picton/ Inclusion Divisional Manager</i>						
<i>We continue to address the issue of EHCPs being issued after 20 weeks. An action plan has been identified to ensure that the number completed in time increases during the remainder of this academic year.</i>						
PED04 02	Reduce the number of incidents of fixed term exclusion (academic year cumulative to end of quarter)	944 18-19 academic	500	119 (Q2 01/07/19 to 30/09/19)		The Q2 data is on track to achieve





							the target set
<p><i>Supporting Commentary: Debbie Houghton/Vanessa Nice</i> Towards the end of the academic year, we identified that the schools were not always recording fixed term exclusions accurately on SIMs and therefore the data held by the LA was inaccurate and had been inaccurate for some time. We have now put structures in place to ensure that our records of FTEs are accurate and we know that this may have a negative impact on the number of FTEs shown at an LA level in the short term but we now have increased confidence that our figures are accurate.</p> <p>We have started 2 pilot projects:</p> <ul style="list-style-type: none"> - Pivotal Education with 4 schools (2 primary, 1 secondary and 1 through school). This is a behaviour management programme which involves senior leaders in understanding behaviour as a communication of need and trying to meet need before behaviour escalates. <p>ACEs (Adverse Childhood Experiences) with 3 schools (1 primary and 2 secondary's). This project looks to increase staff understanding of ACEs and the impact they have on CYP's ability to learn and engage in a constructive way. This understanding should increase the empathy and capacity of staff to manage more challenging behaviour and to reflect on the causes of it and attempt to mitigate the cause.</p>							
PED04 03	Reduce the number of children subject to fixed term exclusions (academic year cumulative to end of quarter)	483 18-19 academic	350	93 (Q2 01/07/19 to 30/09/19)		The Q2 data is on track to achieve the target set	
<p><i>Supporting Commentary: Debbie Houghton/Vanessa Nice</i> Similar to the overall number of FTEs across the borough, we had concerns last year about the recording of FTEs and about the number of CYP who were subject to incorrectly recorded exclusions. We have worked with the EWS to address this issue and both services challenge this when they become aware of it. In the short term, this may lead to an increase in the number of children who have more than 1 FTE recorded.</p> <p>AS HBSS now check all FTEs before they are sent to admin, we now respond to emails about FTEs and tell schools that they must start the CARE schedule for pupils who have had more than 1 FTE recorded. We now need to address the analysis of this document and subsequent action plan that should ensue from it.</p> <p>As part of the agenda on the Inclusion Conference, we worked with school leaders to develop a borough-wide graduated approach to SEMH. This will give the schools a common framework to work to and enables us to have a common language around children who need additional support. This approach gives suggested strategies for schools to try and also challenges schools to demonstrate that they have put consistent support into place to meet the needs of individual pupils at an early stage. This will hopefully have a marked impact on the number of children receiving repeated FTEs moving forward.</p>							
PED04 04	Reduce the number of children subject to a permanent exclusion (academic year cumulative to end of quarter)	47 18-19 academic	30	3 (Q2 01/07/19 to 30/09/19)		The Q2 data is on track to achieve the target set	
<p><i>Supporting Commentary: Debbie Houghton/Vanessa Nice</i> The data provided for the last quarter is on track to achieve the targets set, however this quarter does include the 6 week summer break so figures may be lower than other quarters. The local authority has been supporting schools with managing behaviour through the new Behaviour Support Service. School exclusions has also been discussed at an event for schools this quarter and schools are being encouraged and supported to better manage behaviour in order to reduce school exclusions.</p> <p>We have attempted to engage the 3 schools that accounted for over 50% of the permanent exclusions in the pilot projects. 2 of the schools (33.4%) have already signed up to the projects and we hope to bring the 3rd school on board this month. In addition, the 2 speakers at the Inclusion Conference (8th October 2019) spoke about reducing permanent exclusions and gave the headteachers ideas about how this can be achieved in our settings. School leaders from the 3 schools that excluded the most children in the last year were there but disappointingly, one of these schools was not represented by the headteacher.</p> <p>Of the secondary schools in the borough, disappointingly, only 2 sent HTs to the Inclusion Conference and 3 were not represented at all. This is obviously disappointing as secondary account for 87% of PEX.</p> <p>HBSS have taken an area of responsibility with regard to exclusions.</p>							
PED04 05	Monitor the number of children subject to EHCP placed in independent and out of borough provisions (snapshot end of quarter) – long term target is to reduce	N/A	N/A	78	N/A	N/A	
<p><i>Supporting Commentary: Eileen Picton/ Inclusion Divisional Manager</i> This is a reduction from the number recorded in last quarter.</p>							
PED04 06	Monitor the budget spent on independent and out of borough provision for SEND (Forecast end of year)	N/A	£250000 reduction	Refer comment	N/A	N/A	


<i>Supporting Commentary: Sam Murtagh: Budget meeting set for October 2019</i>						
PED04 07	Increase the percentage of children subject to EHCP placed in mainstream provision (snapshot end of quarter)	N/A	30%	41%	N/A	
<i>Supporting Commentary: Eileen Picton/Inclusion Divisional Manager This represents a slight increase from last quarter.</i>						
PED04 08	Monitor the percentage of Special Schools with overall effectiveness of Good or Outstanding	100%	100%	100%		
<i>Supporting Commentary: Inclusion Divisional Manager</i>						





Ref:	Milestones	Quarterly Progress
PED04a	Implement the Social Emotional and Mental Health Strategy (SEMH) by March 2020. Impact to be monitored through the action plan. Sharon Williams	
<i>Supporting Commentary:</i> The SEMH strategy is part of a broader development across the Council to improve Inclusion within our schools. The strategy is in draft format but needs to be aligned with the inclusion Strategy prior to full implementation.		
PED04b	Monitor the impact of the Behaviour Support Team in improving inclusive practice in schools. Sharon Williams (March 2020)	
<i>Supporting Commentary:</i> All short breaks contracts have been recommissioned , all submissions were evaluated with Parent and children / young people		
PED04c	Review the current framework of support for children with disabilities, including short breaks provision and direct payments with all recommissions co-produced with parents and young people Sam Murtagh/ Val Armor (March 2020)	
<i>Supporting Commentary: All commissioned short breaks now in place with regular performance reports being submitted and interrogated</i>		
PED04d	Improve the quality of assessment criteria, Education Health and Care Plans, and quality assure all provision currently being utilised to ensure that provision meets the needs of our children and young people Ann McIntyre (March 2020)	
<i>Supporting Commentary:</i> Please see 3.4 in Emerging Issues above. This is a key focus for one of the Task and Finish Workstreams Chaired by Peopletoo.		
PED04e	Work with schools to ensure that they are more inclusive Ann McIntyre (March 2020)	
<i>Supporting Commentary:</i> An Inclusion Charter has been developed with all schools. The final Charter was shared with All Schools at the Inclusion Conference on 8 th October 2019		
PED04f	Review in borough specialist provision and revise to meet the needs of Halton's children and young people Ann McIntyre (March 2020)	
<i>Supporting Commentary:</i> Independent Consultants Peopletoo are currently facilitating a working group of stakeholders to consider the most appropriate provision to meet local needs.		
PED04g	Implement and monitor dynamic risk register for Learning Disability as per Transforming Care requirements Sam Murtagh (March 2020)	
<i>Supporting Commentary: Process remains fully in place chaired by CCG colleague</i>		

Objective: Raise achievement across Early Years and all Key Stages, and diminish the difference between vulnerable groups and their peers (PED05)





Ref	Measure	18/19 Actual	19/20 Target	Current	Direction of Travel	Quarterly Progress
PED05 01	Ensure all eligible children for the vulnerable 2 yr old funding access quality EY provision (internally collected termly information – may not match to published data from Jan census)	80%	100%	99.9% 2/516 funded children access a RI setting		
<i>Supporting Commentary: Belinda Yen/Gail Vaughan-Hodkinson/ Jill Farrell Two children out of 516 placed are accessing their two year old entitlement in Requires Improvement provision. This can be related to parental request and availability of places within a particular area. Quality of provision is monitored by the two</i>						





<i>year old officer and audited, whilst training and support is also offered by Early Years officers. All child minders must be rated good or outstanding by Ofsted to access two year old funding placements.</i>						
PED05 02	Increase the take up of Early Years Entitlement for 3 to 4 year olds (internally collected termly information – may not match to published data from Jan census)	93%	96%	93%	Refer comment	N/A
<i>Supporting Commentary: Jackie Durr/Gail Vaughan-Hodkinson /Jill Farrell</i> The latest summary tables indicate that 93% of 3 & 4 year olds are benefitting from funded Early Education places. (Data taken from 'Provision for children under 5 years of age' – last updated, January 2019).						
PED05 03	Monitor the percentage of Early Years settings (pre-schools, day care, out of school clubs, childminders) with overall effectiveness of Good or Outstanding (snapshot end of quarter)	N/A	N/A	Of those settings inspected: Day care 100% good+; Pre-schools 92% good+; Childminders 93% good+; Out of school clubs 100% good+	N/A	N/A
<i>Supporting Commentary: Jan Harvey/ Gail Vaughan-Hodkinson/ Jill Farrell</i> If a child minder does not have any registered children then they will only be identified as having met or not met requirements. The figures above are now all collated separately for each type of provision and refer to those settings who have had an Ofsted inspection – Jill Farrell 95% of Early Years Settings with an Ofsted grade, are graded 'Good' or 'Outstanding'; 77% of Early Years settings, including those with a 'Met' or have not yet been inspected, are graded 'Good' or 'Outstanding'; 4% are graded 'Requires Improvement'; 0% are graded 'Inadequate'; However, of the above, 9% are 'meeting the requirements' (this is the judgement awarded to Child minders/Out of School Clubs who have an inspection when there are no children present) and 9% of the above, have not yet been inspected. - <i>Gail Vaughan-Hodkinson</i>						
PED05 04	Monitor the percentage of Primary schools with overall effectiveness of Good or Outstanding (snapshot end of quarter)	N/A	N/A	83.6%		
<i>Supporting Commentary: Jill Farrell</i> Latest data indicates 83.6% of primary schools are good or outstanding. Other school inspections have been carried out but are not yet published and in the public domain.						
PED05 05	Monitor the percentage of Secondary schools with overall effectiveness of Good or Outstanding (snapshot end of quarter)	50%	N/A	57.4%		
<i>Supporting Commentary: Jill Farrell</i> One school has converted to academy status so has no inspection history. This leaves seven secondary schools with inspection ratings.						





Ref:	Milestones	Quarterly Progress
PED05a	Monitor and evaluate outcomes from the use of funding streams (including Free EY Entitlement, Pupil Premium) to raise achievement and diminish the difference between vulnerable groups and their peers. (Jill Farrell) (March 2020)	
<i>Supporting Commentary: Jill Farrell</i> Individual settings are monitoring the performance of groups and the impact of interventions. However currently due to some IT issues and concerns regarding information sharing from private day care businesses, not all this information from Early Years settings is submitted to the LA. Colleagues are working on finding a solution to share across the LA but in the meantime are including a focus on training and evidence based research methods as to how to diminish the difference between vulnerable groups and their peers.		

Ref:	Milestones	Quarterly Progress
PED05b	Review the process of risk assessment for schools and settings to target support and drive improvement. (Jill Farrell) (March 2020)	
<p><i>Supporting Commentary: Jill Farrell</i> <i>The risk assessment process has been refined for schools and settings. These changes have been implemented. Schools that have been downgraded have been told verbally ahead of categorisation letters being sent out to schools. Pre-warning meetings have also been held for schools that are causing concern in order to identify appropriate co-ordinated support and challenge. Challenge and support will be targeted appropriately to meet the needs of establishments with the greatest vulnerabilities, whilst capacity will also be drawn upon from effective practice within the sector. This is in line with DfE and Central government policies.</i></p>		
PED05c	Build engagement, capacity and understanding of the strategic role of governors (Jill Farrell) (March 2020)	
<p><i>Supporting Commentary: Jill Farrell</i> <i>The Governor working group meets termly and is progressing information sharing and support for governor colleagues, this was shared at the autumn term Governors briefing. Over the last academic year, more rigorous monitoring of school governor representation at the termly governor briefing has led to an increase in attendance and engagement at termly governor briefings and governor training. Further plans will continue to develop the strategic role of governors. Governor support and clerking is being recommissioned so that one sole provider provides both aspects of governor support and training.</i></p>		
PED05d	In partnership with schools, review and design an effective curriculum model that meets pupils needs whilst raising ambitions (Jill Farrell) (March 2020)	
<p><i>Supporting Commentary: Jill Farrell</i> <i>Initial meetings were held with all schools in the secondary sector and all schools in the primary sector to develop a Halton curriculum. It was found that many schools are members of different academy trusts and or diocesan boards and all have their own requirements. It was therefore decided that work would focus upon developing shared principles and aims for all schools and that this would be developed through the Halton Learning Alliance. Halton Learning Alliance is a long term, borough wide development that will work with all educational, business partners and the wider community to develop a Halton vision and raise aspiration, ambition leading to successful, healthy, contributing citizens of Halton.</i></p>		
PED05e	Develop and implement the Reading strategy (Jill Farrell) (March 2020)	
<p><i>Supporting Commentary: Jill Farrell</i> <i>A Reading Strategy group and smaller working groups are developing a Halton Reading Strategy. This will now be launched on 3rd March 2020, followed by a large scale reading event to be held at the stadium on 25th March 2020. Throughout the year there will be a range of events and longer term initiatives, This will reflect the vision and ambitions from the Halton Learning Alliance whilst promoting a passion for reading and enhancing the purpose and value of reading for all.</i></p>		

Objective: Improve participation and skills for young people to drive Halton's future (PED06)




Ref	Measure	18/19 Actual	19/20 Target	Current	Direction of Travel	Quarterly Progress
PED06 01	Maintain the percentage of 16-17 yr olds not in education, employment or training (snapshot end of quarter, end of year information February)	4.8%	4.4%	6.3%		
<p><i>Supporting Commentary: Háf Bell</i> <i>Measure from August 2019 DfE return</i> <i>With limited provision of education or training available in July/August we see an annual increase in NEET figures at this time of year. Our figure for August 2019 is 0.5% lower than August 2018.</i></p>						
PED06 02	Maintain the percentage of 16-17 yr olds whose activity is not known (snapshot end of quarter, end of year information February)	0.3%	0.8%	0.2%		
<p><i>Supporting Commentary: Háf Bell</i> <i>Measure from August 2019 DfE return</i> <i>Continued use of quality tracking processes means we have maintained a very low percentage of young people who we are unable to contact. Our figure for August 2019 is 1.3% lower than August 2018.</i></p>						

PED06 03	Increase the percentage of 16-17 yr olds with an offer of learning (September guarantee)	96.9%	98.2%	96.2%		
<p><i>Supporting Commentary: Háf Bell</i> <i>Measure from IO database 16th October 2019</i> <i>We are in the final process of making contact with young people who are 17 & 18 year old and who did not attend a Halton institution to confirm if they have continued in education, employment or training in September 2019. This will finalise the September Guarantee figure for the return to DfE at the end of October 2019, which we anticipate will match 2018/19 figures but will not meet the 2019/20 target.</i></p>						
PED06 04	Increase the percentage of 16-17 yr olds participating in education or training that meets the Government definition of full participation (known as Raising the Participation Age)	89.8%	93%	87.2%		
<p><i>Supporting Commentary: Háf Bell</i> <i>Measure from August 2019 DfE return</i> <i>The number of young people who are in employment without training has increased by 0.6% from August 2018. Whilst this is a positive destination for young people compared to being NEET it does not meet the Raising the Participation Age requirement for 16 & 17 year olds to be in education or training. This is discussed with schools in relation to Careers Guidance given each year, but Halton continues to underperform in this area.</i></p>						

Ref:	Milestones	Quarterly Progress
PED06a	Closely monitor the cohort of young people not in education, employment or training and identify common patterns/issues to inform actions, guide the effective use of resources and to identify any future commissioning needs (Háf Bell) (March 2020)	
<p><i>Supporting Commentary: Háf Bell</i> <i>Analysis of the cohort continues to take place and where we can adapt and make changes to working practice we have done. There are gaps identified in the support we can offer young people who are long term NEET but we have been unable to identify any existing service to meet the gap, or funding to commission services.</i></p> <p><i>The milestone is on course to be achieved because we are carrying out the monitoring work, but there is not the resource available to address the gaps identified.</i></p>		
PED06b	Work with schools, the College and training providers to review the post 16 offers of learning made to young people and increase the amount of offers made before the end of an academic year (Háf Bell) (July 2019)	
<p><i>Supporting Commentary: Háf Bell</i> <i>Excellent communication with and from schools and the College meant that the amount of information available before the end of the school term in July was significantly higher than last year, reducing the additional tracking workload needing to be carried out by our Commissioned Service.</i></p>		
PED06c	Work with schools, the College and training providers to report where young people progress to Post 16 as quickly as possible, so those who haven't been progressed can be identified and contacted to offer support (Háf Bell) (October 2019)	
<p><i>Supporting Commentary: Háf Bell</i> <i>Meetings currently taking place with schools to discuss young people who have not progressed post 16.</i></p>		
PED06d	Work with Post 16 education and training providers in the borough to support the development of provision that does have clear progression opportunities (Háf Bell) (March 2020)	
<p><i>Supporting Commentary: Háf Bell</i> <i>A training provider in the borough ceased provision in June 2019 due to funding issues. Three new training providers have expressed an interest to deliver in Halton. This has not progressed beyond initial discussions with two providers, one provider has now secured premises and delivered an open day event to begin recruitment.</i> <i>Further work needs to take place to map the provision compared to current borough provision and re-identify progression routes.</i></p>		




7.0 Appendix I

7.1 Symbols are used in the following manner:

Progress		Milestone	Measure
Green		Indicates that the milestone is on course to be achieved within the appropriate timeframe.	Indicates that the annual target is on course to be achieved.
Amber		Indicates that it is uncertain, or too early to say at this stage whether the milestone will be achieved within the appropriate timeframe.	Indicates that it is uncertain or too early to say at this stage whether the annual target is on course to be achieved.
Red		Indicates that it is unlikely or certain that the objective will not be achieved within the appropriate timeframe.	Indicates that the target will not be achieved unless there is an intervention or remedial action taken.

