



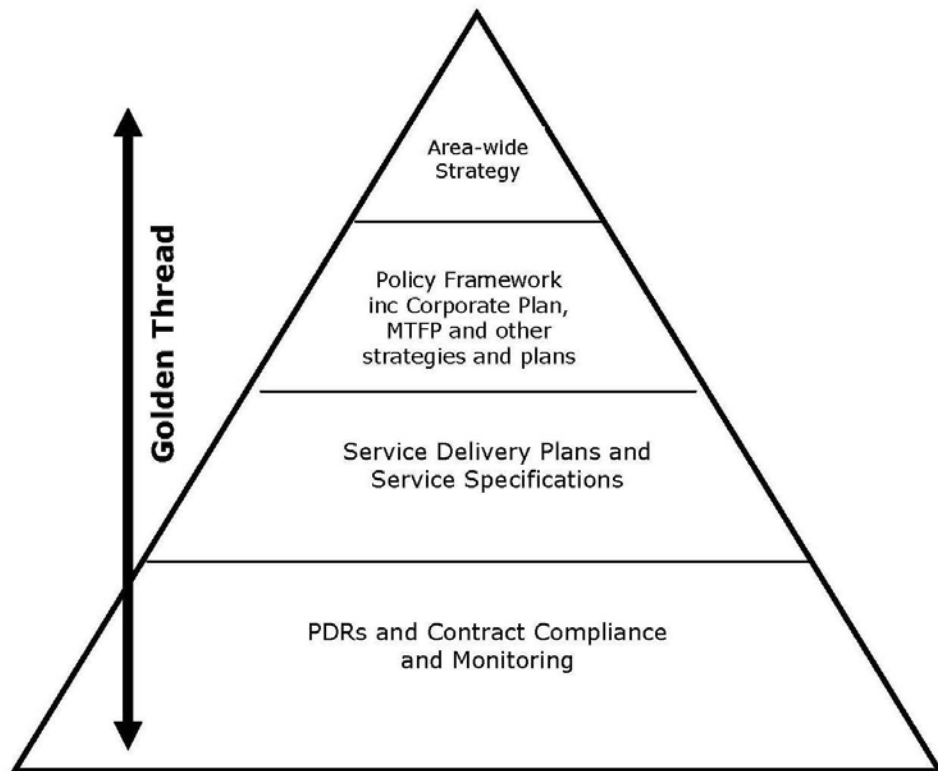
# **Adult Social Care**

## **Service Delivery Plan 2012 – 2015**

## Purpose of this Plan

This Service Delivery Plan sets out the activities that the Adult Social Care will deliver over the next 3 years to improve outcomes for our customers. The Service Delivery Plan forms part of the Council's 'golden thread' which ties together all of the key strategies, from the Area-wide Strategy and our two priorities **One Darlington: Perfectly Placed** down to individual staff PDRs and/or delivery of contracts. The diagram below illustrates the model.

### Golden Thread



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## **Section 1: Who are our customers?**

- Individuals seeking information, advice or guidance
- Adults at risk of abuse (Adult Safeguarding)
- Young people in transition / adults 18+
- Older people, including those with mental health needs
- People with learning disabilities
- People in need of mental health services including substance and alcohol misuse
- People with physical and sensory impairment
- Carers
- Disabled Young People aged 18 – 25 years

### **Core Functions of the service**

The service is made up of the following sections and teams:

#### **Life Stages Service (Disabled Children and Young Adults 0-25 years/ Adults with Learning Disability aged 26plus)**

The Life Stages Service for Disabled Children and Adults with a Learning Disability operates within Darlington Borough Council. This joined up approach provides the following advantages:

- Clear and consistent management structure which will reduce bureaucracy and assist in the removal of barriers.
- An opportunity to establish and embed consistent personal and individual assessment and planning.
- Promotion of 'ordinary life' principle as a central theme to working with service users which would identify and support from an early age the right to continued learning, lasting peer relationships, independence and employment.
- Develop stronger partnerships with families and carers by removing the barrier of confusing and over bureaucratic systems within organisations.
- Advance the inclusion agenda by contributing to the challenge on universal and targeted services to ensure services meet the needs of disabled children and young adults.

### **Mental Health**

**Affective Disorders Team and Psychosis Team** – two integrated mental health teams each with a Team Manager, Social Workers, Approved Mental Health Professionals, Community Psychiatric Nurses, Consultant Psychiatrist, Psychologist, Occupational Therapist and support staff from Tees, Esk and Wear Valleys NHS Foundation Trust and Darlington Borough Council. The teams provide a wide range of community based services for adults in secondary mental health care.

**Mental Health Services Older People** – a co-located team based at West Park Hospital with jointly funded Team Manager, Social Workers, an Approved Mental Health Professional, Community Psychiatric Nurses, Consultant Psychiatrist, Psychologist, Occupational Therapist and support staff from both Tees, Esk and Wear Valleys NHS Foundation Trust and Darlington Borough Council. The team work in partnership to provide services to older people including inpatient and outpatient assessment and treatment, intensive care and rehabilitation services and a wide range of community based services.

## **Community and Re-ablement**

**Intake Team** - comprises one Team Manager; one Senior Practitioner; five Care Managers, two Community Assessment Officers, one Information and Assessment Officer, 1.5 Team Clerk. Team members 'on duty' respond to 'Initial Contacts' and make decisions as to whether these enquiries should be signposted to an appropriate agency (e.g. Enablement, Health Triage, Community Alcohol, Learning Disability and/or Mental Health Services) or if they require a follow up call. If more in-depth discussion is required the 'duty officer' incorporates the person's reasons and views into a Contact Assessment before re-assignment to the relevant team e.g. Re-ablement, Occupational Therapy, Physical and Sensory Impairment, or Complex/Specialist Team should an intensive service be necessary. Team members also do Community/Hospital Assessments and manage and co-ordinate all Safeguarding Alerts, Police Vulnerable Adult reports, Out of Hours Emergency Duty enquiries, PACE rota, Extra Care Housing and assist in the issuing of Blue Badges.

**Re-ablement Team** – comprises one Team Manager; three Care Managers; two OTs; one Clerical Officer, 30hrs Data Support; in addition there are three Agency Care Managers. The service provides person centred and outcome focused services for people in Darlington. The service provides short term intensive interventions that focus on people's personal goals to assist in maximising their independence and regaining the skills necessary for all activities of daily living. The team uses government policy to ensure people receive a service that is distinct from Intermediate Care by offering assessment of need to all service user groups and not just focussing on those with a medical or therapy need. The service focuses on those people who are in need of social care support, rather than those associated with a need for health interventions. The team has recently integrated with health as part of the Intermediate Care Plus programme. The integrated service is called 'RIACT' – Responsive, Integrated Assessment Care Team. A joint manager has been appointed and work is progressing to move towards integrated pathways, which will ensure the person is placed at the 'centre', with quick access to the relevant professionals.

**Reablement Provider Service** – comprises of one Registered Manager, seven Integrated Support Workers eight Reablement Workers. The service works in partnership with the Reablement Team and provides the reablement programme, feeding back progress. The Registered Manager is also responsible for the Home Care Service.

**Occupational Therapy** – comprises of one Team Manager; one Senior Practitioner; three OTs; three OT Assistants; one OT Technician; one Moving and Handling Coordinator; one Team Clerk. The team looks to improve a person's health and well being through the provision of equipment and or adaptations. Our main focus is to maintain/improve independence and to assist people to engage in activities of daily living. This may be to help people stay independent as they get older, as a disability worsens or to recover after a period of ill health or hospitalisation. We supply minor adaptations such as grab rails and second stair rails which are available free of charge to those people who rent, privately own or live in council accommodation. Major adaptations are also available including stair lifts, the addition of ramps to a property, and bathroom conversions. This would involve a recommendation to Care and Repair Darlington who administer the Disabled Facilities Grant on behalf of Darlington Borough Council.

**Home Care** - comprises of one Registered Team Manager, 4 x Senior Care Workers and x 64 i.e. 39.4 FTE Home Care Workers. The Home Care Services provides all personal care to individuals living in the four Extra Care Schemes. The Care Staff work with the service users to ensure that they maintain as much of their independence as they possibly can as well as supporting them to access activities within the schemes to ensure we are meeting their emotional well being needs as well as personal care needs. The Service feeds back to Care Managers any concerns/issues in relation to individual service users and requests reviews or reassessments if required. The Service works in partnership with health e.g. GPs; District Nurses; Ward Staff; Community Pharmacists; OTs; Mental Health Services for Older People to ensure service users receive the support/assistance to maintain independence where possible.

**Lifeline Services** – currently consists of one Team Manager and approximately 40 staff, which includes x24hr x7 days Response Services to 3500 older and disabled people within the Borough of Darlington. This includes:

- 22 sites of Sheltered Housing with Scheme Managers to provide good neighbourly day-to-day support in 860 properties including Hurworth, Middleton St George and Heighington. Most sites have excellent communal facilities and promote social interaction and a varied range of social activities including GEM exercise and healthy lifestyle classes for the tenants and the wider older community, some have hair salons, 3 sites provide a daily lunchtime meal, and 10 sites have laundry facilities.
- 1200 Council and Housing Association properties with pull cords linked to 24/7 emergency response.
- Lifeline Service – technology installed into 1000 people’s homes linked to 24/7 support from Darlington’s Control Centre with mobile emergency response officers to attend as required. Lifeline gives peace of mind at the touch of a button and consists of a small box similar in size to a telephone and a pendant or wristband, each with a red button which can be worn around people's home and garden.
- Telecare – Latest generation of technology able to send automatic alerts should assistance be identified.
- Enablement Service - delivering discreet free short- term, none means tested low level support for up to 12 weeks to the over 55's tailored to individual needs to support, encourage and give confidence for people to do things for themselves. Such as advice and encouragement on how to:
  - Live within a budget, house hold tasks – possibly after bereavement of a partner showing how to operate appliances, keep their home clean and tidy, advice on healthy eating, planning meals and home safety and repairs.
  - Supporting to gain confidence in accessing public transport, social, recreational, learning and voluntary activities.
  - Signposting to other agencies - such as Lifeline Services, Adult Services, Citizens Advice.

### **Self Directed Support Ongoing Reviews**

The overall aim of the teams based at Central House is to maintain individuals in their own home through maximisation of their potential. This is achieved by working with colleagues in the intake and reablement section to ensure that services are only commissioned after all other options have been explored.

Essential to achieving best outcomes for individuals is the effective partnership arrangements that are in place. This is also an essential area for the ongoing

development of the personalisation agenda and further development of the self directed support process.

### **Specialist Assessment Team**

The team is based at Central House and comprises one Team Manager, three Care Managers, two Community Assessment Officers and 0.5 Administrative Support. The team carry out complex assessments of need for individuals over 65 years of age. Often this is in the form of a joint assessment with colleagues from the Continuing Healthcare team at NHS County Durham and Darlington. Strong and effective partnership arrangements are in place to support this process.

### **Ongoing and Complex Care Team**

The overall aim of the team based at Central House is to maintain individuals in their own home through maximisation of their potential. This is achieved by working with colleagues in the intake and reablement section to ensure that services are only commissioned after all options have been explored. Long term care management is often required for these individuals. Comprises one Team Manager, four Care Managers, one Community Assessment Officer and 0.5 Administrative Support.

### **Review Team**

Based at Central house the team comprises one Team Manager, three Care Managers, two Community Assessment Officers and one Administrative Officer. The team carries out approximately 1,561 annual reviews per year for older people (including those with a mental health need), physical and sensory impairment and OT equipment. Also coordinates reviews in relation to the safeguarding executive strategy process as required and any service that is being decommissioned.

### **Physical and Sensory Support Team**

The PSI team is made up of three small teams managed by one Team Manager. The Physical Disabilities team based at Central House comprises five Care Managers, one Community Assessment Officer and one Administrative Officer. The team carry out complex assessments on individuals age 18 – 65 that have a physical impairment and provide ongoing support as required.

The hearing impairment team provides assessment and services for all ages and comprises one support worker who provides support to those with a hearing impairment, either in groups or individually. Also supports deaf/blind individuals: Also a Community assessment Officer who carries out low level assessments for specialist hearing equipment.

The Visual Impairment team is based at Vane House and provides services for all ages and comprises one Senior Rehabilitation Officer and one Assistant Rehabilitation Officer. Provide rehabilitation for those with a sight loss and provide any equipment that is required.

All of the above are essential to the ongoing development of the personalisation agenda and further development of the self directed process.

The teams within this section also undertake a significant amount of work in relation to the safeguarding of vulnerable adults.