7.2 Direction of Travel indicator

Where possible measures will also identify a direction of travel using the following convention:

Green		Indicates that performance is better compared to the same period last year.
Amber		Indicates that performance is the same as compared to the same period last year.
Red		Indicates that performance is worse compared to the same period last year.
N/A		Indicates that the measure cannot be compared to the same period last year.

7.3 Key for responsible officers:

- AMc** Ann McIntyre, Operational Director, Education, Inclusion and Provision Service
- TC** Tracey Coffey, Operational Director, Children and Families Service

The purpose of this report is to provide an update concerning the implementation of mitigation measures for those areas of risk which have been assessed as high within the Directorate Risk Register.

Education, Inclusion & Provision Department

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Failure to demonstrate increased participation in education and training in line with the Local Authority's statutory duty regarding Raising the Participation Age (RPA) requirements may lead to an increase in children and young people not in education, employment and training (NEET).	5	4	20
2	Failure to increase the number of children achieving a good level of development.	5	3	15
3	Failure of our maintained schools to manage the Special Educational Needs and/or Disabilities (SEND) of our children and young people resulting in placement in high cost of independent placements.	5	5	25
4	Rising numbers of children and young people becoming excluded from our schools.	5	5	25
5	Failure to ensure compliance with inspection and regulatory frameworks from a policy and performance management perspective, and submission of statutory and regulatory returns for Children's Social Care Services, SEND, and Local Authority School Improvement.	5	4	20

Assessment of residual risk(s)						
Item	Risk Control measure(s)	Lead Officer	review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	The Raising the Participation Age (RPA) Strategy is implemented and includes in-house data tracking, case working, working with schools to support Post 16 transition, and multi-agency referral groups to reduce those not engaged in education and training, or those whose destination is not known. The team carrying out this work have been	Martin West (Haf Bell)	Quarterly	5	3	15

Implementation of High Risk Mitigation Measures (People Directorate) – Quarter 2 to 30th September 2019

	<p>operating with reduced resource due to staffing issues for a number of months. Measures are being taken to prioritise the cohort being supported by staff to try and reduce the impact on some of the cohort.</p> <p>Additionally a Post 16 provider in the borough closed provision in June 2019, reducing the provision choices available to young people where an FE environment is not suitable. Discussions are in place with two other providers new to the borough, anticipating there could be new provision in place from autumn 2019.</p>					
2	<p>Regular monitoring and tracking of performance in schools and Early Years settings is undertaken with risks managed by increasing challenge, support and training. The One Halton multi-agency strategic group are reviewing and refining the action plan to address need. Halton have been successful in receiving an Early Years Outcomes funding bid which will focus upon speech, language and communication development. Halton will also be part of an Early Years Professional Development fund developing workforce knowledge around Literacy and Mathematics. The Early Years LA workforce have now been restructured to form one, unified team working on shared priorities and aspirations. EY training and sharing of performance continues at strategic and operational leadership, whilst “Ready for Reception” training and GLD training is continuing and working to bring the PVI and school sector together more closely. The EY data officer is now in post and has provided valuable capacity to collate, analyse and identify key issues. A Transition working group has developed a transition protocol and will review and refine transition arrangements ensuring a continuation of learning as children move on. EY risks will be managed with the development and implementation of an EY dashboard.</p>	Jill Farrell	Termly	3	3	9
3	<p>Working with schools we are developing an Inclusion Charter the aim is finalise this work at the Autumn Inclusion Conference. In addition Peopleto have now been commissioned to lead the design and implementation phase of the SEND review with the aim of improving inclusion, improving local provision and reducing the need to place children and young people in high cost independent placements. The new Placements Team has now been established with a dedicated SEND Commissioner. Their role is to reduce the costs of placements, monitor provision and improve the quality of high cost placements.</p>	Sam Murtagh	Termly	5	3	15

4	<p>Since becoming fully operational in November 2018 the Behaviour Support Service has worked within a ‘school-facing’ model with the main focus being to support all schools to build their own capacity to meet the needs of individual pupils who may be at risk of presenting challenging behaviour. In doing so, the service has provided strategic support and challenge to school leaders in meeting their statutory duties for managing behaviour, reducing exclusions and improving inclusive practice. The service has also developed specific project work with cohorts of children to support secondary transition of ‘at risk’ pupils. The Behaviour Support Service has had contact with the vast majority of schools in Halton; this has ranged from providing advice and guidance, short pieces of targeted work, more detailed work with a number of schools and prolonged support for two Primary schools who received adverse Ofsted outcomes. The service has also developed a full training offer for schools including, Team Teach and Mental Health First Aid to ensure that schools are compliant with new statutory requirements. A more bespoke training package based on a school’s identified needs has also been provided as required. The Behaviour Support Service is also refining exclusions data collection and analysis in order to target support for schools in reducing the number of exclusions and also building capacity to effectively manage behaviour.</p>	Sharon Williams	Termly	4	4	16
5	<p>Ensure that policy and performance management systems and Directorate Business Planning frameworks are in place for Halton Borough Council, Halton Children’s Trust, and Halton Children and Young People Safeguarding Partnership and that managers and key partners are supported with regard to inspection preparation. Tightening up performance monitoring arrangements across the Directorate to identify any variation in performance and address this quickly.</p>	Ann McIntyre/ Tracey Coffey	Termly	5	3	15

Progress update

1. Both Post 16 education providers looking to delivery new provision in Halton have not been able to start. One due to the tutor leaving the organisation and the second provider held a meeting with staff to discuss the provision but has not responded to any further contact since then. A current provider has also lost a prominent member of staff and we are currently awaiting further updates. In addition changes to how Traineeships are funded has resulted in two providers stopping this provision offer. On a positive note one new training provider has set up in Halton, with delivery starting imminently.
2. Ongoing training, tracking and informing next steps for planning.

3. Schools are now signed up to the Inclusion Charter. Primary in year fair access protocol (IFAP) developed and implemented. Satellite provision at Brookfields at the Grange Academy established.
4. Lead commissioner of Pivotal training. The ACEs approach has now been adopted in 7 schools in the borough.
5. Unfortunately, there are still two vacancies not appointed to in crucial areas; Divisional Manager for Inclusion and Principal Performance and Improvement.

Children and Families Services Department

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Need to ensure a robust client recording system is in place which supports and enhances the effectiveness of frontline practice in response to changing legislative and performance requirements, and ensures readiness for inspection.	5	3	15
2	Lack of engagement from partner agencies with teams around the family will reduce the impact of early intervention.	5	3	15
3	Failure to improve education and employment opportunities for Care Leavers.	5	3	15
4	Failure to ensure continued recruitment and retention in sufficient numbers of social workers and front line managers to meet statutory duties and requirements in the face of recruitment programmes from neighbouring local authorities.	5	4	20
5	Continued increase in number of Children in Care.	5	3	15
6	Increase demand for Early Intervention and Children’s Social Care. Resources struggling to meet demand. Increase in numbers with a CAF and Child Protection Plan’s.	5	3	15

Assessment of residual risk(s)						
Item	Risk Control measure(s)	Lead Officer	review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	New client recording system agreed. Preparation beginning September 2019 for implementation by March 2020.	Mil Vasic	Quarterly	3	3	9
2	Undertaken a review of Early Intervention assessments and plans with a view to implementing revised model by December 2019.	Val Armour	Quarterly	3	3	9
3	A specific multi-agency sub group, of the Children in Care Partnership Board, focusing on care leavers has been established and continues to evolve and progress.	Liz Davenport	Quarterly	3	2	6
4	Continue to review and update the Recruitment and Retention policy to assist in recruiting qualified Social Workers who have sufficient experience to undertake the tasks required.	Tracey Coffey	Quarterly	3	3	9
5	We are refocusing staff across Early Intervention and Social Care on a Systemic approach to divert children from coming into care.	Tracey Coffey	Annually	3	3	9
6	There is a inter authority agreement with a governance and performance management structure in place.	Tracey Coffey	Quarterly	3	3	9

Progress update

1. Workshops are underway in relation to the new client system.
2. Date is slipping for implementing revised model to post April 2020 pending on budget decisions.
3. Work in this area is still evolving.
4. Established a micro site for recruitment.
6. There is a inter authority agreement with a governance and performance management structure in place.

Directorate Performance Overview Report

Directorate: People Directorate (Adult Social Care)

Reporting Period: Quarter 2 – Period 1st July 2019 to 30th September 2019

1.0 Introduction

1.1 This report provides an overview of issues and progress within the Directorate that have occurred during the second quarter.

2.0 Key Developments

2.1 There have been a number of developments within the Directorate during the second quarter which include:

Adult Social Care:

Care Homes

Work is ongoing to ensure the continual improvements across the two care homes.

- Millbrow is to start planning on a major refurbishment within the whole building. This work will involve the redecoration throughout the building, inclusive of redesign of the first floor to support people living with Dementia.
- Work is underway with Riverside College and Chester University to support a recruitment and retention strategy across the care division.
- The Management team of care homes division has been recruited to, recruitment of staff team across all domains within the care homes will take place during the month of October 2019.
- The purchase of two further care homes, St Luke's, a 56 bed establishment in Runcorn and St Patricks a 40 bed establishment in Widnes. Both Homes provide specialist nursing care to people living with Dementia. Halton Borough Council purchased the homes on October 1st 2019.

Redesign of the Mental Health Resource Centre, Vine Street, Widnes: considerable work took place last year and earlier this year to redesign the services that were provided from the Mental Health Resource Centre. Capital funding was provided by the Borough Council, NHS Halton Clinical Commissioning Group and the North West Boroughs NHS Trust to adapt and refurbish the building so that it could be more effectively used to support people in the area with complex mental health problems. The building had already been occupied by the Mental Health Outreach Team and the Community Bridge Building Team, but they have now been joined by social workers, and by the North West Boroughs crisis resolution and home treatment team. This means that there is a greater multidisciplinary presence in the building and that services and supports work together more effectively to deliver care. There are continuing plans to develop a 24-hour service and a crisis facility has been developed in the building, in anticipation of this development.

Halton Day Services

... and in other news:

The goats are coming of age. After a successful acclimatisation to their new surroundings the Anglo-Nubians are approaching milking maturity. All the necessary Environmental Health documentation is ready together with the pasteurisation and milking tasks. It won't be long until

the artisan goats' cheese and milk will be available for purchase. The goats have been a huge success with service users and students alike and have contributed financially to the running of the service.

Public Health

We are starting to see a significant reduction in pregnant women smoking. It has reduced from 17.1% last year to 15.9% so far this year. We are also starting to take forward the lung health check programme which will pick up local residents at risk of lung cancer from smoking.

The #HaltOnLoneliness campaign has been successfully launched with all partners. We have also launched the new Healthy Weight Strategy which is a whole system approach developed with Leeds University.

3.0 Emerging Issues

Adult Social Care:

Intermediate Care: Halton Borough Council and NHS Halton CCG jointly commission Halton Intermediate Care services. The system does not feel that the intermediate care services are being used to the potential they could be and as such, with the support of the Local Government Association and North West Association of Directors of Adult Social Services, a review of Intermediate Care Services is currently being undertaken.

The purpose of the review is to develop a clear understanding of the current intermediate care offer for adults in Halton. This includes reviewing the pathways into and out of Intermediate Care and Reablement support services, in order to assess how effectively they meet and support the needs of our adult population.

Aspects of the review so far have included a visit to Rochdale Intermediate Care Services, a Diagnostic Review and Options Appraisal and a 3 day Peer Challenge Review. An Implementation Workshop is planned for 4th November where all the information gathered will be reviewed and an action plan for improvements developed.

Review of the Mental Health Act: for some time there has been detailed work going on at a national level to review and revise the current legislation relating to the treatment of people with complex and high risk mental health problems. There have been concerns that, around the country, compulsory admissions to hospital may have been happening too frequently and that certain disadvantaged groups have been disproportionately targeted for compulsory admission. Although other political priorities have delayed the publication of a new Mental Health Bill, this has now been specifically named in the Queen's Speech as being a priority for implementation in the next parliament. This will require substantial revision of policies and processes, both locally and nationally.

Public Health

We are now starting to enter the flu season and need to be vigilant concerning vaccine stocks which may be affected by the EU exit. We also need to encourage staff and all at risk groups to be immunised. This will improve health, reduce flu admissions to hospital and reduce A&E waiting times.

4.0 Risk Control Measures

- 4.1 Risk control forms an integral part of the Council's Business Planning and Performance Monitoring arrangements. As such Directorate Risk Registers were updated in tandem with the development of the suite of 2019 – 20 Directorate Business Plans.
- 4.2 Progress concerning the implementation of all Directorate high-risk mitigation measures are included as appendices to this report.

Progress against high priority equality actions






There have been no high priority equality actions identified in the quarter.

6.0 Performance Overview

The following information provides a synopsis of progress for both milestones and performance indicators across the key business areas that have been identified by the Directorate. It should be noted that given the significant and unrelenting downward financial pressures faced by the Council there is a requirement for Departments to make continuous in-year adjustments to the allocation of resources in order to ensure that the Council maintains a balanced budget. Whilst every effort continues to be made to minimise any negative impact of such arrangements upon service delivery they may inevitably result in a delay in the delivery of some of the objectives and targets contained within this report. The way in which the Red, Amber and Green, (RAG), symbols have been used to reflect progress to date is explained at the end of this report.

Commissioning and Complex Care Services

Key Objectives / milestones

Ref	Milestones	Q2 Progress
1A	Monitor the effectiveness of the Better Care Fund pooled budget ensuring that budget comes out on target	
1B	Integrate social services with community health services	
1C	Continue to monitor effectiveness of changes arising from review of services and support to children and adults with Autistic Spectrum Disorder.	
1D	Continue to implement the Local Dementia Strategy, to ensure effective services are in place.	
1E	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.	No data available
1F	The Homelessness strategy be kept under annual review to determine if any changes or updates are required.	No data available
3A	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.	

Supporting Commentary

1A. Work is ongoing to review our overall approach to managing the financial risks in the pool.

1B. Multi-disciplinary Team work is ongoing across primary care, community health care and social care, work continues to look at developing models of hub based working across localities.

1C. Multi-disciplinary Team work is ongoing across primary care, community health care and social care, work continues to look at developing models of hub based working across localities.

1D - During the last quarter work has continued to plan for provision of post diagnosis community dementia support from October 2019 (when the current contract finishes). It is anticipated that the Dementia Care Advisor service will remain, to ensure continuity of care for people living with dementia and their carers in line with where the current and projected demand for services lies, whilst complimenting the wider dementia care and support offer available in the borough. The Admiral Nurse Service continues to deliver support to families with the most complex needs relating to caring for someone living with dementia.













1E. No data available





1F. No data available

3A. No data available

Key Performance Indicators

Older People:		Actual 18/19	Target 19/20	Q2	Progress	Direction of Travel
ASC 01	Permanent Admissions to residential and nursing care homes per 100,000 population 65+ Better Care Fund performance metric	623.31	TBC	TBC		N/A
ASC 02	Delayed transfers of care (delayed days) from hospital per 100,000 population. Better Care Fund performance metric	479 May19	TBC	403 May 19		
ASC 03	Total non-elective admissions in to hospital (general & acute), all age, per 100,000 population. Better Care Fund performance metric	3290	TBC	4952		
ASC 04	Proportion of Older People (65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services (ASCOF 2B) Better Care Fund performance metric	85%	TBC	N/A	N/A	N/A
Adults with Learning and/or Physical Disabilities:						

ASC 05a	Percentage of items of equipment and adaptations delivered within 5 working days (HICES)	N/A Merged data in 18/19	97%	98%		
ASC 05b	Percentage of items of equipment and adaptations delivered within 7 working days	N/A Merged data in 18/19	97%	44%		
ASC 06	Proportion of people in receipt of SDS (ASCOF 1C – people in receipt of long term support – include brief definition) (Part 1) SDS	78%	78%	72%		
ASC 07	Proportion of people in receipt of SDS (ASCOF 1C – people in receipt of long term support – include brief definition) (Part 2) DP	36%	45%	34%		
ASC 08	Proportion of adults with learning disabilities who live in their own home or with their family (ASCOF 1G)	86%	89%	88.94%		
ASC 09	Proportion of adults with learning disabilities who are in Employment (ASCOF 1E)	5%	5%	5.05%		
Homelessness:						
ASC 10	Homeless presentations made to the Local Authority for assistance in accordance with Homelessness Reduction Act 2017. Relief Prevention Homeless	117	500	N/A	N/A	N/A
ASC 11	LA Accepted a statutory duty to homeless households in accordance with homelessness Act 2002	10	100	N/A	N/A	N/A
ASC 12	Homelessness prevention, where an applicant has been found to be eligible and unintentionally homeless.	6	17	N/A	N/A	N/A
ASC 13	Number of households living in Temporary Accommodation Hostel Bed & Breakfast	N/A	N/A	N/A	N/A	N/A
ASC 14	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	1.64%	6%	N/A	N/A	N/A

	the Borough)					
Safeguarding:						
ASC 15	Percentage of individuals involved in Section 42 Safeguarding Enquiries	N/A	88%	52%	N/A	N/A
ASC 16	Percentage of existing HBC Adult Social Care staff that have received Adult Safeguarding Training, including e-learning, in the last 3-years (denominator front line staff only).	61%	56%	61%		
ASC 17	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)	89%	82%	N/A	N/A	N/A
Carers:						
ASC 18	Proportion of Carers in receipt of Self Directed Support.	100%	99%	72%		
ASC 19	<i>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)</i>	7.6%	9%	N/A	N/A	N/A
ASC 20	<i>Overall satisfaction of carers with social services (ASCOF 3B)</i>	52.1%	50%	N/A	N/A	N/A
ASC 21	The proportion of carers who report that they have been included or consulted in discussions about the person they care for (ASCOF 3C)	77.6%	80%	N/A	N/A	N/A
ASC 22	Do care and support services help to have a better quality of life? (ASC survey Q 2b) Better Care Fund performance metric	89.1%	93%	N/A	N/A	N/A

Supporting Commentary

Older People:

ASC 01 We cannot complete due to the fact that panel is still incorrect from the teams

ASC 02 No data available

ASC 03 No data available

ASC 04 Annual collection only to be reported in Q4. Data published October 2019, the latest data for 19/20 will be available in October 2020

Adults with Learning and/or Physical Disabilities:

ASC 05a Target exceeded in Q2

ASC 05b No commentary provided.