## Section 2 – Measuring Outcomes

### How do we know if our customers are better off?

- **Individuals seeking information, advice or guidance** - More people are helped to remain independent in the community and have control over their daily lives and report they are treated with dignity and respect.
- **Adults at risk of abuse (Adult Safeguarding)** – more vulnerable adults protected from abuse; increased confidence in reporting abuse (including financial); more positive feedback from service users and professionals e.g. Police
- **Older people, including those with mental health needs** - More people are helped to remain independent in the community. Older people achieve independence through rehabilitation /intermediate care; and reablement options: they are satisfied with their care and support.
- **Disabled Young people in transition / adults 18+** - More people are able to remain independent in the community; and the proportion of people who use services feel safe.
- **People with learning disabilities** – More people are able to remain independent in the community, living in settled accommodation and are in employment.
- **People in need of mental health services** – more people are able to remain independent in the community. Adults in contact with secondary mental health services live in settled accommodation and are employed.
- **People with physical and sensory impairment** – more people are able to remain independent in the community, have control over their daily lives and are satisfied with the quality of their care especially with dignity and respect.

### How can we measure if we are delivering services well?

A number of key performance measures have been identified relating to customer groups and how they are better off. There are some measures which cover several customer groups (Overarching).

#### Overarching

- The proportion of people who use services who say that those services have made them feel safe and secure.
- Overall satisfaction of people who use services, with their care and support.
- The percentage of assessments that are carried out within timescales.
- The proportion of people who have control over their daily life.
- % of people achieving independence through rehabilitation/intermediate care.

#### Individuals seeking information, advice or guidance

- % of people reporting that they received the appropriate information, advice and guidance (30/60/90 day follow up)
- User reported measure of dignity and respect in their treatment (Service User questionnaire)
- Social care related quality of life.

**Adults at risk of abuse (Adult Safeguarding)**

- % of responses to referrals in line with regional thresholds and procedures.
- % of adult referrals to the safeguarding service
- % of repeat referrals for adult safeguarding

**Older people, including those with mental health needs**

- Increase the number of individuals who access a carers assessment and services
- Improve the timescales for assessment and provision of services
- Overall satisfaction of people who use services
- The number of individuals who live independently in the community

**Disabled Young people in transition / adults 18+**

- The proportion of young people in transition that have secured a training or education opportunity or employment increases
- The proportion of young people in transition that have safe accommodation and the opportunity to access independent accommodation increases

**People with learning disabilities**

- the proportion of people with learning disabilities that have secured a training or education opportunity or employment increases
- the proportion of disabled young people in transition that have secured a training or education opportunity or employment increases
- increase the proportion of people able to remain independent in the community living in settled accommodation

**People in need of mental health services**

- increase the proportion of people able to remain independent in the community
- the number of clients with assessed mental health condition that are settled into accommodation after discharge from hospital
- the proportion of disabled young people that have secured a training or education opportunity or employment increases

**People with physical and sensory impairment**

- the number of people who access reablement
- the number of people who access specialist advocacy services
- the proportion of people that have secured a training or education opportunity

### Section 3 - Current Performance

Following the Government's changes to the collection of data across service areas robust analysis and comparison of trend data is difficult. There are some proxy measures which give a 'best fit' comparison allowing for the national changes and the determination of locally obtained survey information following the cessation of the Place Survey. Darlington has decided not to participate in the North East Perception Survey in 2012 and will be developing its own suite of questions to gather the views of the population across a range of key service areas.

From 2013 comparison and analysis of trends will be contained in this section of the service plan.

#### How are we doing on the most important of these measures?

##### NI 125 and NI 130

NI 125 (2B) Achieving independence for older people through rehabilitation / intermediate care. Proportion of older people (65 and above) who are still at home 91 days after discharge from hospital into reablement / rehabilitation services.							
Data from		2006 2007	2007 2008	2008 2009	2009 2010	2010 2011	2011 2012
GP Patient Survey	Actual			73.68	76.92	72.02	
DBC	Target			73.68	75.00	76.00	76.00
	Upper Quartile			85.00	87.00	88.70	
	Lower Quartile			73.60	78.70	78.50	
	Median			79.20	83.10	84.20	
NE Regional PI group	North East Regional Average			78.80	80.80	82.66	
The GP Patient Survey	All English Average			78.20	81.20	81.90	

NI 130 (1C) Social care clients receiving Self Directed Support (Direct Payments and Individual Budgets). Proportion of people using social care who receive self-directed support and those receiving direct payments.							
Data from		2006 2007	2007 2008	2008 2009	2009 2010	2010 2011	2011 2012
GP Patient Survey	Actual	2.70	3.00	4.60	8.60	25.50	
DBC	Target				10.00	30.00	
	Upper Quartile	3.70	4.60	8.20	16.40	35.20	
	Lower Quartile	2.20	2.80	4.50	8.70	22.10	
	Median	3.10	3.60	6.10	12.80	30.30	
North East Regional PI Group	North East Regional Average	2.90	4.20	5.70	10.20	28.90	
The GP Patient Survey	All English Average	2.90	3.80	6.70	13.00	28.90	

## **Section 4 – Action Planning**

The following action plans must be completed for each priority identified and linked to the risk indicator in Section 5

### **Key Actions for Adult Social Care**

#### **Overarching Action Priorities:**

- Self directed support NI 130 (100%)
- Adult Safeguarding – Improve Adult Safeguarding Procedures and Protocols to support operational teams and external agencies
- Promote and support independence in the community  
NI 125 – rehabilitation and intermediate care
- Timeliness and quality of social care assessment and packages of care

#### **Disabled Young people in transition/adults 18+ Lifestages Model –**

- Continue to review the new service model
- Review processes and procedures to increase effectiveness
- Maintain and develop relationships with key stakeholders and partners

#### **Service Reviews:**

Service Reviews are being conducted for Learning Disability Day Care and Extra Care (Home Care) services. These are being led by the Transformation Team and the findings and recommendations of these reviews will be published at future date. Following which, consultation with staff and service users will be undertaken and the required democratic processes followed.

## Action Plan

<b>Customer Group:</b>	Adults aged 65 and above (discharged from hospital)
<b>PRIORITY :</b>	<p>Responsive, Integrated Assessment Care Team (RIACT) new integrated Team set up May 2012</p> <ol style="list-style-type: none"> <li>1. Review systems and process across health and social care to improve service users' outcomes.</li> <li>2. Review and monitor data collection across health and social care.</li> <li>3. Developing relationships across partner agencies to improve effective use of resources; reduce duplication and develop seamless service.</li> <li>4. Support the Health and Wellbeing agenda, through prevention of avoidable acute admissions/re-admission to Acute Hospitals and/or residential/nursing care.</li> </ol>
<b>Key Performance Measures:</b>	<p>NI125 Achieving independence for older people through rehabilitation/intermediate care.</p> <p>Proportion of older people (65 and above) who are still at home 91 days after discharge from hospital into reablement/rehabilitation services.</p>
<b>Link to Risk (if applicable):</b>	1; 4

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Priority 1: To confirm common performance framework across health and social care, in line with regional data sets.	Lynn Walker/ Christine Forsyth	Agreed common performance framework across health and social care in line with regional data sets	July 2012	Within current resources of health and social care
Priority 2: Evaluate current data collection across health and social care and identify changes required to support the performance framework.	Lynn Walker/ Christine Forsyth	Identify commonality across Health & Social Care IT Systems	October 2012	Within current resources of health and social care
Priority 2:		Common Service User		

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Evaluate current data collection across health and social care and identify changes required to support the performance framework.		Outcome Tool  Shared Care Planning process. Joint Health & Social Care Customer Satisfaction Survey		
Priority 3: Team development, increased understanding of roles and responsibilities across health and social care.	Christine Forsyth	Development of a needs led assessment process that removes traditional boundaries and condition/agency lead services	January 2013	Within current resources of health and social care
Priority 4: Support the Health and Wellbeing agenda, through prevention of avoidable acute admissions/re-admission to Acute Hospitals and/or residential/nursing care.	Christine Forsyth	Strengthening current working practices across RIACT, Readmission Avoidance Scheme (RAS), Reablement, Enablement, Red Cross – Supported Hospital Discharge Service	October 2012	Within current resources of health, social care and voluntary sector

<b>Customer Group</b>	Disabled Young People and adults
<b>PRIORITY :</b>	Life Stages Model <ul style="list-style-type: none"> <li>• Continue to review the new service model</li> <li>• Review processes and procedures to increase effectiveness</li> <li>• Maintain and develop relationships with key stakeholders and partners</li> </ul>
<b>Key Performance Measures:</b>	NI130/NI145/NI146/NI128/NI125
<b>Link to Risk (if applicable):</b>	5; 6; 7

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Continue to review the new service model	Kevin Kelly	Evaluation of new service model	September 2012	Within existing resources
	Kevin Kelly	Consider findings from evaluation and develop Action Plan	Nov 2012	Within existing resources
	Kevin Kelly	Monitor Action Plan	March 2013	Within existing resources
Review processes and procedures to increase effectiveness	Kevin Kelly	Participate in RPIW e.g. Carefirst/TEWV	April 2012	Within existing resources
	Kevin Kelly	Develop staff skill base	April 2012	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review processes and procedures to increase effectiveness	Kevin Kelly	Finalise Transitions Pathway into Adulthood	March 2013	Within existing resources
	Kevin Kelly	Promote new Supported Self-Assessment Questionnaire and use of personal budgets	March 2013	Within existing resources
Maintain and develop relationships with key stakeholders and partners	Kevin Kelly	Develop stakeholder contacts using existing arrangements	July 2012	Within existing resources
	Kevin Kelly	Formalise data sharing protocols and procedures	Sept 2012	Within existing resources
	Kevin Kelly	Further develop the integration of services	Jan 2013	Within existing resources



<b>Customer Group:</b>	All customer groups
<b>Priority :</b>	Self Directed Support
<b>Key Performance Measures:</b>	NI 130 Social Care Clients receiving self-directed support (Direct Payments and Individual Budgets) Proportion of people using social care who receive self-directed support and those receiving direct payments.
<b>Link to Risk (if applicable):</b>	1; 4

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Develop and implement a revised self directed support questionnaire.	Sue Nuttall	Develop a new assessment document	Sept 2012	Care Manager to "act up" as Team Manager for 8 weeks to enable Team Manager to work on the document. Agency worker for 3 days a week to backfill the Care Manager.
	Sue Nuttall	Monitor action plan monthly	March 2013	
	Sue Nuttall	Work with development group fortnightly to ensure progress	Sept 2012	

<b>Customer Group:</b>	Adults at risk of abuse (Adult Safeguarding)
<b>Priority :</b>	<b>Improve Adult Safeguarding Procedures and Protocols to support operational teams and external agencies</b>
<b>Key Performance Measures:</b>	The proportion of people who use services who say that those services have made them feel safe and secure. % of responses to referrals in line with regional thresholds and procedures (DD) % of adult referrals to the safeguarding service (DD) % of repeat referrals for adult safeguarding (DD)
<b>Link to Risk (if applicable):</b>	2

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review adult safeguarding procedures	Ann Workman	Complete review of current arrangements	Mar 2013	Within existing resources
		Prepare options for consideration	Mar 2013	Within existing resources
		Agree the new processes and protocols for Adult safeguarding	Mar 2013	Within existing resources
		Implement new Adult Safeguarding arrangements	Mar 2013	Within existing resources

<b>Customer Groups:</b>	All customer groups
<b>Priority :</b>	<b>Timeliness and quality of social care assessment and packages of care</b>
<b>Key Performance Measures:</b>	<ul style="list-style-type: none"> <li>• The proportion of people who use services who say that those services have made them feel safe and secure.</li> <li>• Overall satisfaction of people who use services, with their care and support.</li> <li>• The percentage of assessments that are carried out within timescales.</li> </ul>
<b>Link to Risk (if applicable):</b>	1; 3; 4

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Improve timeliness and quality of social care assessment and packages of care	Ann Workman	Review existing arrangements	June 2013	Within existing resources
		Agree and implement new structures	July 2013	Within existing resources
		Participate in 3-borough collaboration identifying priorities for each Council area	Oct 2013	Within existing resources
		Review quality assurance processes to maximise efficiency and standards of assessment and support planning	Mar 2013	Within existing resources
Implement the revised Eligibility Criteria	Ann Workman	Council to agree new policy	Sept 2012	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Implement the revised Eligibility Criteria	Ann Workman	Implement new criteria across Adult Social Care	Oct 2012	Within existing resources
		Continue quarterly monitoring of equality impacts on implementation of new arrangements.	March 2013	Within existing resources

## Section 5: Risks

### Risks Identified

Through the service planning process, risks are identified and assessed in terms of probability and potential consequence. Arrangements are made to manage risks within acceptable levels with the aims of minimising losses and maximising opportunities for the Council.

Where risks are assessed as being above acceptable levels, action plans are put in place to reduce exposure by either reducing the likelihood of an event occurring or lessening the impact. Each action plan is assigned to and managed by a senior officer. All Service Areas are required to monitor their risks and review the action plans required for risks above the 'appetite line' through existing management arrangements ensuring that the ranking of the risk is reviewed and revised where it is appropriate to do so and a clear audit trail of these actions maintained through minutes/action logs from Senior Management Teams (SMT) i.e. DMT/SLT meetings of Directors/Assistant Directors.