ASC 06 We are on track to meet this target.

ASC 07 We are on track to meet this target.

ASC 08 We are on track to meet this target.

ASC 09 There are 21 people with a learning disability in paid employment. The percentage is based on the number of people with a learning disability "known to" the Council. The known to figure can fluctuate each month as people have been added to Care First or their assessments have been completed; this will have an overall effect on the percentage.

Homelessness:

ASC 10 No data available

ASC 11 No data available

ASC 12 No data available

ASC 13 No data available

ASC 14 No data available

Safeguarding:

ASC 15 New measure, targets to be confirmed

ASC 16 No data available

ASC 17 Annual collection only to be reported in Q4, (figure is an estimate).

Carers:

ASC 18 On target to meet this measure

ASC 19 This is the Biennial Carers Survey which will commence in December 2020

ASC 20 This is the Biennial Carers Survey which will commence in December 2020













ASC 21 This is the Biennial Carers Survey which will commence in December 2020





ASC 22 This is the Biennial Carers Survey which will commence in December 2020

Public Health**Key Objectives / milestones**

Ref	Objective
PH 01a-d	Prevention and early detection of cancer, CVD and respiratory disease.

	Working with partner organisations to prevent disease onset and improve early detection of the signs and symptoms.
PH 02a-c	Improved Child Development: Working with partner organisations to improve the development, health and wellbeing of children in Halton and to tackle the health inequalities affecting that population.
PH 03a-c	Reduce the number of falls in Adults.
PH 04a-c	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.
PH 05a-c	Continue to provide a wide range of services that promote positive mental health, encourage positive attitudes to mental health conditions and reduce the stigma attached to those experiencing them.

Ref	Milestones	Q2 Progress
PH 01a	Increase the uptake of smoking cessation services and successful quits among routine and manual workers and pregnant women.	
PH 01b	Work with partners to increase uptake of the NHS cancer screening programmes (cervical, breast and bowel).	
PH 01c	Work with partners to continue to expand early diagnosis and treatment of respiratory disease including Lung Age Checks, and improving respiratory pathways.	
PH 01d	Increase the number of people achieving a healthy lifestyle in terms of physical activity, healthy eating and drinking within recommended levels.	
PH 02a	Facilitate the Healthy child programme 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.	
PH 02b	Maintain and develop an enhanced offer through the 0-19 programme for families requiring additional support, For example: teenage parents (through Family Nurse Partnership), Care leavers and support (when needed) following the 2 year integrated assessment.	
PH 02c	Maintain and develop an offer for families to help their child to have a healthy weight, including encouraging breastfeeding, infant feeding support, healthy family diets, physical activity and support to families with children who are overweight.	
PH 03a	Continue to develop opportunities for older people to engage in community and social activities to reduce isolation and loneliness and promote social inclusion and activity.	
PH 03b	Review and evaluate the performance of the integrated falls pathway.	
PH 03c	Work with partners to promote the uptake and increase accessibility of flu and Pneumonia vaccinations for appropriate age groups in older age.	
PH 04a	Work in partnership to reduce the number of young people (under 18) being admitted to hospital due to alcohol.	
PH 04b	Raise awareness within the local community of safe drinking	

	recommendations and local alcohol support services through delivering alcohol awareness campaigns, alcohol health education events across the borough and ensuring key staff are trained in alcohol identification and brief advice (alcohol IBA).	
PH 04c	Ensure those identified as having an alcohol misuse problem can access effective alcohol treatment services and recovery support in the community and within secondary care.	
PH 05a	Work with schools, parents, carers and children's centres to improve the social and emotional health of children.	
PH 05b	Implementation of the Suicide Action Plan.	
PH 05c	Provide training to front line settings and work to implement workplace mental health programmes.	

PH 01a Supporting commentary

Halton Stop Smoking Service works continually to help support local people quit smoking, with extra emphasis placed on routine and manual workers and pregnant women where additional support is required. To date this quarter (Q2), Halton Stop Smoking Service has seen 38 maternal referrals compared to a total of 40 maternal referrals in Q2 last year. Complete quarterly data for the Stop Smoking Service is not measured until November 2019. Therefore, current data is suggesting that there could be more referrals to be recorded for Quarter 2 than the same period last year. The same criteria applies to successful quits for pregnant clients. So far successful quits for pregnant women are on a par with the same period last year.

Among the routine and manual group, there have been 43 accessing the service and 21 quitting (data set is incomplete until November 2019). Complete data for the same period last year (18/19) is 47 accessing and 33 quitting.

Intermediate training has been delivered to Pharmacies during Quarter 2.

PH 01b**Supporting commentary**

The Health Improvement Team continue to engage local communities and workplaces in promoting cancer screening programmes. Halton is working closely with Champs and the C&M Cancer Prevention Board to deliver a series of programmes to increase participation of non responders in bowel and breast screening programmes, develop electronic messaging service specifically for cervical screening and develop community navigators to help people along the screening pathway.

We have also been working closely with Runcorn Health Primary Care Network to make improvements to the primary care cervical screening pathway, which will hopefully improve access and awareness for local patients.

PH 01c Supporting commentary

Lung Age Checks continue to be part of the workplace health program and this continues to drive referrals into the Stop Smoking Service. The Stop Smoking Service also continue to deliver Lung Age Checks to clients aged 35yrs and over as per NICE guidelines for COPD and appropriately refer those clients that may need further investigation to GPs.

Health improvement services are engaged with multiple partners on a newly formed Respiratory Steering Group co-ordinated by Halton CCG, aimed at improving

respiratory pathways. The Stop Smoking Service has increased venues to deliver from as a result of partnership working with the Respiratory Health Team. We are also currently working with R Health Primary Care Network to improve systems around respiratory health in primary care.

Halton is continuing to rapidly progress the development of the Targeted Lung Health Checks with Knowsley. In addition to identifying and scanning those at highest risk of lung cancer, it will identify other respiratory conditions such as COPD, ensuring rapid access to the right pathways and treatments, as well as directing people to the Halton Smoking Cessation Service.

PH 01d Supporting commentary

Halton Weight Management Service has had over 160 new referrals this quarter. The service continues to provide healthy lifestyle advice and physical activity on a weekly basis to overweight Halton residents. The tier 2 group based approach is supplemented by an integrated tier 3 service for those requiring dietetic input.

Physical activity sessions continue to be provided for clients with a history of cardiac, respiratory, neurological or chronic pain diagnoses. Specialist gym based sessions have recently been added to assist with re-introducing clients to exercise that have had physical or mental barriers to engaging previously.

Active Halton meetings continue and the action plan is continuously being worked on.

All schools are offered health checks and training around healthy lifestyles. Healthy lifestyles for the staff is promoted as part of the healthy schools ethos.

PH 02a Supporting commentary

The Bridgewater 0-19 service, including health visitors, school nurses and Family Nurse Partnership (FNP) continues to deliver all the elements of the Healthy Child programme to families in Halton. Work is underway for the new school year, to agree the school health plans and deliver the NCMP, vision and hearing screening and seasonal flu. The programme currently has a health visitor working on the Talk Halton project, to improve language and communication in preschool children.

PH 02b

Supporting commentary

The Family Nurse Partnership service continues to be fully operational with a full caseload and works intensively with first time, teenage mothers and their families.

PH 02c Supporting commentary

The Healthy weight strategy is in the process of being ratified; it has been developed using a whole systems obesity approach

There have been many changes in policies on health in schools (Ofsted framework, RSE and healthy curriculum and healthy ratings): Halton's Healthy Schools, Early Years Settings Award and offer have been developed to meet the criteria and support schools. New policies have been used as an opportunity to further improve the work of healthy schools. Since September, 14 schools have already signed up and have an action plan in place, with other schools booked in for healthy school visits over the next 2 months.

Two Fit 4 Life camps ran over summer in Widnes and Runcorn with 34 children and parents in attendance. Fit 4 Life outreach sessions, which is a lifestyle session delivered to existing groups in the community 5 sessions were ran in quarter 2 reaching 58 children, young people and parents.

CYP Brief lifestyle intervention for practitioners has been developed and is CPD accredited. This training upskills the workforce who are working with children and young people and covers healthy eating, sleep and physical activity. 31 Practitioners have been trained in quarter 2. Practitioners from the organisations below completed the accredited course.

Lytham Care Children's Home
 School Health
 Riverside College
 Health Improvement Team
 Behaviour Support Team
 Citizen's Advice
 Independent Travel training
 Career Connect
 Neurodevelopmental Nursing Team
 14-19 Team
 Education Welfare

A breastfeeding campaign that focused on the community supporting breastfeeding in the area was carried out during international breastfeeding week and ended with a celebration event in Runcorn Shopping Centre, with over 50 people attending. The normal daily support for parents on infant feeding continues: 615 women have been supported after discharge from hospital during quarter 2. 70 Parents have attended Introducing Solids workshops in quarter 2.

PH 03a Supporting commentary

The Campaign to End Loneliness #HaltOnLoneliness continues to be rolled out across the borough with partner agencies. The Loneliness Steering Group continues to meet regularly to drive the campaign forward ensuring that materials are being distributed far and wide to various organisations and businesses across the borough to help raise awareness and promote a single point of access for people who have been affected by loneliness to get help and support.

Cheshire Police are now behind the Campaign.

A Loneliness Resource Tool has been devised which is aimed at raising awareness of the issues of loneliness to professionals and community to enable them to take action to tackle the issues in Halton. This is to be launched in the next quarter.

There is now a finalised draft version of the Loneliness Strategy which is due to be presented to senior management in the next quarter.

The number of age well training sessions, which is aimed at giving people the opportunity to improve their knowledge and understanding of loneliness, have now been increased from 6 sessions per year to a minimum of 11 sessions per year.

Sure Start to Later Life continue to work across Halton, supporting older people to engage with activities in the local community. We now have over 80 people attending the new Get Together held at Upton Community Centre.

There is specific task group that has been established around tackling loneliness in care homes. The specific aim of the group is to ensure that residents who reside in 24 hour care have the same opportunities to engage in activities in the community. We have a number of care home residents that are regular visitors at the Get Together. Halton Community Transport have also devised a shuttle proposal for care homes to make accessibility to the community easier.

PH 03b Supporting commentary

The falls steering group continues to meet bi-monthly to monitor progress made against the falls strategy action plan and to review the pathways.

A falls triage pilot has been devised, as an action from the group. Staff have been trained and the pilot is to go live last week in September. This is a 3 month pilot that is to be rolled out on a specific cohort of people which are those people who have lifeline service and who have had a recent intervention as a potential result of a fall. The purpose of the triage is ensure that the service user receives the right support in a timely manner to prevent further falls and potential injury.

PH 03c Supporting commentary

As we are just entering flu season, the flu vaccination is being promoted as widely as possible, including the Health Improvement Team promoting this through various communication channels and in face to face delivery, attending community events such as Halton People's Health Forum, various media and local radio channels.

There has been collaborative work with Primary Care networks to explore novel approaches to vaccination.

The national Help Us Help You campaign is being shared and endorsed with local residents and partners.

PH 04a Supporting commentary

Halton continues to work through the objectives of the alcohol strategy and engage partners in approaches to reduce the impact of harmful drinking. We have been successful in a bid across C&M for the delivery of Fibroscan machines which are able to identify early effects of alcohol harm on the liver. Two of these machines will initially be available in the Halton area and hope to identify liver problems early and further enable discussions about alcohol harms.

PH 04b Supporting commentary

Good progress is being made towards implementing the Halton alcohol strategy action plan. Key activity includes:

- Delivery of alcohol education within local school settings (Healthitude, 0-19 Service, Young Addaction, Amy Winehouse Foundation, Cheshire Police).
- Ensuring the early identification and support of those drinking above recommended levels through The Stop Smoking Service and Health Trainers delivering Audit C screening (alcohol identification and brief advice IBA) when appropriate to clients quitting smoking and workplace staff wishing to reduce their alcohol intake.
- Reviewing alcohol treatment pathways.
- Working closely with colleagues from licensing, the community safety team, trading standards and Cheshire Police to ensure that the local licensing policy supports the alcohol harm reduction agenda, promoting more responsible approaches to the sale of alcohol and promoting a diverse night-time economy.

PH 04c Supporting commentary

We continue to monitor activity of the commissioned drug and alcohol misuse service through CGL and see good numbers of people referred for treatment and support. The completion of treatment rate for Halton continues to be above the PHE and CGL national average.

PH 05a Supporting commentary

13 educational settings have been engaged and supported using the whole settings approach. Riverside College is currently being supported via the One Halton Population work stream. A mental health offer for early years settings has been developed in collaboration with settings and is now ready to be piloted from October

onwards. The Time to Change young people steering group has been working to engage all secondary schools and Riverside College and has training planned for both staff and young people to enable anti-stigma and discrimination activities to be delivered during key times throughout the year.

PH 05b**Supporting commentary**

The suicide prevention action plan is continuously driven forward by the suicide prevention partnership board. The plan links closely with the Cheshire and Merseyside No More Suicides strategy. A real time surveillance intelligence flow is in place which will enable faster identification of potential trends and clusters. The suicide prevention pathway for children and young people has been developed and is currently in the process of being signed off by relevant partners and boards. Champs have been successful in their C&M NHSE funded self-harm and suicide prevention application, with work due to begin on evaluating interventions available for men and the creation of a lived experience network. A suicide prevention campaign tool kit has been developed by the suicide prevention partnership board and is due to be distributed.

In September we hosted a memorial event for people bereaved by suicide, which engaged over 60 local people and helped to raise awareness and reduce stigma.

PH 05c**Supporting commentary**

The following training is continuously available to improve early detection of mental health conditions and improve mental health and wellbeing



Training for staff who work with adults:















- Mental Health Awareness
- Mental Health Awareness for Managers
- Stress Awareness
- Stress Awareness for Managers
- Suicide Awareness











Training for staff who work with children and young people:


- Mental Health Awareness
- Self-Harm Awareness
- Staff wellbeing (school Staff)

Key Performance Indicators

Ref	Measure	18/19 Actual	19/20 Target	Q2	Current Progress	Direction of travel
PH LI 01	A good level of child development (% of eligible children achieving a good level of development at the end of reception)	64.5% (2017/18)	66.5% (2018/19)	Annual Data	u	
PH LI 02a	Adults achieving recommended levels of physical activity (% adults achieving 150+)	62.8% (2017/18)	64.2% (2018/19)	Annual Data	u	

	minutes of physical activity)					
PH LI 02b	Alcohol-related admission episodes – narrow definition (Directly Standardised Rate per 100,000 population)	830.2 (2017/18)	827.7 (2018/19)	862.7 (2018/19) Provisional		
PH LI 02c	Under-18 alcohol-specific admissions (crude rate per 100,000 population)	57.6 (2015/16-17/18)	55.6 (2016/17-2018/19)	60.9 (2016/17-2018/19)		
PH LI 03a	Smoking prevalence (% of adults who currently smoke)	15.0% (2017)	14.8% (2018)	17.9% (2018)		
PH LI 03b	Prevalence of adult obesity (% of adults estimated to be obese)	33.7% (2017/18)	33.2% (2018/19)	Annual Data		
PH LI 03c	Mortality from cardiovascular disease at ages under 75 (Directly Standardised Rate per 100,000 population) <i>Published data based on calendar year, please note year for targets</i>	90.4 (2016-18)*	88.9 (2017-19)	85.1 (Q3 2016 – Q2 2019)		
PH LI 03d	Mortality from cancer at ages under 75 (Directly Standardised Rate per 100,000 population) <i>Published data based on calendar year, please note year for targets</i>	175.8 (2016-18)*	170.9 (2017-19)	168.9 (Q3 2016 – Q2 2019)		
PH LI 03e	Mortality from respiratory disease at ages under 75 (Directly Standardised Rate per 100,000)	55.6 (2016-18)*	50.5 (2017-19)	52.8 (Q3 2016 – Q2 2019)		

	population) <i>Published data based on calendar year, please note year for targets</i>					
PH LI 04a	Self-harm hospital admissions (Emergency admissions, all ages, directly standardised rate per 100,000 population)	340.0 (2017/18)	337.7 (2018/19)	349.7 (2018/19) Provisional		
PH LI 04b	Self-reported wellbeing: % of people with a low happiness score	9.7% (2017/18)	9.4% (2018/19)	Annual Data		
PH LI 05ai	Male Life expectancy at age 65 (Average number of years a person would expect to live based on contemporary mortality rates) <i>Published data based on 3 calendar years, please note year for targets</i>	17.5 (2015-17)	17.6 (2016-18)	Annual Data		
PH LI 05aii	Female Life expectancy at age 65 (Average number of years a person would expect to live based on contemporary mortality rates) <i>Published data based on 3 calendar years, please note year for targets</i>	19.3 (2015-17)	19.4 (2016-18)	Annual Data		
PH LI 05b	Emergency admissions due to injuries resulting from falls in the over 65s (Directly Standardised Rate, per 100,000 population; PHOF	2937.1 (2017/18)	2900.0 (2018/19)	2998.7 (2018/19) Provisional		

	definition)					
PH LI 05c	Flu vaccination at age 65+ (% of eligible adults aged 65+ who received the flu vaccine, GP registered population)	73.7% (2017/18)	75.0% (2018/19)	72.0% (2018/19)	u	

Supporting Commentary

PH LI 01 - Data is released annually.

PH LI 02a - Data is released annually.

PH LI 02b - Provisional data for 2018/19 indicates that the target was not met for alcohol-related admissions episodes. The rate of admissions exceeded the target and was higher than the rate seen in 2017/18. Data is provisional; published data will be released later in the year

PH LI 02c - Provisional data for 2016/17-2018/19 indicates that the target was not met for alcohol-specific admissions among those aged under 18. The rate of admissions exceeded the target and was higher than the rate seen in 2017/18.
Data is provisional; published data will be released later in the year

PH LI 03a - Data was fed back in the Q1 2019/20 QMR document and is published annually. The next smoking prevalence data (for 2019) should be available after April 2020.

PH LI 03b – Data is released annually.

PH LI 03c - Provisional data for the three year period to the end of Q2 2019 indicates that there has been a reduction in the rate of premature deaths from CVD. The provisional figure is below that of 2016-18, and below that of the target for 2017-19. However it is too early to accurately state whether the target will be met for the period.