AC Risk Ref*	Risk No.	Risk	Risk cat	Responsible Person
	<b>ASC1</b>	Self Directed Support – inability to ensure compliance with requirements for self directed support; individual budgets and direct payments within required timescales	B/III	Sue Nuttall
	<b>ASC2</b>	Inability to complete review and improvements to services to protect vulnerable Adults (Safeguarding Adults)	<b>C/II</b>	Ann Workman
	<b>ASC3</b>	Budget savings not realised through services promoting and supporting independence in the community	B/III	Ann Workman
	<b>ASC4</b>	Timeliness and quality of social care assessment and packages of care does not deliver improvements and cost effectiveness	<b>C/II</b>	Ann Workman
	<b>ASC5</b>	Inability to complete review of and improvements to Life Stages Services	D/IV	Kevin Kelly
	<b>ASC6</b>	Inability to complete review of processes and procedures to increase effectiveness of Life Stages Services	<b>C/II</b>	Kevin Kelly
	<b>ASC7</b>	Inability to maintain and develop relationships with key stakeholders and partners of Life Stages Services	C/III	Kevin Kelly

\*AC Risk Ref – Audit Committee Risk Reference

## Plotting the Risks

The above risks are plotted on the Risk Matrix below. This shows the status of the risks in relation to our 'risk appetite'. 'Above the Line' risks – those plotted within the shaded part of the matrix – require specific action to bring them within acceptable limits; 'Below the Line' risks, plotted in the un-shaded area, are already deemed to have satisfactory management controls in place.

<b>LIKELIHOOD</b>	A				
	Very High				
	B		1,3,		
	High				
	C		7	2, 4, 6	
	Significant				
	D	5			
	Low				
	E				
	Very Low				
F					
Almost Impossible					
		IV Negligible	III Marginal	II Critical	I Catastrophic
		<b>IMPACT</b>			

The potential for controlling risks identified as above the line is addressed through management action plans. Most risks are capable of being managed – either by managing down the likelihood or impact or both. Relatively few risks have to be avoided or transferred. Action plans identify the resources required to deliver the improvements, key deadline date and critical success factors/ Key Performance Measures.

## Risk Scenarios

**Risk 1 – Self Directed Support – inability to ensure compliance with requirements for self directed support; individual budgets and direct payments within required timescales**

Vulnerability	Trigger	Consequence
Inability to offer genuine choice and control to individuals.	Increased volume of work triggered by changes to national policy around documentation and process.	Inability to fulfil statutory requirements. Increase in complaints. Performance target not met.
<b>Controls in place</b> Revision of all associated documentation and policies due for completion in June 2012. Monthly monitoring of performance measure and team activity.		

**Risk 2 – Inability to complete review and improvements to services to protect vulnerable Adults (Safeguarding Adults)**

Vulnerability	Trigger	Consequence
Inability to complete review and improve services	Staff capacity Conflicting priorities	Inability to fulfil statutory functions
<b>Controls in place</b> Safeguarding Adults Board has established business plan Regular monitoring through bi-monthly board meetings and SLT		

**Risk 3 – Budget savings not realised through services promoting and supporting independence in the community**

Vulnerability	Trigger	Consequence
Inability to realise budget savings	Increased demand for residential services.	Budget savings not fulfilled.
<b>Controls in place</b> Monitoring of new arrangements for step up/step down services; Re-ablement Services. Robust budget management.		

**Risk 4 – Timeliness and quality of social care assessment and packages of care does not deliver improvements and cost effectiveness**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Inability to fulfil budgetary constraints and maximise efficiency capacity to respond to increased demand for assessment	Increased demand. Reduced staff capacity Central Government policy changes. Further reduction in funding to local government.	Inability to fulfil statutory requirements
<b>Controls in place</b> Monitoring of referrals; hospital admissions and discharge rates. Ensuring appropriate deployment of available staff resources.		

**Risk 5 – Inability to complete review of and improvements to Life Stages Services**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Timescales for review of new service model slip	Competing priorities and blocked diaries	Delay in review service model and increases in complaints and reduced staff morale
<b>Controls in place</b> Robust action planning and regular management meetings 1/12 to monitor progress		

**Risk 6 – Inability to complete review of processes and procedures to increase effectiveness of Life Stages Services**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Service not effective and reduced ability to respond to customer need.	Competing priorities and lack of staff engagement.	Increase in complaints. Performance against key PIs reduced.
<b>Controls in place</b> Robust action planning and regular management meetings 1/12 to monitor progress		

**Risk 7 – Inability to maintain and develop relationships with key stakeholders and partners of Life Stages Services**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Stakeholders reluctant to engage with Council	Lack of communication and competing values, priorities and finances for stakeholders	Inability to integrate services effectively and poor outcomes for service users.
<b>Controls in place</b> Regular management meetings with health Use of SEN Pathfinder Project to improve communications and understanding of different organisations.		



## Risks Classified as Priorities for Improvement

<b>Risk No.</b>	<b>Risk</b>	<b>Current Risk Score</b>	<b>Target Risk Score</b>
ASC2	Inability to complete review and improvements to services to protect vulnerable Adults (Safeguarding Adults)	C/II	D/II
ASC4	Timeliness and quality of social care assessment and packages of care does not deliver improvements and cost effectiveness	C/II	D/II
ASC6	Inability to complete review of processes and procedures to increase effectiveness of Life Stages Services	C/II	D/II

## Risk Management Action Plans

**Risk 2:** Inability to complete review and improvements to services to protect vulnerable Adults (Safeguarding Adults)

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Agreed action plan developed and monitored by senior managers and partners to ensure objectives and timescales adhered to.	Ann Workman	Improved and appropriate referrals. Reduction in % of repeat referrals.	March 2013	3/12
New procedures implemented and rolled out across DBC and partner agencies	Ann Workman		March 2013	3/12

**Risk 4:** Timeliness and quality of social care assessment and packages of care does not deliver improvements and cost effectiveness

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Monitor review and implementation of agreed processes	Ann Workman	NI130	March 2013	3/12
Use of Validation Forum to quality control social care assessment and care packages	Sue Nuttall Lynne Heslop Kevin Kelly Lynn Walker	NI130	March 2013	3/12
Quarterly monitoring of performance indicators and budgets	Ann Workman Sue Nuttall Lynne Heslop Kevin Kelly Lynn Walker	NI130/NI125	March 2013	1/12