PH LI 03d – Provisional data for the three year period to the end of Q2 2019 indicates that there has been a reduction in the rate of premature deaths from cancer. The provisional figure is below that of 2016-18, and marginally below that of the target for 2017-19. However it is too early to accurately state whether the target will be met for the period.

PH LI 03e- Provisional data for the three year period to the end of Q2 2019 indicates that there has been a reduction in the rate of premature deaths from cancer. The provisional figure is below that of 2016-18, but still above that of the target for 2017-19. However it is too early to accurately state whether the target will be met for the period.

PH LI 04a - Provisional data indicates the target for self-harm admissions (all ages) was not achieved for 2018/19. The rate for the year was higher than the target for the year and the equivalent rate for 2017/18. Data is provisional; published data will be released later in the year

PH LI 04b - Data is released annually.

PH LI 05ai - Data is released annually.




PH LI 05aii – Data is released annually.

PH LI 05b – Provisional data indicates the target for falls admissions (ages 65+) was not achieved for 2018/19. The rate for the year was higher than the target and the equivalent rate for 2017/18. Data is provisional; published data will be released later in the year

PH LI 05c - Data published in September 2019 indicates that coverage for over 65s, although being the same as England for the 2018/19 season, has reduced from 73.7% in 2017/18 and remains below the national 75% target.




APPENDIX: Explanation of Symbols

Symbols are used in the following manner:

Progress		Objective	Performance Indicator
Green		Indicates that the <u>objective is on course to be achieved</u> within the appropriate timeframe.	<i>Indicates that the annual target <u>is on course to be achieved</u>.</i>
Amber		Indicates that it is <u>uncertain or too early to say at this stage</u> , whether the milestone/objective will be achieved within the appropriate timeframe.	<i>Indicates that it is <u>uncertain or too early to say at this stage</u> whether the annual target is on course to be achieved.</i>
Red		Indicates that it is <u>highly likely or certain</u> that the objective will not be achieved within the appropriate timeframe.	<i>Indicates that the target <u>will not be achieved</u> unless there is an intervention or remedial action taken.</i>

Direction of Travel Indicator

Where possible performance measures will also identify a direction of travel using the following convention

Green		Indicates that performance is better as compared to the same period last year.
Amber		Indicates that performance is the same as compared to the same period last year.
Red		Indicates that performance is worse as compared to the same period last year.
N/A		Indicates that the measure cannot be compared to the same period last year.

Implementation of High Risk Mitigation Measures (People Directorate -ASC) – Quarter 2 to 30th September 2019

The purpose of this report is to provide an update concerning the implementation of mitigation measures for those areas of risk which have been assessed as high within the People Directorate Risk Register.

Business Objective / Project	
Ref	Description
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.

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Risks associated with finding timely and appropriate placements for people with complex needs.	4	4	16
2	Financial risks related to complexity of needs for people returning to the borough from out of area treatment centres for Mental Health.	4	3	12
3	Ensure appropriate policies, processes and systems are in place to ensure the safe transition of service users from Children's Services to Adults Services.	4	3	12

Assessment of residual risk(s)						
Item	Risk control measure(s)	Lead Officer	Timescale / review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Strategies and associated implementation plans in place. Work with front-line assessment teams and the provider market. Utilisation of a variety of support mechanisms (e.g. quality assurance processes and housing panel); work in care homes, early intervention and transforming domiciliary care.	Sue Wallace-Bonner	Ongoing	4	3	12
2	Pooled budget management now in place and includes escalation to management team.	Sue Wallace-Bonner	Quarterly	3	3	9

Implementation of High Risk Mitigation Measures (People Directorate -ASC) – Quarter 2 to 30th September 2019

3	Transition Team established for people with complex needs with associated policies, procedures and effective processes in place to ensure comprehensive assessments undertaken and service options explored.	Sue Wallace-Bonner	Quarterly	3	2	6
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Progress update:

1. Risks associated with finding timely and appropriate placements for people with complex needs. Strategies remain in place to manage risk
2. Financial risks related to complexity of needs for people returning to the borough from out of area treatment centres for Mental Health. Process remains in place for monitoring out of area treatment placements
3. Ensure appropriate policies, processes and systems are in place to ensure the safe transition of service users from Children’s Services to Adults Services. Transition team remains in place

Originating Department:	Adult Social Care	Completion Date:	September 2019
Contact Officer:	Sue Wallace-Bonner	Authorising Officer:	Sue Wallace-Bonner

Business Objective / Project	
Ref	Description
2	Working in partnership with statutory and non-statutory organisations, evaluate, plan, commission and redesign services to ensure that they meet the needs of and improve outcomes for vulnerable people.

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Ability to continue to deliver self-directed support and personal budgets due to current financial situation.	4	4	16
2	Failure to implement the Homelessness Reduction Bill - Completed	1	1	1

Implementation of High Risk Mitigation Measures (People Directorate -ASC) – Quarter 2 to 30th September 2019

Assessment of residual risk(s)						
Item	Risk control measure(s)	Lead Officer	Timescale / review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Ensure that arrangement/mechanisms to deliver self-directed support and personal budgets remain financially viable. Undertake monthly monitoring of the Community Care Budget and if necessary prepare effective recovery plans and report progress through to Management Team.	Sue Wallace-Bonner	Monthly	4	4	16
2	<p>Effectively manage: Homelessness Reduction Bill</p> <p>The Homelessness Reduction Act was introduced in April 2018, placing additional statutory requirements on the Local Authority to prevent homelessness. Strategic and operational measures are in place to effectively administer the process. Ensure that IT, staffing and funding arrangements are in place to effectively deliver the service, which will be monitored quarterly by Ministry of Housing. Improve partnership working to develop consistency and joined up approach to tackle rough sleeping and reduce homelessness.</p> <p>Failure to comply and correctly administer the Homelessness Reduction Act will result in further judicial review and legal challenges. Homelessness reduction act fully implemented.</p>	Lindsay Smith	Ongoing	1	1	1

Progress update:

- Ability to continue to deliver self-directed support and personal budgets due to current financial situation. Systems remain in place to maintain self-directed support and personal budgets. Financial monitoring continues as planned

	Adult Social Care	Completion Date:	September 2019
Contact Officer:	Sue Wallace-Bonner	Authorising Officer:	Sue Wallace-Bonner

Implementation of High Risk Mitigation Measures (People Directorate -ASC) – Quarter 2 to 30th September 2019

Business Objective / Project	
Ref	Description
	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.

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Failure to effectively monitor service quality, which could put service users at risk.	4	4	16
2	Financial constraints due to reduced budgets and continuing Government efficiencies.	5	4	20

Assessment of residual risk(s)						
Item	Risk control measure(s)	Lead Officer	Timescale / review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	1.1 Integrated Safeguarding Unit. 1.2 Effective systems within the Quality Assurance section. 1.3 Case File Audits 1.4 QA Framework	Sue Wallace- Bonner	Quarterly	4	2	8
2	Regularly monitor financial situation to ensure balanced budget and continued value for money services. Domi Care Care Homes Delivering Services Effectively	Sue Wallace- Bonner	Quarterly	5	4	20

Progress update:
1. Failure to effectively monitor service quality, which could put service users at risk. Quality assurance processes remain in place with regular reporting mechanisms.
2. Financial constraints due to reduced budgets and continuing Government efficiencies. Financial management systems remain in place.

Implementation of High Risk Mitigation Measures (People Directorate -ASC) – Quarter 2 to 30th September 2019

Originating Department:	Adult Social Care	Completion Date:	September 2019
Contact Officer:	Sue Wallace-Bonner	Authorising Officer:	Sue Wallace-Bonner

Business Objective / Project	
Ref	Description
	Effectively consult and engage with people who have Complex Care needs to evaluate service delivery, in the form of an annual survey to highlight any areas for improvement and contribute towards the effective re-design of services where required.

Assessment of current risk(s)				
Item	Identified risk	Impact <i>(Severity)</i>	Likelihood <i>(Probability)</i>	Score <i>(I x L)</i>
	No risks identified.			

Originating Department:	Adult Social Care	Completion Date:	September 2019
Contact Officer:	Helen Moir	Authorising Officer:	Sue Wallace-Bonner

Business Objective / Project	
Ref	Description
	Compliance with the legal requirements of Deprivation of Liberty Safeguards (DoLS). Court of Protection

Assessment of current risk(s)				
Item	Identified risk	Impact <i>(Severity)</i>	Likelihood <i>(Probability)</i>	Score <i>(I x L)</i>

Implementation of High Risk Mitigation Measures (People Directorate -ASC) – Quarter 2 to 30th September 2019

1	Failure to comply with statutory duty due to the impact of the Supreme Court Judgement.	4	4	16
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Assessment of residual risk(s)

Item	Risk control measure(s)	Lead Officer	Timescale / review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	1.1 Regular monitoring of demand and updates to SMT 1.2 Effective systems within IASU 1.3 Ensure ongoing training of BIA	Sue Wallace-Bonner	Quarterly	4	4	12

Progress update

- 1.1 Regular monitoring of demand and updates to SMT
- 1.2 Effective systems within IASU
- 1.3 Ensure ongoing training of BIA

Performance Overview Report – Enterprise, Community & Resources

Reporting Period: **Quarter 2 – 1st July 2019 – 30th September 2019**

1.0 Introduction

- 1.1 This report provides an overview of issues and progress within the directorate that have occurred during the period.

2.0 Key Developments

- 2.1 There have been a number of developments within the Directorate during the period which include:-

Financial Services

- 2.2 On 04 September 2019 the Chancellor of the Exchequer set out the Government's spending plans for 2020/21. The announcement included councils increasing core spending power by £2.9bn against 2019/20 allocations, including additional funding for social care and schools. Confirmation was also received of the continuation of the Liverpool City Region 100% business rate retention pilot for 2020/21.
- 2.3 For the financial year to 30 June 2019, overall Council net spending was £22.3m against a budget of £21.1m, resulting in an overspend position to date against budget of £1.2m. Spending on capital schemes for the same period totalled £6.4m, representing 17.4% of the total capital programme of £36.8m. Spending to 30 September 2019 will be reported to Executive Board on 14 November 2019.
- 2.4 In July the Business Efficiency Board approved the Council's 2018/19 Annual Governance Statement (AGS). In the AGS the Council identifies developments that may affect the Council's governance arrangements and sets out an action plan explaining how the Council is to address those issues. The action plan in the 2018/19 AGS covers the following issues that may impact on the Council's governance arrangements: the ongoing funding pressures; the peer review; review of the Council's corporate priorities; and the Ward Boundary Review.

Policy, People, Performance & Efficiency

- 2.5 Recruitment work continues to be in high demand particularly within Adult Social Care Services (ASC) where this has resulted from increasing pressures within Social Care Services and the growth within the Care Homes Division. In addition a significant number of appointments have been made to teaching and other school staff posts.
- 2.6 From November 2018 to July 2019 a total number of 260 Council positions were filled, 86 of which related to ASC services. In addition appointments were made to 247 school related posts.
- 2.7 The ILM (Institute of Leadership & Management) Level 5 Award in Leadership & Management has now been completed. Of a cohort of 12 employees who started in April 2019, 10 have successfully achieved the qualification and further support and guidance is being offered to the remaining candidates to achieve the desired standards. An ILM Level 3 in Leadership & Management commenced in September 2019 with 11 candidates.

- 2.8 The 2019 staff survey has recently been undertaken. Overall response was 46%, the best response rate since the 2011 survey. Data and findings will be used to contribute to the next iteration of Organisational Development Strategy for the Council, along with observations and findings from the recent Peer Challenge undertaken by the Local Government Association.
- 2.9 As part of ongoing Organisational Development within the Council, the Employee Recognition and Award scheme accepted nominations during the summer. Winners have been notified and an awards ceremony takes place on 24th October.

ICT and Support Services

- 2.10 The rollout of the VDi Desktop system is now nearing completion and this significant and highly technical infrastructure project has been a great success enabling the centralisation of services and data assets across the desktop environment whilst saving the authority considerable sums in replacement devices.
- 2.11 Adult Learning, a long standing and complex programme driven by the authority has now also benefited from the use of VDi. This development is now in place, the project was considerably larger than expected but has been integrated within the new Halton Learning & Libraries platform. This has allowed for the development of a true Learning domain and technical environment to support both Halton Schools, Libraries and the Further Education environment allowing the authority to develop upon its community based Digital Strategies.
- 2.12 During quarter 2 of 2019/20, the Contact Centre handled 21,662 calls, generating 29,078 cases with an average wait time for that quarter of 5 mins and 27 secs. The majority of calls related to issues concerning Council Tax (21%), Adult Social Care (16%) and Waste Management (16%). As may be expected the remainder of calls covered a wide variety of Council services in relatively equal measure.
- 2.13 During the same period One Stop Shops handled 21, 541 enquiries with average waiting times of 6 – 9 minutes across all facilities. The nature of enquires was slightly transposed when compared to the Contact Centre in that the majority of enquires related to Adult Social Care (27%) followed by those concerning Council Tax (25%).

Economy, Enterprise and Property

- 2.14 The feasibility study to convert Belvedere into a 30 bed care facility for older vulnerable people with complex needs has now been completed. The estimated total cost of the project is £3.23m. Capital funding is currently being sought for the project and unfortunately the bid submitted to the One Public Estate fund to help develop the project proved unsuccessful.
- 2.15 Devolution of the Adult Education Budget came into play on 1st August 2019. This sees the budget for HBC's adult learning team managed by the Combined Authority. As well as the grant funded AEB providers (local authorities and FE colleges), the Combined Authority commissioned a range of other providers to deliver on AEB. During Quarter 2 the Divisional Manager met with a number of these providers to ensure no duplication in the borough.
- 2.16 Constructive discussions between the Employment Learning and Skills Division, HBC's Adult Social Care Service and Riverside College took place in Quarter 2 with regards to a joint project to help train and recruit local people into jobs within the 4 care/nursing homes recently brought into council ownership.
- 2.17 In relation to Asset Management the key acquisitions and disposals during the quarter 2 period were;
- Approval of the Executive Board 19th September 2019 to the Disposal, Acquisition, Retention Strategy

- Gorse Point Widnes – completion of drawdown of part approx. 18 acres by the developer
- Acquisition of land at Crow Wood Lane Widnes for the provision of sheltered housing completed 6 Sept 2019
- Acquisition of St Patricks nursing home, Crow Wood Lane, Widnes completed 30 Sept 2019
- Acquisition of St Luke's, nursing home, Palacefields Ave, Runcorn completed 30 Sept 2019
- Completion of land to Sandon Global, Tudor Road, Manor Park, Runcorn – disposal of land by way of building lease
- Academy Transfer of Ditton primary school, Widnes was completed in July with the academy Transfer St Michael and St Thomas, Spinney Ave, Widnes being completed in August 2019.

2.18 Onward and Riverside Housing has now appointed Avison Young to progress a delivery plan for the regeneration of Murdishaw.

2.19 In regards to 3MG Alstom have confirmed the land they require at HBC Field for future phases, which consists of 7.4 acres for development and 5 areas for rail sidings. This leaves a balance of 27 acres which can be put to market. Executive Board agreed the option in July. A new option is being drafted, expected date for completion 1 November 2019.

2.20 Liberty also completed their first speculative warehouse of 108,000 ft² in June 2019 and are now marketing it to end users.

Policy, Planning & Transportation

2.21 The Consultation on the Local Plan started at the end of July and ended in September. Officers are working on the responses received and will prepare a report for Council with a recommendation for submission to the Secretary of State.

2.22 Pre-start arrangements for the Silver Jubilee Bridge cable change works were progressed during Quarter 2. The specialist sub-contractor appointed to undertake this work has now mobilised to site and works are expected to be completed during the quarter 3 period.

2.23 The footpath link from Warrington Road to Watkinson Way, which is being funded by Halton Housing Trust is now nearing completion and the Runcorn De-linking and demolition works commenced in March 2019 are expected to be completed by summer 2020

Community & Environment

Libraries and Leisure and Community Centres

2.24 The Library service is presently working with the Audience Agency which is a National Portfolio Organisation which assists the cultural sector to build reach, relevance and resilience through the use of research and insight. This will allow the service to better understand audience needs and provide tools to increase understanding and participation.

2.25 Blood Pressure Readings can now be taken by Fitness Advisors at Brookvale Recreation Centre and Kingsway Leisure Centre, with Runcorn Swimming Pool, to follow in October. This enables the Leisure Service to add further value to the health awareness agenda across Halton.

2.26 Promoting physical activity in the Leisure area continues to be a key priority. Nationally there is an increased focus on improving the physical activity levels within the general population. Halton continues to recognise its importance, supported by a number of national initiatives, designed to act as a catalyst for a change in attitude towards physical activity.

- 2.27 A group led by a member of staff from Upton Community Centre has established a local community garden group. With the support of Area Forum, flower beds have been installed at the centre. The group has worked with the Community Payback team to clear the area from debris, making the area safe for its users and continues to work with Rainbows, Young Addaction and Halton Day Services to encourage children and vulnerable adults to participate in the initiative.
- 2.28 During the school summer holidays (August) the Upton Community Centre also scheduled a four week programme of activities for children aged 7-14 years old. The centre, in partnership with HBC Sports Development team, delivered a variety of sports sessions including indoor archery, football, table tennis and indoor climbing. The sessions were very popular with approximately 180 children attending the eight sessions in total. Climbing wall sessions in particular proved very popular with the majority of sessions being oversubscribed. A number of parents commented on how valuable these events have become during the summer holidays and expressed their hope for the sessions to continue in the future.
- 2.29 Various events were hosted across community centres in the borough during quarter 2 including, for example Summer Fayres which proved to be well received and attended by local residents. Additionally a coffee morning organised by staff at Castlefields Community Centre raised over £600 for the charity.

Environment

- 2.30 Garden Waste Collections have been the subject of stakeholder consultation. The government has proposed that Councils should offer a free collection of garden waste. Stakeholder respondents were generally not supportive with only 20% of local authorities being in agreement. The most common concern being the financial impact upon budgets. Given the level of opposition to this proposal, the government has said that it will give further consideration to the costs and benefits before making a final decision on whether garden waste collections should be free of charge, or whether charging should be a matter for local decision making. Further information is now awaited.
- 2.31 Funding for new Government policies is a key consideration. Government has given a commitment to ensure that local authorities receive additional resource to meet any new net costs arising from its new policies—such as free garden waste and weekly food waste collections. It has indicated that this includes both up front transition costs and ongoing operational costs. Further updates will be provided as additional clarification is received on this issue.