**Risk 6:** Review processes and procedures to increase effectiveness

<b>Required Management Action/ Control</b>	<b>Responsibility for Action</b>	<b>Critical Success Factors and KPIs</b>	<b>Key Dates</b>	<b>Review Frequency</b>
Action Plan monitored at management meetings as part of ongoing review process. Key tasks allocated and monitored.	Kevin Kelly	Improved outcomes across PI suite of indicators for Life Stages Service	April 2012 March 2013	Monthly



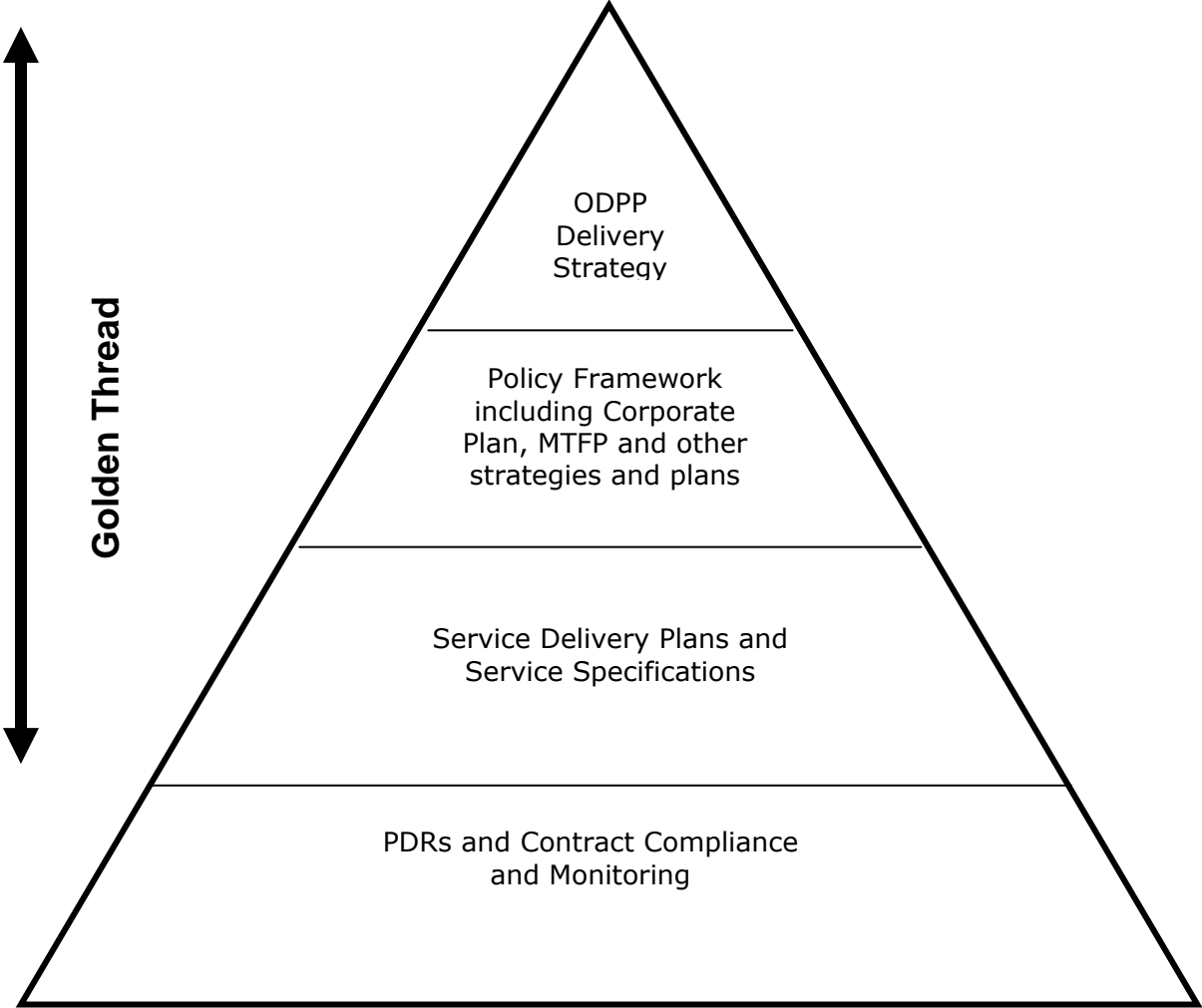
# **Children, Families and Learning**

## **Service Delivery Plan 2012 – 2015**

**Purpose of this Plan**

This Service Delivery Plan sets out the activities that the Children, Families and Learning Service will deliver over the next three years to improve outcomes for our customers. The Service Delivery Plan forms part of the Council’s ‘golden thread’ which ties together all of the key strategies, from the Area-wide Strategy and our two priorities **One Darlington: Perfectly Placed** down to individual staff PDRs and/or delivery of contracts. The diagram below illustrates the model.

**Golden Thread**



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## **Section 1: Who are our customers?**

1. Children with special needs
2. Schools
3. Private voluntary and independent nurseries & childminders
4. Young people who commit crime or are at risk of becoming involved with it
5. External partners – health, courts, probation, police, CAFCASS
6. Victims of young perpetrators of crime
7. Children, young people and families (including disabled children aged 0-18 years)
8. Children and families in need of targeted or specialist support

## **Core Functions of the service**

This service is made up of the following sections and teams:

### **CHILDREN AND FAMILIES AND YOS**

The Head of Service has overall responsibility for the following areas of service.

#### **The Duty Team**

The Child Care Duty team is based in Central House, Gladstone Street, Darlington and is made up of a Team Manager, Social Workers, Support Officers, a Safeguarding Children's Officer and administrative staff. The team is the access point for all information/concerns from professionals or the public regarding any child resident in the Darlington area. This information is referred to as a CONTACT. Contacts on cases which are not currently open to another team are reviewed by the Team Manager and a decision is made, based on the Indicators of Concern Document, which sets out thresholds, as to what, if any action will be taken.

If an assessment is not deemed necessary contact outcomes may include: advice/information, record for information, refer to other agency, refer for a CAF, refer to the Disabled Children's team, and refer to other Local Authority. If an assessment is deemed necessary the contact is progressed to a Referral and a Section 17 (child in need) or Section 47 enquiries/core assessment (child protection) is completed. Following an assessment; outcomes may include: no further action, case to step down for a CAF, refer to other agency, and transfer to the Specialist Assessment and Intervention Team.

#### **Children and Families Social Care Team**

The newly formed Specialist Assessment and Intervention Group within Children's Social Care consist of three Area Teams. Each Team has a Practice Supervisor and four Social Workers. They have responsibility for the children and young people living within a geographical area who are in need of a statutory Social Work service under s.17 Children Act 1989 (as assessed by the Duty Team and transferred to the relevant Area Team).

A majority of the children and young people open to the Group have multiple and complex needs and are often safeguarded from the risk of significant harm by being

made subject to a Child Protection Plan. Some of the children and young people will be accommodated in Local Authority Foster Care whilst assessments are undertaken because the safeguarding concerns are so serious.

The core business of all the Social Worker's within the Group is, as the name suggests, to assess, plan, intervene and review to achieve the best possible outcomes for the children and young people with whom they are working. So far as is possible, with safeguarding considerations paramount, work will be undertaken to maintain or return the child or young person to the care of their parents. If it is not safe to do so, work will be undertaken to secure the child or young person's permanent alternative care. Often this will require an application to the Family Court. Alternative care may be within a child or young person's wider family or, where this is not possible; by way of adoption or foster care depending upon the needs of the child.

No Social Worker within the Specialist Assessment and Intervention Group works in isolation from the multiplicity of other agencies involved with a child and always seeks a multi-agency response. The role is to be the Lead Professional and ensure that in every decision the child is safeguarded and their welfare promoted.

### **Youth Offending Service**

Darlington Youth Offending Service (YOS) is a multi agency organisation made up of different partnerships. Their main goal is to prevent offending and reoffending by children and young people through the delivery of high quality, effective and safe youth justice services.

The YOS is currently structured into 3 main areas (Pre-Court, Post-Court and Performance and Quality).

YOT staff are the case managers for all young people in the youth justice system. They have an overview of each case and are responsible for co-ordinating assessments, planning interventions and supervision, risk management and ensuring that all aspects are consistent with effective practice.

A key role within Darlington YOS is the Restorative Justice Team which consists of a dedicated Victim Liaison Co-ordinator and Victim Support Worker whose responsibility it is to engage with all victims of crime to ensure they are given the opportunity to meet the perpetrator and are kept informed.

Other roles consist of Parenting Services, Safeguarding/Welfare, Health (Nurses with links to CAMHS), Education/Training and Employment and Intelligence (Police), all of which co work together to support and improve the opportunity for young people to lead healthy productive lives.

### **Children in our Care Business Unit (CIOC)**

**Family Placement Team** - a Manager, Social Workers and Support Staff responsible for the recruitment and support of foster carers and adopters who



provide placements for children who become Looked After. The team is based in The Annexe, Central House.

**Children's Residential Service** - a Team Manager (based at The Annexe, Central House); 3 mainstream Children's Homes in the community, each providing accommodation for 3 young people aged 12-18; 1 Short Break Centre for Disabled Children who are otherwise cared for by their parents. The Homes and the Short Break Centre are each staffed with a Registered Manager and a team of Residential Child Care Workers.

**Leaving Care Team** - a Team Manager, Social Workers, Personal Advisors and Support Staff responsible for the preparation of Looked after Children for independent living and continued support when they leave care. The team is based on the First Floor, Central House. The team also monitors and reviews all Private Fostering arrangements

**Looked After Children Social Work Team** - a Team Manager, Social Workers and Children's Support Officers who provide social work support for long-term Looked After children. The team is based on the First Floor, Central House.

**Looked After Children's Co-ordinator for Education** - responsible for supporting the educational needs of Looked After children, including those in externally provided educational and/or care placements; also responsible for working with relevant educational establishments; providing data for performance monitoring. The Co-ordinator is based within the Looked after Social Work Team on the First Floor, Central House.

**Safeguarding** - Darlington's Review and Development Unit is committed to achieving the best outcomes for all children and young people in Darlington, particularly the most vulnerable, such as those children who are looked after and those subject to Child Protection Plans. The Unit has an independent role to ensure that all children receive the same care and safeguards with regard to abuse and neglect.

The unit is responsible for the following statutory functions:

- The convening and chairing of child protection conferences
- The convening and chairing of reviews for looked after children
- The convening and chairing of reviews for children placed for adoption
- The convening and chairing of reviews of foster carers
- The convening and chairing of disruption meetings
- Monitoring and reviewing all Private Fostering arrangements
- Corporate Parenting co-ordination and participation
- Quality Assurance monitoring and audit functions
- The development of policies, protocols and procedures

The statutory Independent Reviewing function of the Unit remains its core business but it also has additional responsibilities to the Darlington Safeguarding Children Board (DSCB) in terms of contributing to case reviews, performance monitoring, audit and quality assurance and children's participation.

## **FAMILY SUPPORT**

The aim of this service to work in an integrated way to early identify families, children and young people that will require support, to offer support packages in a coordinated manner. The service is an aligned service with Health through a single line management structure and joint service specification.

The objectives of the teams are to:

- provide a swift response to individual and family circumstances to prevent escalation to specialist services
- work in partnership with families to assess needs
- provide an exit route from specialist services to ensure a continuum of support
- provide the universal Health entitlement of the Healthy Child Programme

The service provides for children and young people pre-birth to 19 in the context of their family and community. The service works on a Think Family approach with staff regardless of job role considering the needs of the wider family.

The service is offered over 3 geographical areas across the borough with a fourth dimension offering borough wide solutions i.e. parenting.

The staff teams are made up of: -

- Early Years staff
- Parental Engagement
- Health Visitors
- Primary mental health workers
- School health staff
- Personal Advisors
- Youth workers
- Anti Social Behaviour
- Educational Psychology
- Family Support

## **DISABLED CHILDREN AND YOUNG ADULTS TEAM (0-25)**

The Life Stages Service within Darlington Borough Council was launched in September 2011. The Service will provide a whole life service to Disabled Children and Young Adults (aged 0 - 25) and Adults with a Learning Disability (aged 26+).

The Service is managed by a single Service Manager and has individual Team Manager for the two parts of the service as outlined above. This will ensure that disabled children and adults within Darlington receive much more cohesive planning throughout their lives, with all of their social care services based in one place.

The Disabled Children and Young Adults Teams consist of Social Care Co-ordinators, Portage Home Visitors and a Specialist Health Visitor. The Adults with a Learning Disability Team consists of Social Care Co-ordinators.

Services shared across the whole service include:

- Senior Practitioner
- Job Coach
- Project Manager
- Team Manager for Provider Services
- Specialist Connexions Advisers
- Review Team
- Administrative Support

### **Darlington Safeguarding Children Board**

Safeguarding and promoting the welfare of children requires effective co-ordination in every local area. The Children Act 2004 required each local authority to establish a Local Safeguarding Children Board (LSCB).