3.0 Emerging Issues

- 3.1 A number of emerging issues have been identified during the period that will impact upon the work of the Directorate including:-

Financial Services

- 3.2 Work is underway on revising the Medium Term Financial Strategy (MTFS); this is being continually updated as new information is received on a regular basis. The MTFS will be reported to Executive Board on 14 November 2019. Work is underway on preparing the Council's 2020/21 revenue budget and three year capital programme.
- 3.3 The Department for Work and Pensions are currently developing their computer systems so that they can share claimants benefit data they hold with local authority benefits services. Local authority computer systems will be alerted to these changes and the appropriate adjustment made to a person's Council Tax Reduction and/or Housing Benefit entitlement. This is scheduled for implementation from 1st April 2020.

Policy, People, Performance & Efficiency

- 3.4 April 2020 will see the implementation of some HR policy changes (a requirement for clear terms for all workers, a 52 week reference period for statutory holiday pay, and a lower threshold for setting up information and consultation arrangements). These can be implemented into the Council's HR procedures with relative ease.
- 3.5 The engagement of agency workers to meet increased service demand in areas such as adult social care continues. The HR service is supporting operational areas to restructure services that were transferred inwards under the Transfer of Undertakings (Protection of Employment) Regulations and that have been areas of high usage, with a view to establishing a more stable permanent staff structure. The recent acquisition of two more care homes is likely to mean that this method of resourcing will continue into the medium term.

ICT and Support Services

- 3.6 Further to previous reports and following recent licensing changes under the new Microsoft Enterprise agreement, there is a need to co-locate systems and services within the Microsoft Cloud as well as within the Halton Data Centre locations. This is known as a Hybrid approach; allowing the vast majority of the system capabilities to stay under the control of the HBC technical teams with certain aspects located within Microsoft.
- 3.7 Work is now underway to transfer and integrate the use of Microsoft Email services and the use of Microsoft Office products into this new environment. This will also initiate a number of Security based projects that will be essential to safeguard the authority's data assets and limit any malicious attacks upon the Council's data assets.

Legal and Democracy

- 3.8 The order in respect of the boundary review is expected to be laid before Parliament early in Quarter 3, and Officers are prepared for the necessary implementation measures to be undertaken.

Economy, Enterprise and Property

- 3.9 The outcomes of various European Social Fund bids will hopefully become known in Quarter 3. If successful, the Kingsway Learning Centre adult learning facilities and equipment would be significantly improved and digitalised. In addition, the existing Ways to Work programme would see it continuing until June 2023.
- 3.10 Halton Borough Council continues to be at the forefront of the deployment of a sustainable, zero carbon, hydrogen economy in the North West and is supporting the Combined Authority and a range of industrial partners to develop a 'Zero Carbon Roadmap' which will both articulate and place into a deliverable timeframe a number of major green hydrogen production, distribution and storage schemes which have the potential to have a significant impact upon the Borough.
- 3.10 Officers are now fully engaged with the deployment of the new Liverpool City Region Growth Platform, the single entity charged with increasing inward investment and driving business growth across the City Region. They are represented on the Liverpool City Region Inward Investment Board and Place Marketing Board and will seek to raise awareness of the new funding streams associated with the Growth Platform amongst the business community in Halton as and when they become available.

Policy, Planning & Transportation

3.11 Completion of the RAV deck refurbishment (LCR Task 16) has been affected by the forthcoming demolition works within the Runcorn Delinking scheme and the STEP cycleway improvements on the viaduct. Measures to mitigate delay and complete the full scope of the works in Quarter 4 of 2019/20 are under discussion.

Community & Environment

3.12 Collection of a consistent core set of recyclable materials is featured within the Governments Resources and Waste Strategy for England and it has confirmed that it will be seeking to amend legislation to require all councils in England to collect 'at least' the following materials from 2023:

- Glass bottles and jars;
- Paper
- Card
- Plastic bottles
- Steel and aluminium tins and cans.
- Plastic pots tubs and trays.

3.13 The government has said that it will also legislate to ensure that every local authority provides householders with a separate food waste collection by 2023, indicating that it will take comments received in respect of the support that local authorities would need to deliver weekly food waste collections into consideration as it develops the next steps of the proposals.

3.14 As noted within the Key Developments section of this report the financial implications of such changes for the Council are not yet fully known and additional information in this regard will be provided as further clarification from central government emerges.

4.0 Risk Control Measures

4.1 Risk control forms an integral part of the Council's Business Planning and Performance Monitoring arrangements. As such Directorate Risk Registers were updated in tandem with the development of the suite of 2019 – 20 Directorate Business Plans.

4.2 Progress concerning the implementation of all Directorate high-risk mitigation measures are included as appendices to this report.

5.0 High Priority Equality Actions

5.1 Equality issues continue to form a routine element of the Council's business planning and operational decision making processes. Additionally the Council must have evidence to demonstrate compliance with the Public Sector Equality Duty (PSED) which came into force in April 2011.

5.2 The Council's latest annual progress report in relation to the achievement of its equality objectives is published on the Council website and is available via:






<http://www4.halton.gov.uk/Pages/councildemocracy/Equality-and-Diversity.aspx>

6.0 Performance Overview

- 6.1 The following information provides a synopsis of progress for both milestones and performance indicators across the key business areas that have been identified by the Directorate. It should be noted that given the significant and unrelenting downward financial pressures faced by the Council there is a requirement for Departments to make continuous in-year adjustments to the allocation of resources in order to ensure that the Council maintains a balanced budget.
- 6.2 Whilst every effort continues to be made to minimise any negative impact of such arrangements upon service delivery they may inevitably result in a delay in the delivery of some of the objectives and targets contained within this report. The way in which the Red, Amber and Green, (RAG), symbols have been used to reflect progress to date is explained at the end of this report.

Financial Services

Key Objectives / milestones









Ref	Milestones	Q2 Progress
FS 01a	Report 2020-23 Medium Term Financial Strategy to Executive Board - November 2019.	
FS 01b	Report 2020/21 revenue budget, capital programme and council tax to Council - March 2020.	
FS 03a	Publish the Statement of Accounts following external audit by 31st July 2019.	
FS 04a	Establish Treasury Management Policy and report to Council - March 2019.	
FS 05a	Establish and report prudential indicators to Council - March 2019.	

Supporting Commentary

Medium Term Financial Strategy (MTFS) will be reported to Executive Board on 14 November 2019. The financial forecast is being regularly updated. Revenue budget, Capital Programme and Council Tax on track to be reported as planned.

Due to a technical accounting issue with regard to the valuation on the Mersey Gateway Crossing the External Auditor was unable to publish an audit certificate or opinion by 31 July 2019. Work is ongoing with the external auditor to reach agreement on the issue. Government have confirmed that this year there will be no consequences from not meeting the deadline, as nationally the outcome of a recent court case has meant year-end pension figures have had to be recalculated for every council, causing a large proportion of councils to miss the 31 July deadline.

Key Performance Indicators

Ref	Measure	18/ 19 Actual	19 / 20 Target	Q2 Actual	Q2 Progress	Direction of travel
FS LI 01	Receive an unqualified external audit opinion on the accounts.	Yes	Yes	n/a		n/a
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	n/a		n/a
FS LI 03	Proportion of Council Tax that was due that was collected	94.75%	94.25%	55.05%		
FS LI 04	The percentage of Business Rates which should have been received during the year that were received	98.32%	97.50%	57.40%		
FS LI 05	Average time for processing new claims (Housing Benefit & Council Tax Reduction)	16.90 (Days)	20 (Days)	16.17		

Supporting Commentary

Audit of 2018/19 statement of accounts ongoing. The Council's external auditor commented in the 2017/18 Audit Findings report that it was satisfied that the Authority has put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources.

The external auditor also concluded that they were satisfied with management's assessment that the Council will continue for the foreseeable future and that the going concern basis was appropriate for the 2017/18 financial statements.

The Audit Findings report relating to the 2018/19 financial statements has not yet been published.

Whilst Council Tax collection is marginally lower than at the same time last year by 0.02% the budgeted level of collection for 19/20 is expected to be achieved. Business Rates collection is p by 0.39% when compared to the same period last year.

The processing of benefit claims and changes in circumstances remains positive.

Policy, People, Performance & Efficiency

Key Objectives / milestones

Ref	Milestones	Q2 Progress
PPPE 01a	Promote and take forward the delivery of actions identified within the Organisational Development Strategy May 2019	
PPPE 02a	Establish 10 new apprentice placements within Council services, compliant with the requirements of apprenticeship legislation March 2020	
PPPE 02b	Establish 20 new existing employee apprenticeships to enable up-skilling in a range of business areas, compliant with the requirements of apprenticeship legislation March 2020	
PPPE 04b	Implement resourcing plans with service management in appropriate areas September 2019.	
PPPE 04c	Ongoing monitoring of agency usage and spend April, September, December 2019, and March 2020.	
PPPE 05a	Identify service areas with highest consistent recruitment demand, turnover, and low attraction rates September 2019.	





Supporting Commentary

The actions identified within the Organisational Development Strategy continue to be progressed as described within the Key Developments section of this report.

A further 2 apprenticeship placements were established during the quarter bringing the total to date for 2019 - 20 to 5. Additionally 10 existing employee apprenticeships are in place at mid-year with a further 35 in progress to be established during the second half of the year.

Regular engagement with Service Managers continues in regards to resourcing plans and a range of interventions have now been delivered or are in progress to meet operational requirements. Additional detail regarding agency usage is provided in the table below.

Key Performance Indicators

Ref	Measure	18/ 19 Actual	19 / 20 Target	Q2 Actual	Q2 Progress	Direction of travel
PPPE LI 01	The number of working days / shifts lost due to sickness (Corporate)	11.36 (Days)	10 (Days)	5.16		
PPPE LI 07	Total Agency Worker Cost (cumulative cost – year to date)	£1,967,098 (Gross Cost)	£1.5m (Gross Cost)	£1.1M		

Ref	Measure	18/ 19 Actual	19 / 20 Target	Q2 Actual	Q2 Progress	Direction of travel
PPPE LI 08	Apprenticeship placements (Cumulative – year to date)	15	20 (Government target is 55)	5		
PPPE LI 10 ¹	The percentage of top 5% of earners that are: ¹					
	a) Women	57.74%	50.00%	60.63%		
	b) from BME communities	2.53%	1.50%	3.45%		
	c) with a disability	0.93%	8.00%	1.18%		
PPPE LI 13	Average time to recruit (Days)	N / A	19	12	Refer to comment	Refer to comment

Supporting Commentary

Sickness levels are very similar to those when compared to the same point last year (5.13 days) and slightly above targeted mid-year level of 5 days. The number of staff without sickness remains relatively high and this measure will be monitored to determine any trends that may exist to inform future management action and support.

Cumulative agency spend is slightly higher at half year point than in previous year (£1.05m). Placement costs have increased as a result of NJC pay award and revision of pay scales in April 19. Continuing pressure on adult care services continues to drive usage and the annual target is likely to be missed.

With regards to top 5% of earners there is positive movement on two of three component indicators (a) and (b), both of which are above target. Fluctuation exists in (c), due to turnover. It should be noted that recruitment in to 5% of earners is very limited, and as such scope for significant change is low.


Average time to recruit is a new measure for 2019 – 20 and is presently falling within annual target level.

ICT and Support Services

Key Objectives / milestones

Ref	Milestones	Q2 Progress
ICT 01a	Continued Enhancement of the virtualization platform to enhanced or new technologies - March 2020 .	
ICT 01b	Further development of Cloud Services Platform - March 2020 .	
ICT 01c	SharePoint and Records Management enhancements - March 2020 .	

¹ Performance targets for these measures take account of local demographic profiles

Ref	Milestones	Q2 Progress
ICT 02c	Improvement and enhancement of all web based customer interfaces - March 2020.	





Supporting Commentary

As discussed within the body of the report the virtualisation project is moving forward at great pace and is exceeding targets for its deployment – with new projects now being considered utilising these technologies. The Cloud Services Platform is now in place with technical upgrades to the underlying server infrastructure planned.

SharePoint and Records Management enhancements have been successfully implemented with software and hardware upgrades being deployed in both of the Council's data centres.

The development of the Cloud system has resulted in internal and external clients now utilising this solution delivering Council services to partners, clients and internal users.

Key Performance Indicators




Ref	Measure	18/ 19 Actual	19 / 20 Target	Q2 Actual	Q2 Progress	Direction of travel
ICT LI01	Average availability of the Council's operational servers (%).	99.5%	99.00%	99.99%		
ICT LI02	Average availability of the Councils WAN infrastructure (%).	100%	99.00%	99.98%		

Supporting Commentary

Availability of servers and infrastructure remains virtually at ceiling.

Legal & Democracy









Key Objectives / milestones

Ref	Milestones	Q1 Progress
LD 01	Review constitution - May 2019.	
LD 02a	To ensure that all members have been given the opportunity of a having a MAP meeting where desired.	
LD 02b	To induct all new members by October 2019.	

Supporting Commentary

The revised Constitution was approved at annual Council in May and all Members have had the opportunity to have a MAP meeting with inductions for new Members now being complete.







Key Performance Indicators

Ref	Measure	18/ 19 Actual	19 / 20 Target	Q2 Actual	Q2 Progress	Direction of travel
LD LI 01	No. Of Members with Personal Development Plans (56 Total).	55 (98.21%)	56 (100.00%)	55 (98.21%)		
LD LI 03	Average Time taken to issue prosecutions from receipt of full instructions (working days).	10 (Days)	10 (Days)	10 (Days)		
LD LI 04	Average time taken to file application for Care proceedings at Court from receipt of all written evidence.	3 (Days)	3 (Days)	3 (Days)		
LD LI 05	% of Executive Board minutes published within 5 working days after the meeting.	100%	100%	100%		

Supporting Commentary

All indicators are showing positive performance at the half-year stage and there is no indication at this stage that annual targets cannot be achieved.

Economy, Enterprise and Property**Key Objectives / milestones**

Ref	Milestones	Q2 Progress
EEP 01b	To increase the Key Account Management (KAM) portfolio to 75 by March 2020	
EEP 02c	Market the remaining land at HBC Field by October 2019	
EEP 02f	(3MG Ditton Corridor) Devise a partnership agreement to work with land owners and prospective developer at Foundry Lane by December 2019	
EEP 02g	Commence construction of Project Violet (Sci-Tech Daresbury) by August 2019	
EEP 04c	Secure funding for new station square public realm	
EEP 07c	Deliver all annual programmed maintenance projects by March 2020	

Supporting Commentary











Because of competing priorities the current resource dedicated to KAM is reduced and the number of companies receiving support has remained fundamentally static with the likelihood of meeting the target being diminished.

Marketing of the remaining land at HBC Field commenced in September. Additionally the Council is presently in dialogue with landowners Stobart who have vacant land at Foundry Lane and will look to engage with other landowners to further develop additional land at the site for residential use.

The construction on site of Project Violet has seen some delay and is now expected to commence during quarter 3. Work on the Station Quarter public realm continues to progress in submitting a Transforming Cities Funding application to the Liverpool City Region with the outcome expected in March 2020.

Some works on the annual maintenance programme may yet have to be deferred to 2020 due to funding pressures.

Key Performance Indicators

Ref	Measure	18/ 19 Actual	19 / 20 Target	Q2 Actual	Q2 Progress	Direction of travel
EEP LI 01	Greenhouse gas (GHG) emissions indicator (Tonnes CO ₂ e).	14,811 tonnes CO ₂ e (actual 17/18)	14,663 tonnes CO ₂ e (target 18/19)	11,730 tonnes CO ₂ e (actual 18/19)		
EEP LI 04	Occupancy rates of commercial and investment portfolio.	99% Investment and 93% commercial	99% / 93%	99% Investment and 93% commercial	N / A	N / A
EEP LI 09	Number of People supported into work.	351	300	75		
EEP LI 10	Percentage of learners achieving accreditation.	25%	42%	27%		
EEP LI 13	Number of Businesses Supported.	220	500	83		
EEP LI 14	Number of individuals supported into paid work placements (ILMs)	23	22	16		

Supporting Commentary

EEP LI01 - The reporting requirements for emissions were amended last year whereby the figures for academies are no longer included. 2 schools have converted to Academy status in the reporting period as such the figures reflect this change.

The overall emissions for 2017/18 amounted to 14,811 tonnes. The emissions for 2018/19 are 11,730 tonnes which equates to a 20% overall reduction. Energy consumption has only reduced slightly however as the kw/h-CO2 conversion factor has been amended to reflect the greater mix of renewable energy being generated the overall CO2 emissions have reduced significantly.

The breakdown is as follows:- School Buildings 3531t, Corporate buildings 4624t, Unmetered supply 2173t, Fleet Transport 1088t, & Business Mileage 314t. The target for 2019/20 has been set at 11,612 tonnes CO2e, a 1% reduction. The annual figure for this indicator is a year behind and therefore only reported in the following year.

Occupancy rates across the commercial are investment portfolio remain positive at quarter 2 and in line with expectations.

EEPLI 09 - More than 75 people were supported into work during quarter 2 but as yet further information is awaited from employers so the additional job starts have not yet been claimed. Cumulative job starts claimed to date for the 19 / 20 year is 140.

EEP LI10 - Up to 31st July - 381 learners achieved accreditation in the academic year 2018/19, which is a 2% increase from the previous academic year.

The number of accredited qualifications was negatively impacted due to lack of tutor availability to continue the Functional Skills ICT Level 1 and Level 2 provision and low achievement in Level 1. A new ICT tutor has been recruited for the 2019/20 academic year. A long-term absence for one tutor also impacted on the achievement of accredited qualifications in Employability Skills.

Note – due to the increase of number of learners attending non-accredited courses, this has an effect on the overall total percentage of learners achieving accreditation. Only 32% of all learners were registered on an accredited course.




Up to 30th September – no learners have achieved accreditation as no assessments have been submitted



EEP LI 13 / 14 - Businesses supported are quantified in terms of Growth Hub brokerages in a given period. Growth Hub is delivered by Halton Growth Hub Partnership made up of the Council and Halton Chamber of Commerce & Enterprise. The Chamber is the lead partner and contract holder with respect to Growth Hub delivery.

16 individuals were supported into paid placements (ILMs) in Q2. Cumulative total to date for 19/20 is 25.

Policy, Planning & Transportation

Key Objectives / milestones

Ref	Milestones	Q2 Progress
PPT 02	To deliver the 2019/20 LTP Capital Programme March 2020	
PPT 03	Ensure continued unrestricted availability of the Highway network and to allow future maintenance to be delivered on a steady state, lifecycle planned basis.	
PPT 04	Continue to maintain the Highway Authorities statutory duties in accordance with Section 41 and 58 of the Highways Act.	

PPT 05	Consult on a revised draft Delivery and Site Allocations Local Plan (DALP)	
PPT 06	To ensure that at least one exercise is carried out each financial to test the COMAH plans March 2020	

Supporting Commentary

PPT 02 - in regards to STEP funded Astmoor Busway cycle and walking improvements construction has been delayed by uncharted Statutory Undertakers and is now due for completion early 2020

STEP funded improvements to RAV West to provided footpath widening is progressing and completion is now due in spring 2020

STEP funded improvements to Widnes Approach Viaduct to provide reconfigured footway cycleway is programmed for construction in August 2019 for 3 months.

Following the release of funding construction has recommenced on the STEP funded walking and cycling improvements to Runcorn Canal Tow Path.

PPT03 - Works programmed for Birkdale road, Ryder Road, Hough Green Road, Hale road, Blackburn Avenue to Lovell Terrace, Fieldway Lacey Street, Alforde Street, as part of the Footway Reconstruction Programme have all been completed in the period and works are programmed to commence in spring 2020 on Bishops Way.





Works to provide full width and depth carriageway reconstruction at Liverpool Road from Chestnut Lodge junction to Heath Road, was completed as programmed












PPT 04 - Review of the Highway Safety Inspection Policy and guidance has now been completed.

PPT 05 - The consultation of the Delivery and Site Allocations Local Plan commenced in July and finished in September as planned.

PPT 06 - One COMAH test exercise has been completed as planned and a further exercise will take place during Quarter 4.

Key Performance Indicators

Ref	Measure	18/ 19 Actual	19 / 20 Target	Q2 Actual	Q2 Progress	Direction of travel
PPT LI 02	Net additional homes provided	597	552	Refer comment below	N / A	N / A
PPT LI 03	Number of affordable homes delivered (gross)	63	TBC		N / A	N / A
PPT LI 04	Processing of planning applications (%) as measured against targets for,					
	a) 'major' applications	100%	TBC	100%		
	b) 'minor' applications	96%	TBC	100%		

Ref	Measure	18/ 19 Actual	19 / 20 Target	Q2 Actual	Q2 Progress	Direction of travel
	c) 'other' applications	98%	TBC	85.7%		
PPT LI 05	To ensure a rolling five year supply of housing land. Deliverable supply (units) as a % of rolling 5 year requirement.	197 *	100%	N/A	N/A	N/A
PPT LI 12	Damage to roads and pavements (% above intervention levels) repaired within 24 hours.	100%	TBC	100%		
PPT LI 15	% of network where structural maintenance should be considered: Principal Roads Non-Principal Roads Unclassified Roads	0.3% 1.00% 3%	2.00% 4.00% 9.00%	2.00% 4.00% 9.00%	1.6% 2% 4%	
PPT LI 16	Bus service punctuality, Part 1: The proportion of non-frequent scheduled services on time (%): Percentage of buses starting route on time Percentage of buses on time at intermediate timing points	98.55% 95.00%	98.55% 95.00%	100% 85.02%	 	 
PPT LI 18	% of bus stops with Quality Corridor accessibility features. (No. of stops – 603)	78.00% (455 Bus Stops)	80%	78%		

Supporting Commentary

Information on net additional homes provided and affordable homes delivered become available in the 2020 – 21 quarter 1 period.

PPT 04 - In respect of planning applications Compared to Quarter 2 2018/19 The outcome for Major and Minor Applications remains the same at 100%. There is a marked decline in the speed of decision for "other" applications which shows a 10% decline from 96% (Q2 2018/19) to this quarter where the figure is 85.7%.

Despite this fall all outcomes are above government target figures but further declines in "others" outcome could see the annual result fall below target.





PPT 06/07/08 - The 5 year injury statistics are showing a downwards but relatively static trend based upon available figures supplied by Cheshire Police to the quarter 1 period end.

PPT 12/ 15 - Repairs to damage to roads and pavements is showing a positive level of intervention. However due to budget constraints the proportion of the network where structural maintenance should be considered has risen when compared to the same period last year and programmed interventions will continue to be adopted to mitigate against this as far as possible.

PPT 16/18 - Bus service punctuality remains positive and timings at intermediate points has shown a 3% improvement when compared to quarter 1 of this year.

Community & Environment

Key Objectives / milestones

Ref	Milestones	Q2 Progress
CE 02a	Deliver a programme of extended informal learning opportunities meeting identified local targets - March 2020	
CE 02b	Develop a programme of cultural activity meeting identified local targets – March 2020	
CE 03a	Manage greenspace areas as per the agreed specification - March 2020 .	
CE 04a	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 2020 .	

Supporting Commentary

















A programme of activity has been delivered in Quarter 2 including IT Clinics, school class visits, science club, and STEM activities (science, technology, engineering, maths) such as coding and digital circuits.

Additionally in respect of cultural activity a programme of activity has been delivered in Quarter 2 including the introduction of Premium Content – top quality cultural activity priced at a newly introduced rate as part of the library service exploration into increasing income generation, demonstrating value and developing new audiences.

The greenspace maintenance programme continues to be delivered as planned.

During the second quarter further community engagement events were held in locations across the borough where Officers provided advice and guidance on recycling and waste prevention. It is estimated that to date this year, direct engagement has taken place with circa 1,300 people.

Key Performance Indicators

Ref	Measure	18/ 19 Actual	19 / 20 Target	Q2 Actual	Q2 Progress	Direction of travel
CE LI 01	% Take up of free school meals to those who are eligible - Primary Schools.	76.26%	TBC	84.22%		
CE LI 02	% Take up of free school meals to those who are eligible - Secondary Schools.	84.14%	TBC	76.43%		
CE LI 03	Take up of school lunches (%) – primary schools.	59.61%	TBC	59.62%		
CE LI 04	Take up of school lunches (%) – secondary schools.	74.68%	TBC	72.63%		
CE LI 05	Residual household waste per household.	607kg	TBC	296 kgs		
CE LI 06	Household waste recycled and composted.	40%	TBC	46%		
CE LI 07	Number of active users (physical & digital resources) of the library service during the last 12 months.	614, 391	615,000	590,677		
CE LI 08	Number of physical and virtual visits to libraries (annual total)	636, 827	700,000	344,414		
CE LI 10	Percentage of people physically inactive (KPI 2 from Active Lives survey)	27.9%	27.5%	Refer Comment	Refer Comment	Refer Comment

Supporting Commentary

The take up of free school meals in primary schools has been positively influenced by the Universal Offer for free Key Stage 1 pupils and further work is planned with regard to the take up of FSM in secondary schools.

The take up of school lunches generally is showing similar levels to that of 2018 – 19.

Household waste and recycling figures are currently estimated with the latter subject to seasonal variation. Both are showing a positive trend at this stage when compared to the same period last year.




Both library usage measures remain positive at quarter 2 despite a national decline. External funding and improved partnerships have both been used effectively to further support cultural and learning activities.

Figures for physically inactive are not yet available and the focus in Halton will continue to encourage walking opportunities.




7.0 Application of Symbols

Symbols are used in the following manner:

Progress Symbols

<u>Symbol</u>	<u>Objective</u>	<u>Performance Indicator</u>
Green 	Indicates that the <u>objective is on course to be achieved</u> within the appropriate timeframe.	<i>Indicates that the annual target <u>is on course to be achieved</u>.</i>
Amber 	Indicates that it is <u>uncertain or too early to say at this stage</u> whether the milestone/objective will be achieved within the appropriate timeframe.	<i>Indicates that it is <u>uncertain or too early to say at this stage</u> whether the annual target is on course to be achieved</i>
Red 	Indicates that it is <u>highly likely or certain</u> that the objective will not be achieved within the appropriate timeframe.	<i>Indicates that the target <u>will not be achieved</u> unless there is an <u>intervention or remedial action</u> taken.</i>

Direction of Travel Indicator

Green 	Indicates that performance is better as compared to the same period last year.
Amber 	Indicates that performance is the same as compared to the same period last year.
Red 	Indicates that performance is worse as compared to the same period last year.
N / A	N / A
	Indicates that the measure cannot be compared to the same period last year.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

The purpose of this report is to provide an update concerning the implementation of mitigation measures for those areas of risk which have been assessed as high within the Directorate Risk Register.

Business Area – Financial Management

Assessment of current risk		Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R1	Failure to set a balanced budget, capital programme and council tax in accordance with statutory requirements <i>(Strategic Priority: Corporate effectiveness and business efficiency)</i>	4	4	16		
Risk control measure(s)		Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
R1 a	<i>Medium Term Financial Strategy is updated regularly and informs the budget preparation process which is driven by Management Team and the Members' Budget Working Group.</i>	Ed Dawson Operational Director (Finance)	Annually	4	3	12
R1 b	<i>Given the current scale of Government grant reductions, a strategy for development of budget proposals has been adopted by Management Team and the process for identifying proposals commenced as early as possible.</i>					
R1 c	<i>The budget timetable is structured to ensure the budget preparation process results in approval by Council and in advance of statutory deadline. Regular monitoring ensures the process is kept on track.</i>					
R1 d	<i>Initial budget proposals are presented to Council in December, with further proposals presented to Council in March, to ensure delivery of a balanced budget, capital programme and council tax.</i>					
R1 e	<i>Detailed guidance is provided to all budget managers regarding the process and the timetable to be followed.</i>					
R1 f	<i>The budget is prepared in accordance with statutory requirements and the S151 Officer ensures a balanced budget and council tax is presented for approval by Council.</i>					
R1 g	<i>Collection Fund (Business Rates and Council Tax) balances are monitored on a monthly basis, so that early consideration can be given to the impact of actual collection rates on future budget setting.</i>					

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Progress update

- R1a – The Medium Term Financial Strategy is being updated following the Chancellor’s 2019 Spending Review announcement and will be reported to Executive Board on 14th November 2019. This will inform the budget preparation process being driven by Management Team and the Members’ Budget Working Group.
- R1b – The process for identifying budget savings to meet the forecast budget gap for 2020/21 has been underway since March 2019, via Management Team and with meetings of the Budget Working Group.
- R1c & d – Initial budget proposals have been developed by Management Team and the Budget Working Group, which will be considered by Executive Board on 14th November 2019 and recommended for approval by Council on 11th December 2019. Further budget proposals to deliver a balanced budget will be considered by Council on 4th March 2020, along with setting the level of council tax.
- R1e – Detailed budget preparation guidance and a timetable has been issued to all Budget Managers, who are also being supported by their Finance Officers
- R1f – The estimated Council Tax Base for 2020/21 will be considered by Executive Board on 14th November 2019 and recommended for approval by Council on 11th December 2019. All budget saving proposals are scrutinised by the Finance Department to ensure their robustness, prior to them being presented for consideration by the Budget Working Group. The Local Government Grant settlement in early December 2019 will provide details of the level of funding available to support the Council’s budget. This will enable the S151 Officer to determine that a robust and sustainable budget is presented for approval by Council on 4th March 2020.
- R1g – Business rates and council tax collection rates are being monitored regularly and are reported quarterly to Executive Board and Corporate Policy and Performance Board. The Collection Fund has been monitored closely and as a result the current surplus will be used as a one-off saving to assist with balancing the 2020/21 budget. Police and Fire will be notified as to their respective shares of the Collection Fund surplus. The latest position on collection rates has been taken into account when preparing the Medium Term Financial Strategy.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Assessment of current risk - (Financial Management cont'd)		Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R4	Failure to contain overall spending for the financial year within the Council's annual net budget. <i>(Strategic Priority: Corporate effectiveness and business efficiency)</i>	4	4	16		
Risk control measure(s)		Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
R4 a	Budget monitoring reports are prepared on a quarterly basis and reported to Management Team, Executive Board and Policy & Performance Boards.	Operational Director (Finance)	Annually	4	3	12
R4 b	A budget risk register is maintained with quarterly updates to Management Team.					
R4 c	Budget monitoring is undertaken on a day to day basis between Finance Officers and Budget Holders. Budget monitoring reports are sent monthly to all Budget Holders to assist them to check spend, highlight budget variances and review outstanding commitments.					
R4 d	Action plans put in place and monitored for services identified as potentially overspending significantly against budget, which includes regular monitoring of trends and forecasts for demand led services.					
R4 e	Reasonable levels of general and earmarked reserves are maintained in order to minimise the impact of budget overspends.					

Progress update

R4a/b – Quarter 1 budget monitoring reports have been reported as appropriate. The Council wide quarter 2 budget monitoring report will be presented to Management Team and then to Executive Board on 14th November 2019. Thereafter each Department's financial position will be reported to the relevant Policy & Performance Board. The budget risk register will be updated at the end of Quarter 2 and presented to Management Team during November 2019.

R4c – Budget monitoring is being undertaken on a daily basis by Finance Officers in liaison with Budget Managers. The latter have been issued with budget monitoring reports for their areas on a monthly basis.

R4d – Management Team have received progress reports from those Departments who are currently spending over budget, which outline the steps being taken to bring spending back in line with budget as far as possible by year-end.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

R4e – The level of reserves is reviewed each quarter to ensure they remain reasonable given the spending pressures facing the Council and the outcome is reported to Executive Board. The Reserves and Balances Strategy is being updated and will be presented to Executive Board as part of the Medium Term Financial Strategy on 14th November 2019.

Business Area – ICT Services

Assessment of current risk		Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R5	Network problems or failure prevents the delivery of Council Services. <i>(Strategic Priority: Corporate effectiveness and business efficiency)</i>	4	3	12		
Risk control measure(s)		Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
R5 a	<i>Business Continuity Plans / Disaster Recovery Plans in Place</i>	Operational Director (ICT & Admin)	Annually	3	2	6
R5 b	<i>Key Services identified so that when network problems occur those areas are given priority</i>					

Progress update

Resilience, Business Continuity and Disaster Recovery solutions within the technical environment now merge into similar solutions whereas only 7 – 10 years ago Disaster Recovery was considered to be at the forefront. Technologies are allowing Business Continuity solutions to come to the fore. Solutions such as the authorities Twin Active/Active data centre locations in turn supported by multi-vendor wide area network strategies provide an improved continuity solution in that if one Data Centre incurred issues the 2nd as a can continue to provide services and systems.

This is not to say such services such as system and data Back-Up can be ignored as the authority has invested recently in a new and highly improved back-up solution covering not only its data assets but its infrastructure. The department will continue to develop upon such technologies in a cost effective manner as well as assess the emerging cloud technology opportunities.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Business Area – Legal & Democratic Services

Assessment of current risk		Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R8	Failure to implement effective Corporate Governance Arrangements results in decision making which lacks transparency, accountability, and efficiency. <i>(Strategic Priority: Corporate effectiveness and business efficiency)</i>	4	3	12		
Risk control measure(s)		Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
<i>R8 a</i>	<i>Standard Report formats</i>	Operational Director (Legal & Democratic Services)	Annually	4	1	4
<i>R8 b</i>	<i>Adoption of a written Constitution reviewed annually</i>					
<i>R8 c</i>	<i>Implementation of statutory access to information requirements</i>					
<i>R8 d</i>	<i>Implementation of Overview and Scrutiny arrangements</i>					

Progress update

Standard report formats remain in place and are kept under review to ensure that they continue to be fit for purpose.

The revised Constitution was approved at Annual Council in May 2019 following a recommendation by Executive Board.

Access to information requirements are kept under constant review. Extensive work and training was carried out concerning the implementation of the General Data Protection Regulation in May 2018 and all staff were required to complete an e-training module.

Overview and Scrutiny arrangements continue to operate effectively and necessary amendments are made as & when required.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Business Area – Policy, Planning and Transportation

Assessment of current risk		Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R16	Failure to implement effective Corporate Governance Arrangements results in decision making which lacks transparency, accountability, and efficiency. <i>(Strategic Priority: Corporate effectiveness and business efficiency)</i>	4	3	12		
Risk control measure(s)		Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
R16 a	<i>Business Continuity Plans in place across the Council</i>	Operational Director (Highways and Transportation)	Annually	3	1	3
R16 b	<i>Major Emergency Plan in place and tested</i>					
R16 c	<i>Specialist Emergency Planning team in place</i>					
R16 d	<i>Regular training for key personnel</i>					
R16 e	<i>Joint exercises with other key partners</i>					
R16 f	<i>Severe Weather and Flood Response Plans in place.</i>					

Progress update

Business Continuity

The authority schedules an annual Corporate Business Continuity Management review every November (Quarter:2). The authority's Business Continuity Plans are available via a central Emergency Planning portal where documents can be updated by services as appropriate. There are 3 levels of resilience planning in relation to Business Continuity Management. All service areas have their own individual Business Continuity Plans, which highlights their Priority 1, 2 and 3 services. The Priority 1 and 2 services are captured with the second layer of resilience planning and detailed within the Overarching Directorate Plan for both Enterprise, Community & Resources Directorate and People Directorate. Next step for all Priority 1 and 2 services from the Directorate Plans are captured within the HBC Corporate Business Continuity Plan. The aim is for the whole Business Continuity process to be completed and agreed at Management Team by Quarter:4. This plan is aimed to be validated every 18 months as part of the Emergency Planning Work Programme, usually Quarter: 1.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Major Emergency Plan in place and tested

The HBC Major Emergency Plan is the overarching plan for the response to Major Incidents / Major Incidents within the borough. This plan is the underpinning document which supports specific emergency response plans for the authority, for instance, severe weather, COMAH. This document is activated and used when responding to Major Incidents / Major Incident Standbys within the Borough. The principles of the plan have been used when responding to recent incidents, such as Golden Triangle Fire (Major Incident) during Quarter 1, and a large commercial fire at Tanhouse Lane, Widnes (Major Incident Standby) during Quarter 2. This plan is also activated and tested at Emergency planning events and exercises. This document is updated on an annual basis, usually at mid-year. This document can be accessed via the HBC internal and external websites.

Specialist Emergency Planning team in place

There is an Emergency Planning Team on duty to provide for the response to Major Incidents / Major Incident Standby's which may occur within the Borough. This team is in place for response to incidents, both in and out of office hours. The overarching Emergency Response rota for the authority, has 1 Chief Officer/ Strategic Officer on call, a First Responder and an Emergency Planning Officer. To support this response rota, there is a Communications & Marketing officer for Public Relations response and reassurance to the community available. In the event there is displaced people affected by an emergency within the borough and a place of safety is required, a Rest Centre Manager rota is also agreed on a monthly basis. The authority also has a list of admin support officers who have agreed to be called to support the administration within the Local Authority Emergency Centre, in an emergency situation.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Assessment of current risk			Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R17	Failure to maintain and make available the Councils highway network could lead to adverse consequences for road users and others. <i>(Strategic Priority: Safer Halton / Halton's Urban Renewal)</i>		3	4	12		
Risk control measure(s)			Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
<i>R17 a</i>	<i>Delivery of prioritised maintenance programme</i>		Operational Director (Highways and Transportatio n)	Annually	2	3	6
<i>R17 b</i>	<i>Timely and effective use of Variable Message Signs</i>						
<i>R17 c</i>	<i>Coordination of works to minimise impact.</i>						

Progress update

Halton's Highway Safety Inspection Policy Framework is in place, this is in conjunction with the Highways Asset Management Plan.

The availability of revenue budget remains problematic due to the ongoing fiscal pressures being experienced across all service areas of the Council which will inevitably have an impact upon what can be delivered. As a consequence revenue funding continues to be used in a targeted way paying particular attention to the ongoing safety of the highways infrastructure.

Variable Message Signs continue to be used regularly to help manage the flow of traffic and minimise disruption on the road network as a result of maintenance and urgent works, events and other incidents.

Highway works are managed through permits to help coordinate maintenance to highways including works by utility providers. This alleviates the congestion and disruption that can occur when such works are necessary and allows a greater degree of planned co-ordination of the wider highway network and use of alternative routes etc.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Business Area – Economy, Enterprise and Property

Assessment of current risk			Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R21	Economic Climate resulting in demand for employment support activities outstripping supply of projects		4	4	16		
ECR R22	Reductions in real term of Education and Skills Funding Agency adult learning budgets resulting in less people learning at pre level 2		4	4	16		
ECR R25	Backlog of maintenance on buildings may increase as funding reduces due to financial pressures		4	4	16		
Risk control measure(s)			Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
R21 a	<i>Via the Employment Learning & Skills Partnership through the enhanced partnership model, undertake a mapping of partners' roles and responsibilities and agree key priorities</i>		Operational Director	Annually	3	3	9
R22 a	<i>Work closely with partners to promote a cross-sector approach to addressing issues e.g. Halton Employment Partnership.</i>				2	2	4

Progress update

ECR21 – The Council's has worked with the Combined Authority to identify and access a number of funding streams to respond to demands on the service. These include an allocation from the Adult Education Budget, the Strategic Investment Fund and also the European Social Fund.

ECR22 Resources in marketing, promoting and attracting enrolments have been used to improve the unit cost of delivering the service. The department has also worked to access other funding sources to complement funding received from the EFSA. In line with the risk control measures, the Halton Employment Partnership takes a proactive approach to encouraging partners/providers to update it on activities and services being delivered so that duplication and overlap of effort can be minimised.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Business Area –Community and Environment

Assessment of current risk			Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R29	Cost of using the stadium to disadvantaged/community groups.		4	3	12		
ECR R30	Lack of knowledge of the benefits of the Halton Leisure card.		4	3	12		
Risk control measure(s)			Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
<i>R29 a</i>	<i>Ensure all community user groups are made aware of discounts available.</i>		Operational Director	Quarterly	2	2	4
<i>R30 a</i>	<i>Work closely with Sports Development team to actively promote the HLC to all low income/community user groups.</i>				2	2	4

Progress update

R29a The Stadium is presently producing a leaflet that will highlight the benefits of being a charity or charitable organisation and the discounts available to them, a number of groups presently benefit from these rates.

R30a Work is ongoing with the appropriate people to make them aware of our Leisure Card, and it is publicised in all our Leisure Buildings.

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Business Area –Community and Environment

Assessment of current risk			Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R31	Financial pressures on the service to increase rate of return.		4	3	12		
ECR R33	The cost of a school lunch to low income families.		4	3	12		
Risk control measure(s)			Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
<i>R31 a</i>	<i>Look to source additional funding. Produce a healthy eating policy and have it formally adopted by the Council.</i>		Operational Director	Quarterly	3	2	6
<i>R33 a</i>					<i>Look to seek external/internal funding to help reduce the burden of cost.</i>		3

Progress update

The Government is presently funding KS1 Free School Meals. When a child moves up to KS2 the Universal Credit application has been short circuited, which allows them to have a free meal without waiting the normal 6 weeks.

The Service is guided by the National Nutritional Guidelines and all our menus, including Secondary Schools are governed by them.

A fundamental review has taken place that has seen the introduction of every child in Secondary School receiving a free re-usable water bottle that has gone well..

Implementation of High Risk Mitigation Measures (Enterprise, Community and Resources) – Quarter 2 to 30th September 2019

Business Area –Community and Environment

Assessment of current risk			Impact (Severity)	Likelihood (Probability)	Score (I x L)		
ECR R35	Unwillingness of public to participate in Council recycling services or comply with Council policies will result in increased costs being incurred.		4	3	12		
Risk control measure(s)			Lead Officer	Timescale Review	Residual Impact	Residual Likelihood	Residual Score
R35 a	<i>Produce a Waste Prevention Plan to set out initiatives to help reduce the amount of waste produced in Halton.</i>		Operational Director	Quarterly	4	2	8
R36 b	<i>Ensure sufficient resources are in place to deliver comprehensive community engagement, education and promotional campaigns</i>						
R37 c	<i>Work closely with officers from other Council Departments, external organisations and community groups to deliver projects to encourage residents to participate in Council waste recycling and waste reduction schemes and initiatives.</i>						
R37 d	<i>Consideration of policies and initiatives to incentivise and encourage residents to participate in Council recycling services and initiatives.</i>						

Progress update

The increasing cost of dealing with residual waste means that reducing the amount of waste generated in Halton and recycling as much of what is produced as possible remains a key focus. The Council employs two Community Engagement Officers who are actively involved in activities and delivering initiatives to promote waste prevention and encouraging residents to make full use of the recycling services and facilities provided by the Council. The Council is now signed up to the Liverpool City Region-wide 'Recycle Right' Campaign, which is aimed at removing any confusion over what residents can recycle and is intended to help improve the quality and level of recycling materials collected. As well as working in partnership with other regional local authorities on encouraging improved participation in recycling services, Officers work very closely with Housing Associations and community groups on numerous waste and recycling initiatives.

The review of existing waste and recycling policies, together with consideration of introducing new ones, remains on-going.

REPORT TO: Executive Board

DATE: 27 February 2020

REPORTING OFFICER: Strategic Director – Enterprise, Community and Resources

SUBJECT: Calendar of Meetings – 2020/21

WARDS: Borough wide

1.0 PURPOSE OF THE REPORT

1.1 To approve the Calendar of Meetings for the 2020/21 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 2020/21 Municipal Year, attached at Appendix 1.

3.0 SUPPORTING INFORMATION

3.1 Members are asked to consider and recommend approval of the calendar of meetings for the 2020/21 Municipal Year.

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 2020	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN 2021	FEB	MARCH	APR	MAY
M		1 Dev Control Cttee		3 Dev Control Cttee						1 Dev Control Cttee	1		3 Early Spring Bank Holiday
T		2 Corporate PPB		4	1			1 SEMINAR		2 SEMINAR	2 Dev Control Cttee		4
W		3	1 Regulatory	5	2			2 B E Board		3	3 COUNCIL		5
T		4	2	6	3	1		3		4	4	1	6
F	1	5	3	7	4	2		4	1 New Year Bank Holiday	5	5	2 GOOD FRIDAY	7
S	2	6	4	8	5	3		5	2	6	6	3	8
S	3	7	5	9	6	4	1	6	3	7	7	4	9
M	4	8 CYP&F PPB	6 Dev Control Cttee	10	7 Dev Control Cttee	5 Dev Control Cttee	2 Dev Control Cttee	7 Dev Control Cttee	4 Dev Control Cttee	8 ELS&C PPB	8 SEMINAR	5 EASTER MONDAY	10 Dev Control (prov)
T	5	9 Safer PPB	7 SEMINAR	11 SEMINAR	8 Corporate PPB	6 SEMINAR	3 Corporate PPB	8	5	9 Safer PPB	9	6	11
W	6	10	8 H W Board	12	9 SEMINAR	7 HW Board Regulatory	4	9 COUNCIL	6	10 Mayoral Comm Standards Comm	10 Regulatory	7	12
T	7 Elects Local/ Parish/ Mayoral/ PCC	11	9	13	10	8	5	10 Executive Board	7	11	11	8	13
F	8 Early Spring Bank Holiday	12	10	14	11	9 SEMINAR	6	11	8	12	12	9	14
S	9	13	11	15	12	10	7	12	9	13	13	10	15
S	10	14	12	16	13	11	8	13	10	14	14	11	16
M	11 Dev Control Cttee	15	13	17	14 CYP&F PPB	12	9 CYP&F PPB	14	11	15	15	12 Dev Control Cttee	17
T	12	16 Health PPB	14	18	15 Safer PPB	13	10	15	12 SEMINAR	16	16	13	18 Exec Board Select Com (prov)
W	13	17 Schools Forum	15 COUNCIL	19	16	14 Schools Forum COUNCIL	11 Environment PPB	16	13 Reg Cttee	17	17	14	19
T	14	18 Executive Board	16 Executive Board	20	17 Executive Board	15 Executive Board	12	17	14	18	18 Executive Board	15 Executive Board	20
F	15	19	17	21	18	16	13	18	15	19	19	16	21 ANNUAL COUNCIL (prov)
S	16	20	18	22	19	17	14	19	16	20	20	17	22
S	17	21	19	23	20	18	15	20	17	21	21	18	23
M	18	22 ELS&C PPB	20	24	21 ELS&C PPB	19	16 ELS&C PPB	21	18	22	22	19	24
T	19 Exec Board (Select Comm)	23	21	25	22	20	17 Safer PPB	22	19	23 Health PPB	23	20	25
W	20	24 Environment PPB	22	26	23 B E Board	21	18	23	20 H W Board Schools Forum	24 Environment PPB - Sch Forum	24 H W Board B E Board	21	26
T	21	25	23	27	24	22	19 Executive Board	24	21 Executive Board	25 Executive Board	25	22	27
F	22 ANNUAL COUNCIL	26	24	28	25	23	20	25 Christmas Day	22	26	26	23	28
S	23	27	25	29	26	24	21	26 Boxing Day	23	27	27	24	29
S	24	28	26	30	27	25	22	27	24	28	28	25	30
M	25 Spring Bank Holiday	29	27	31 Summer Bank Holiday	28	26	23	28 Bank Holiday	25 CYP&F PPB		29	26	31 Spring Bank Holiday
T	26	30 SEMINAR	28		29 Health PPB	27	24 Health PPB	29	26 Corporate PPB		30	27	
W	27		29 B E Board		30 Environment PPB	28	25 Regulatory Cttee	30	27		31	28	
T	28		30			29	26	31	28			29	
F	29		31			30	27		29			30	

REPORT TO:	Executive Board
DATE:	27 February 2020
REPORTING OFFICER:	Strategic Director – Enterprise, Community and Resources
SUBJECT:	Halton Local Development Scheme
PORTFOLIO:	Physical Environment
WARDS:	Borough-wide

1. PURPOSE OF THE REPORT

- 1.1. This report seeks approval from the Board of the proposed update to the Local Development Scheme (LDS) (Appendix 1). Councils are required to prepare and keep up to date Local Development Schemes that set out the timetable for production of their Local Plan(s). They identify and describe the Planning Policy documents that the Council intends to prepare and gives target dates for key stages in their production. This update covers the remaining stages in the preparation of the Delivery and Allocations Local Plan.

2. RECOMMENDATION: That

- 1) **the Halton Borough Council Local Development Scheme 2020 Revision (Appendix 1) be formally adopted and shall have effect from 28th February 2020; and**
- 2) **Authority be delegated to the Operational Director: Policy, Planning and Transportation in consultation with the Executive Board Member, Physical Environment ,to approve any minor changes to the wording and/or timelines of the production of documents in the Local Development Scheme as required prior to publication.**

3. SUPPORTING INFORMATION

- 3.1. The Local Plan for Halton currently comprises of the Core Strategy (2013), the Joint Waste Plan (2013) and remaining saved policies from the Unitary Development Plan (2005). The Delivery and Allocations Local Plan will supersede the remaining 'saved' UDP policies and selected policies from the Core Strategy; and will sit alongside the Joint Waste Plan to provide the Development Plan for the Borough.

- 3.2. The Council also has the option to produce Supplementary Planning Documents (SPDs) (e.g. Design of Residential Development) to support policies within the Local Plan or to provide additional guidance.
- 3.3. There is also a number of supporting and process documents that the Council is required to produce including:
- A Sustainability Appraisal (SA) is prepared alongside a planning document, including the Local Plan, to ensure that the document as a whole reflects a balance of sustainable development objectives (social, environmental and economic factors). The SA incorporates the requirements of the European Union (EU) Strategic Environmental Assessment (SEA) Directive 2001/42.
 - A Habitats Regulations Assessment (HRA) is a requirement of the European Habitat Directive and seeks to assess the potential impact of a proposed plan in conjunction with the other plans and policies on one or more European Habitat sites. This is also referred to as the Appropriate Assessment (AA).
 - An Infrastructure Delivery Plan (IDP) will be updated alongside the Local Plan to identify essential supporting infrastructure and services, how they will be delivered and by whom.
 - A Statement of Community Involvement (SCI), which specifies how stakeholders and communities are involved
 - A Local Development Scheme (LDS) that sets out details of each of the documents that will be produced, along with timescales and arrangements for their production.
 - An Authority's Monitoring Report (AMR) setting out progress in terms of producing documents and in implementing policies.
- 3.4. The LDS is a public statement of Halton Borough Council's three year work programme for production of the Local Plan. The process of making Local Plans is a lengthy one, made so by the detailed protocols set out in legislation and regulations. If due process is not followed this becomes a viable legal ground for challenges either in front of an Inspector at Examination or via court action leading to the plan being found unsound or quashed by the High Court.

4. POLICY IMPLICATIONS

- 4.1. Planning applications should normally be determined in accordance with the Development Plan.

“If regard is to be had to the development plan for the purpose of any determination to be made under the Planning Acts the determination must be made in accordance with the plan unless

material considerations indicate otherwise." [Section 38(6): Planning and Compulsory Purchase Act 2004]

- 4.2. This is reiterated in the National Planning Policy Framework (NPPF), which states that Plans should be reviewed at least every 5 years, and policies not reviewed within this time may be considered to be out-of-date. It is important therefore that Halton maintains an up-to-date Local Plan and that efforts are concentrated towards the most crucial elements of this.
- 4.3. Given resource constraints the current LDS is focussed on the delivery of the Delivery and Allocations Local Plan, the key document that will have the most significant impact for the Borough.

5. FINANCIAL IMPLICATIONS

- 5.1. The LDS is a statutory 'process document' and as such has no direct financial implications beyond setting the timetable for the production of different planning documents that may incur expenditure on supporting evidence base, statutory assessments or examination costs.

6. IMPLICATIONS FOR THE COUNCIL'S PRIORITIES

- 6.1. No direct impacts identified. The LDS is a statutory 'process document' that sets out the programme for the updating of the Local Plan, which is intended to assist in the delivery of the Sustainable Community Strategy.

7. RISK ANALYSIS

- 7.1. An LDS is a statutory document. Not having an up to date LDS puts the Authority at the risk of legal challenge. Stakeholders are entitled to rely upon forward notice of the Local Plans that will be produced and may directly impact on their assets or business.
- 7.2. The LDS is an explicit commitment to the delivery of the Local Plan over a definite period. Not having a specific and relatively fixed work programme for Local Plan delivery means that resources are not prioritised and used as effectively as they could be.
- 7.3. The risk of not having an up-to-date Local Plan needs to be fully understood. Without a current Local Plan, the development industry has no certainty over where different types of land use will be permitted; appeals against refusal of planning permission are more likely to be upheld in the developer's favour with the possibility of costs awarded against the Council. An up-to-date Local Plan is needed to retain local control over decision making.

8. EQUALITY AND DIVERSITY ISSUES

- 8.1. Building stronger communities through community engagement and good planning is a key aspect of the Local Plan. The Council is already committed to equality regardless of age, sex, caring responsibility, race, religion, marital status, maternity issues, gender reassignment, socio economic need, sexuality or disability and these commitments are reflected in the Local Plan as far as is relevant. Planning Policy documents are subjected to Equality Impact Assessments during their production to ensure compliance.

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

Document	Place of Inspection	Contact Officer
Saved Policies of the Halton Unitary Development Plan	Municipal Building, Widnes	Alasdair Cross
Halton UDP Proposals Map	Municipal Building, Widnes	Alasdair Cross
Halton Local Development Scheme 2017	Municipal Building, Widnes	Alasdair Cross
The Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended)	Municipal Building, Widnes	Alasdair Cross
National Planning Policy Framework (2019)	Municipal Building, Widnes	Alasdair Cross
Halton Core Strategy Local Plan (2013)	Municipal Building, Widnes	Alasdair Cross
Waste Local Plan (2013)	Municipal Building, Widnes	Alasdair Cross

- 1.1. This document is the Local Development Scheme (LDS) for Halton, and sets out the documents that Halton Borough Council will produce, along with a timetable for the preparation and review of these documents. It provides the starting point for local communities, businesses, developers, service and infrastructure providers and other interested stakeholders to find out what local planning policy documents relate to their area and the timetable for their preparation. The Planning and Compulsory Purchase Act 2004 (as amended by the Localism Act 2011) requires local planning authorities to prepare, maintain and publish a LDS.

Legal Context

- 1.2. The primary legislation that guides the planning system, including the production of Local Plans is set out in the Planning and Compulsory Purchase Act 2004 with amendments from the 2008 Planning Act and 2011 Localism Act. Further detail on procedures for producing Local Plans is contained within the associated regulations, the latest being the Town and Country Planning (Local Development) (England) Regulations 2012 (as amended) which came into force in April 2012.
- 1.3. The Localism Act (2011) included a number of changes to the “plan-making” system including the ability for local communities to prepare neighbourhood development plans that would form part of the overall development plan for the area. Another important aspect of the legislative changes is the duty to co-operate which requires the Council to co-operate with other local planning authorities and prescribed bodies to maximise the effectiveness of the preparation of the Local Plan and supporting activities so far as it relates to a strategic matter.
- 1.4. The National Planning Policy Framework (NPPF) was published in March 2012 and amended in June 2019 by the Department for Communities and Local Government. It sets out the Government’s planning policies for England and the Government’s requirements for the planning system.
- 1.5. National Planning Practice Guidance was launched by CLG in March 2014, it is a completely online resource and is live, which means that guidance can be quickly amended in order to keep it up to date. It provides guidance from CLG to planning professionals to guide them in developing sites, making policies and taking decisions on planning applications.

Development Plan

- I.6. The statutory Development Plan is the set of Local Plans (also known as Development Plan Documents (DPDs)) that together form the statutory basis for determining whether or not planning permission should be granted.
- I.7. Local Plans are planning documents that contain policies for the use and protection or development of land, usually including the allocation of land for development. These must be in general conformity with government guidance, in particular the National Planning Policy Framework.
- I.8. Neighbourhood development plans are community based documents initiated through a parish council or neighbourhood forum. They are required to undergo formal consultation and preparation procedures including an examination by an independent person and a public referendum. Subject to the successful completion of these procedures the neighbourhood development plan will ultimately be adopted by the council as part of the statutory development plan.
- I.9. The Development Plan for Halton currently comprises: the Halton Local Plan Core Strategy (2013), the Joint Waste Local Plan (2013) and parts of the Halton UDP (2005) that have not lapsed, or been replaced by the Core Strategy or Waste Plan.
- I.10. It is intended that in future the Development Plan for Halton will comprise the Halton Local Plan and the Joint Waste Local Plan, along with any Neighbourhood Development Plans that are adopted.
- I.11. Because Parish Councils or neighbourhood forums must agree to produce Neighbourhood Plans on their own behalf and in their own timescale, the local development scheme does not seek to set this out. To date no parishes or neighbourhood areas in the Borough have yet begun the formal process to begin the development of such a plan.







2. Development Scheme

- 2.1. Halton Borough Council is currently only preparing one Development Plan document and this is the Halton Delivery and Allocations Local Plan (incorporating Revised Core Strategy Policies).

Halton Delivery and Allocations Local Plan (Incorporating Revised Core Strategy Policies)

- 2.2. Once adopted, the new Local Plan will provide a robust and up-to-date policy framework to guide future development within the Borough. Specifically, the new Local Plan will:
- a. Replace selected policies from the Halton Local Plan Core Strategy (adopted April 2013) and the remaining saved policies of the Halton UDP (adopted April 2005).
 - b. Refresh and update a number of Strategic Policies of the Core Strategy.
 - c. Include allocations of land for residential, employment, retail, leisure and other land uses.
 - d. Identify areas to be designated and protected for landscape, nature conservation, environmental and heritage reasons.
 - e. Provide policies to guide decision making in the development management process.

Timetable

	2017		2018				2019				2020			
	J-S	O-D	J-M	A-J	J-S	O-D	J-M	A-J	J-S	O-D	J-M	A-J	J-S	O-D
Publication Draft														
Proposed Submission Draft														
Submission														
Examination														
Adoption														

	LDS 2017	LDS 2020
Start	January 2014	January 2014
Initial Scoping Consultation (Reg 18)	January 2014	January 2014
Revised Scoping Consultation (Reg 18)	January 2016	January 2016
Publication Draft Consultation	October 2017	Jan/March 2018
Proposed Submission Draft (Reg 19)	June/July 2018	
		August 2019
Submission	June/July 2018	February 2020
Pre-examination Meeting	October 2018	April/May 2020
Hearing	December 2018	June/July 2020
Receipt of Inspector's Report	April 2019	October/November 2020 *
Adoption	July 2019	January 2021 *

* Subject to need for Main Modifications consultation

2.3. More detail is provided in Appendix A.

2.4. Other documents being prepared by the Council include:

- a. Transport and Accessibility SPD
- b. Environmental Protection SPD

- 2.5. The following supporting documents have been or are being produced by the Council to support the policy contained within the Local Plan and to provide more guidance to those undertaking development or to those making decisions on planning applications.
- 2.6. **Supplementary Planning Documents (SPD)** (and their predecessors, supplementary planning guidance) complement or expand upon local plan policies, for example describing in more detail how an allocated site should be developed. A SPD cannot allocate new sites for development nor contain new policies for the use or development of land, and they must not conflict with the adopted development plan.
- 2.7. SPDs are subject to community involvement but do not require independent Examination. They do not form a statutory part of the development plan for the authority but are a material consideration when assessing any planning application to which they relate.
- 2.8. **Local Development Orders (LDO)** are policy instruments that extend permitted development rights for certain forms of development that the local authority considers to be suitable, either in general or limited to defined areas. LDOs are intended to simplify development. Development that conforms to an LDO would not require planning permission.

Process Documents

- 2.9. A **Sustainability Appraisal Report (SA)** is prepared alongside a planning document, including the Local Plan, to ensure that the document as a whole reflects a balance of sustainable development objectives (social, environmental and economic factors). The SA incorporates the requirements of the European Union (EU) Strategic Environmental Assessment (SEA) Directive 2001/42.
- 2.10. **Habitats Regulations Assessment (HRA)** is a requirement of the European Habitat Directive and seeks to assess the potential impact of a proposed plan in conjunction with the other plans and policies on one or more European Habitat sites. This is also referred to as the Appropriate Assessment (AA).
- 2.11. An updated **Infrastructure Delivery Plan (IDP)** has been prepared alongside the Local Plan to identify essential supporting infrastructure and services, how they will be delivered and by whom.
- 2.12. **Authority Monitoring Report (AMR)** will set out whether the Council is on target to meet the milestones set out in the LDS, it will provide information on whether the policy targets included in the Local Plan are being achieved and will identify key issues that are relevant to the borough that should be used to revise the LDS if necessary.

- 2.13. **Statement of Community Involvement (SCI)** – The Halton SCI was updated and approved in 2019. It sets out how the community will be involved in the preparation, alteration and review of planning policy documents produced by the Council and how they can be expected to be consulted on planning applications.

3. Evidence Base

- 3.1 The key pieces of Halton’s existing evidence base which will be used to support the Local Plan are set out below (please note that other existing evidence base documents may also be used, where required, alongside these):

A	Whole Plan Viability Study (HDH Planning & Development Ltd 2019)	The study assessed the viability impacts of emerging planning policies to ensure that the Local Plan, when taken as a whole, is viable and deliverable and providing evidence to support affordable housing provision from qualifying sites.
B	Liverpool City Region Strategic Housing and Employment Land Market Assessment (SHELMA) (GL Hearn 2017)	This study identifies housing and employment land needs for the City Region over the period to 2037
C	Liverpool City Region Strategic Housing and Employment Land Availability Assessment Vol.2 (March 2018) (GL Hearn)	This study quantifies the potential supply of land for large scale B8 (warehousing).
D	Joint Employment Land and Premises Study (BE Group, 2010)	The study assesses the quantity and quality of employment land in the Borough and recommends future allocations of employment land to maintain economic growth.
E	Halton Retail Study (England & Lyle 2017):	This is a capacity study looking to identify trading roles and performance of the Borough’s main retail centres and to quantify the need, if any, for additional provision.

F	Halton Landscape Character Assessment (TEP, 2009):	This identifies, describes and maps areas according to various landscape character types.
G	Halton Open Space Study (PMP and HBC, 2006).	The study assesses existing and future needs for open space, sport and recreation in Halton and the current ability to meet these needs.
H	Halton Strategic Flood Risk Assessment (HBC, 2007)	Provides a detailed assessment of the extent and nature of the risk of flooding and the implications for future development.
I	Halton Level 2 Strategic Flood Risk Assessment (JBA, 2019)	Detailed flood risk assessment for individual potential development sites, focusing on risk from three primary watercourses.
J	Liverpool City Region Renewable Energy Capacity Study (Arup, 2010):	This study identifies Energy Priority Zones for the delivery of low and zero carbon technologies.
K	Cheshire Gypsy, Traveller and Travelling Showpeople Accommodation Assessment (June 2018)	Assessment of accommodation and related service needs of Gypsies, Travellers and Travelling Showpeople across Halton, Warrington and Cheshire.
L	Liverpool City Region and Warrington Green Infrastructure Framework Draft (Mersey Forest, 2013)	This Framework provides information and new perspectives on green infrastructure across the seven local authorities.
M	Liverpool City Region and Warrington Green Infrastructure Framework Action Plan (Mersey Forest, 2013):	This Plan identifies actions at a city region level that meet key priorities of the Green Infrastructure Framework.
N	Listed Buildings in Halton:	Compendium detailing each of the Listed Buildings in Halton, including location map and image(s) of the property or structure.

O	Mersey Gateway Regeneration Strategy (HBC and GVA, 2008)	
P	Halton Green Belt Study: (HBC 2018):	This study reviews and assesses the Green Belt around Widnes and Hale, Runcorn, Moore, Daresbury and Preston-on-the-Hill.
Q	Strategic Housing Land Availability Assessment (2019 update being prepared)	This is the main mechanism to identify a deliverable and developable supply of sites in the Borough for housing.
R	Halton Housing Land Availability Report (annual update)	This report provides data on land availability and take-up (build) rates for housing within Halton
S	Halton Employment Land Availability Report (annual update)	This report provides data on land availability and take-up (build) rates for employment uses within Halton
T	Liverpool City Region Transport Plan for Growth: (2015)	This document combines the key elements from the Local Transport Plans for Merseyside and Halton
U	Playing Pitch Strategy: (2019) - Study out to tender	This strategy assessed existing and future needs for playing pitch provision in Halton.
V	Halton Local List:	This document will be prepared and will identify the non-designated heritage assets in Halton.
W	Liverpool City Region Ecological Network (MEAS, 2015)	
X	Halton Non Breeding Birds Survey (Avian Consulting 2019):	This survey identified functionally linked habitat associated with the Special Protection Area of the Mersey Estuary for overwintering non breeding wetland birds.

4. Delivery

- 4.1. There will always be an element of uncertainty associated with a document of this nature. It is legitimate to ask how reasonable and achievable are the targets set out above, and what issues may affect the overall delivery of the LDS.
- 4.2. An assumption has been made over the amount of time that will need to be allocated to public and stakeholder involvement. Whilst this has been based on past experience, it cannot accurately predict how many people will wish to engage with the Council on a particular project.
- 4.3. The programme has to be flexible in terms of staff, both the turnover and the allocation of work – neither can be fully accounted for over a three year period.

Project Management and Resources

- 4.4. Preparation of the planning documents will be led by the Council's planning policy team. The work will be complemented by other council officers with specialist expertise in particular areas e.g. housing, urban design, heritage and conservation, leisure, transport, environment, health and legal. In addition, external resources may be called upon, including Merseyside Environmental Advisory Service (MEAS) and consultants for certain projects.
- 4.5. The Operational Director for Policy, Planning and Transportation has a strategic overview of the production of planning policy documents; the Principal Officer for Planning and Transport Strategy is responsible for the management of the programme and document production.
- 4.6. Elected member involvement in plan preparation is primarily via the Local Plan Working Party. This group provides advice and feedback to officers on a range of planning policy matters. The decision to submit the Local Plan to the Secretary of State and subsequent stages up to and including adoption will be via full Council resolution, but agreement to publicly consult on draft documents can be given by the Executive Board

Monitoring and Review

- 4.7. To ensure that the plan process is achieving its objectives, the Authority Monitoring Report (AMR) will set out the progress and effectiveness of the plan preparation processes. The AMR is updated annually and will report key milestones in relation to the progress of the development plan documents and other relevant items.
- 4.8. Unforeseen developments such as the closure of a major employer may lead to the requirement for the Local Development Scheme to be reviewed earlier as this may

require new SPDs or DPDs to be produced urgently whilst other documents are delayed.

Risk Assessment

4.9. The table below identifies possible risks that could be encountered in the implementation of this LDS. It sets out an evaluation of the significance of the potential risk and the mitigation measures to manage risk should it occur.

	Risk	Likelihood	Issue	Mitigation
1	IT Systems	Medium	<ul style="list-style-type: none"> • Insufficient expertise • Resources – software, hardware and staff • Loss of data • Lack of access to data held by other teams • Changes to systems used <p>Could all lead to slippage in the programme.</p>	Staff training, appropriate resourcing, and improvements to data access could reduce these risks.
2	Staffing Issues	High	<ul style="list-style-type: none"> • Loss of experienced staff • Reduced numbers of staff • Sickness <p>Could lead to slippage in the programme, reduced staff moral and motivation, over work of existing staff potentially leading to sickness within the team and thereby increasing the issue.</p>	Prompt recruitment of new staff, or temporary staff and careful management of the work programme could reduce these risks.
3	Political Delay	Medium	<ul style="list-style-type: none"> • Committee cycle dates • Last minute changes and amendments • Change in National or Sub-Regional Government <p>Reporting procedures and long lead in times may lead to slippage in the programme.</p>	Ensuring involvement of members throughout the process and regular reviews of the programmed should help to reduce this risk.

	Risk	Likelihood	Issue	Mitigation
4	Change in National / Local Government Policy	High	All stages of Local Plan preparation are influenced by government policy. Changing policies/priorities and uncertainty for the Local Plan.	Ensure that policy team is abreast of changes in policy.
5	The Planning Inspectorate (PINS) Capacity	Unknown	PINS have an important influence on the Local Plan timetable, particularly at Examination stage. Inability of PINS to meet deadlines due to nationwide demand will lead to delays in adoption.	Regular liaison with PINS re. intended Submission date to assist them in allocation of Inspector..
6	Team undertaking other work	High	Resources are finite (3 FTE). If the project team is required to input in to other priority areas of the Authority or Combined Authority, this is likely to cause slippage in the programme.	Local Plan to be a corporate priority ensuring team remain focused on delivery.
7	Volume of work greater than anticipated	Medium	This may include a higher number of representations than expected, new work areas, or additional evidence base requirements leading to slippage in the programme.	Ensure timetable is realistic and has a degree of built-in flexibility.
8	Duty to Co-operate	Medium	<ul style="list-style-type: none"> • Joint Working • Negotiation When working to differing timelines, priorities for joint working may differ and lead to delays in evidence or discussion taking place.	Ensure that timetables are realistic and reflect partner authorities' / organisations' ability to contribute to joint working.
9	Consultation Fatigue	Medium	<ul style="list-style-type: none"> • Lack of responses • Lack of understanding with regard to the purpose/content of the plan. 	Ensure approach set out in the SCI is used, where possible adopt new ideas to improve consultation. Use plain English.
10	Local Plan is found unsound	Low	The Local Plan cannot be adopted without additional work leading to delay in adopting the plan.	Work closely with PINS to ensure risk is minimised. Utilise the PAS Soundness Toolkit. Keep up to date with best practice and ensure that staff receive appropriate training.

	Risk	Likelihood	Issue	Mitigation
11	Need for further consultation	Medium	It can be hard to predict where and when extra consultation may be required, but may be as a result of the Hearing or due to the levels of comments received.	Ensure timetable is realistic, reviewed regularly and has a degree of built in flexibility.
12	Need for specialist Input	High	It is normally possible to foresee where there is a need for specialist involvement therefore reducing the risk associated with this issue. However, on occasions e.g. where new Government guidance is created, it may be necessary to use specialists without additional time being built into the programme, therefore causing delays.	Ensure that policy team is abreast of changes in policy and allow for some flexibility in the AMR.

Acronyms

AMR	Authority Monitoring Report
CIL	Community Infrastructure Levy
CLG	Department of Communities and Local Government
DPD	Development Plan Document
LDO	Local Development Order
LDS	Local Development Scheme
NDP	Neighbourhood Development Plan
NPPF	National Planning Policy Framework
PPG	National Planning Policy Guidance
SA	Sustainability Appraisal
SCI	Statement of Community Involvement
SPD	Supplementary Planning Document
UDP	Unitary Development Plan

Appendix A:

Local Development Scheme Details

Delivery and Allocations Local Plan (incorporating Revised Core Strategy Policies) (including Policies Map)		
Document Details		
Title	Halton Delivery and Allocations Local Plan (incorporating Revised Core Strategy Policies) (including Policies Map)	
Role and Content	Sets out the vision, objectives and strategy for the development of Halton, including site allocations and development management policies.	
Status	Development Plan Document	
Geographical coverage	Borough wide	
Chain of Conformity	Conforms with the National Planning Policy Framework	
Timetable and Milestones		
Start	Begin collation of evidence and start engaging stakeholders in the early preparation of the document	Commenced
SA Scoping	Consultation on the scope of the Sustainability Appraisal	Jan 2016
Initial Consultation (Regulation 18)	Iterative process – identifying issues and options, developing preferred options and taking account of the evidence base	Jan 2014 and Jan 2016
Publication (Regulation 19/20)	Publish the final draft document and consult for 6 weeks on the content prior to submission	Aug/Sept 2019
Submission (Regulation 22)	Submit the document to the Secretary of State for examination	February/March 2020
Pre-exam meeting	To discuss the format of the Examination. (circa 8 weeks after submission)	April/May 2020
Examination hearings	Examination ‘sitting days’ to hear evidence into the soundness of the Plan. (circa 14weeks after submission)	June/July 2020

Receipt of the Inspectors Report	When the Council receives the report of the Examination from the Inspectorate	Oct/Nov 2020 *
Adoption	Document adopted and published	January 2021 *
Arrangements for Production		
Lead Department	Planning Policy	
Management arrangements	Executive Board approval will be required for public consultation on draft Plan(s). Full Council approval will be required for Submission to the Secretary of State and subsequent stages up to and including adoption.	
Resources	To be provided within the Planning Policy budget.	
Involving Stakeholders and Community	Consultation will be undertaken in line with the Regulations and the Statement of Community Involvement (SCI 2019).	
Post Production		
Monitoring	Monitored by the Authority Monitoring Report (AMR).	
Review	The effectiveness of this Local Plan will be reviewed through the data collected within the AMR.	

* Subject to there not being a requirement to consult on Main Modifications.

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

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