The roles and responsibilities of the Board and it's Business Unit include;

- To develop policies and procedures for safeguarding and promoting the welfare of children in Darlington.
- Training of staff, carers and volunteers who work with children and families, or in services affecting the safety and welfare of children.
- Managing allegations that children make against staff, carers and volunteers.
- Joint working with neighbouring Local Safeguarding Children Boards (LSCBs).
- Communicating with organisations and settings in Darlington the need to safeguard and promote the welfare of children, raising their awareness of how this can be best done, and encourage them to do so.
- Monitor and evaluate the effectiveness of what's done by the local authority and board partner, individually and collectively to safeguard and promote the welfare of children and advise them on ways to improve.
- Collecting and analysing information about the deaths of all children in the area with a view to identify any matters of concern, including any case given rise to the need for a Serious Case Review.
- Undertaking reviews of cases where a child has died or has been seriously harmed and abuse or neglect is known or suspected.

The Local Safeguarding Children Board has an Independent Chair, Colin Morris, and he can be contacted via the LSCB Business Unit.

Further details regarding the Local Safeguarding Children Board in Darlington, including the multi-agency training programme can be found on the web-site [www.darlington.gov.uk/lscb](http://www.darlington.gov.uk/lscb)

### **Educational Services**

This service has responsibility for a wide range of services relating to education and schools. It is made up of the following teams.

**Placement & Assessment team** incorporates a range of Education Support Services to Schools which include the following:-

- School Admissions is responsible for operating a scheme of co-ordinated admissions, so that parents only have to complete one application form, whether they are asking for places in maintained schools, faith schools or academies, in Darlington or another neighbouring authority. The team is responsible for all admission policies and arrangements in maintained schools and offers this support to other non-maintained schools throughout the year. The team presents the Authority's case for maintained schools at statutory Admission Appeals and

offers an SLA to other non-maintained schools who wish to use the team's services for the appeals process.

- The Placement and Asset Team is responsible for making sure that there are sufficient school places in the Borough for all pupils of compulsory school age. This is achieved through the programme management of basic need capital funding in line with a locally agreed School Organisation Plan. The team also manage the Capital Investment Programme for maintained schools in line with annually reviewed Asset Management Plans.
- The Special Education Needs (SEN) team has responsibility for the statutory assessment process for children presenting with additional educational needs. If assessed as requiring support the team are responsible for identifying appropriate provision and placement, developing an individual statement for each child and reviewing these on an annual basis. The team co-ordinate the provision provided through Resource Bases in a number of schools and the outreach provision provided to individual children. This includes the Social Communication Outreach Service and the Low Incidence Needs Service.
- The Governor Support Unit is a non-statutory function but offers a very popular buy-back service for schools and Governors. The team have responsibility for clerking a range of Governing Body meetings, preparing paperwork, minutes and agendas. The team also offer a range of training packages for Governors including a termly meeting for Chairs and Link Governors. The service is supported by a range of schools including maintained, Academies and Voluntary Aided.

**Early Years** - Darlington Early Years team promote and challenge schools, private voluntary and independent childcare providers, Children's Centres and childminders in order to secure high standards of learning, development and care, reflecting the latest research evidence and ensuring that the local authority achieves value for money and appropriate entitlement.

Some of the Early Years Service duties are statutory and these duties include assessment and monitoring of the Early Years foundation stage, providing and sustaining adequate nursery places for children and ensuring the early years entitlement is implemented.

The service delivery model is based on a targeted and intensive model of working with PVI settings, schools and childminders that need to improve their Ofsted rating from satisfactory to good, inadequate to satisfactory. The Early Years Foundation Stage Advisory Teachers and Child Development

The majority of staff work with practitioners, teachers, Headteachers and managers however the Early Years Inclusion Co-ordinators support children that require specialist programmes and/or specialist services in order to be fully integrated into a setting.

**The Phoenix Centre (Darlington's PRU)** plays a vital part in providing educational services for some of the most vulnerable children in Darlington. It is a key part of the Behaviour and Attendance Partnership led by the Head teacher of Hummersknott Academy. Some pupils find it difficult to cope in the busy environment of a mainstream secondary school and their behaviour can result in exclusion. The PRU provides 24 places for pupils in Key Stages 3 and 4 so that pupils can receive

alternative education. The skills set of the staff includes Learning Support Assistants with vocational skills as well as teachers who can provide a traditional school curriculum.

**14 – 19 and Learning and Skills Team** is responsible for ensuring that the local authority meets its statutory responsibility to secure sufficient high quality education and training provision to meet the reasonable needs of 16-18 years olds (and 19-24 year olds with a learning difficulty assessment) in Darlington. The team also has the responsibility for leading on the government's Raising of the Participation Age strategy where all 17 years olds will have to remain in education or training from 2013, and 18 year olds from 2015.

The team has a specific focus on supporting vulnerable young people including young offenders, looked after children, young parents and those with learning difficulties and/or disabilities (LLDD). The team manages the successful Pre-16 to Post-16 Transition and Skills4me programmes.

14-19 team provides support to the Darlington 11-19 Partnership and the Behaviour and Attendance Partnership and works closely with the secondary schools, colleges and training providers to support young people in education and training.

The Learning and Skills Team provides skills development, training and learning opportunities for learners of all ages. The Adult Learning team deliver a range of courses within the community supporting people's health and wellbeing. The service promotes internal and external progression routes with accreditation including; Ptlls, Childminding & Effective Communication.

The team offer Apprenticeships in five vocational areas; Health & Social Care, Child Care, Motor Vehicle, Construction and Business Administration. The learners are supported to work towards theory and practical elements of the framework whilst gaining workplace experience, improving their job prospects with opportunities to progress from Level 2.

Foundation Learning support young people, helping them to gain employability and personal development skills to progress to an apprenticeship, further training or employment in their vocational area. The team provide 1:1 support for vulnerable and disengaged learners to ensure they can reach their full potential.

Family Learning delivers accredited & non-accredited programmes for parents, grandparents and carers, to increase their own ability to support their children's learning. The Family Learning Intensive Support team works with learners, who are isolated, do not engage in learning or have an identified a learning need (parenting, budgeting, literacy/numeracy, confidence building, baby basics) that cannot be met through mainstream Family Learning or Skills for Life.

The Skills for Life team provide support for learners to improve reading, writing, numeracy or information and communication technology skills. The team conduct diagnostic assessments to identify the level learners are working towards: from pre-entry to Level 2, and prepare individuals for a National Test.

School Improvement Service operates as part the collaborative approaches to service delivery with Hartlepool. These arrangements have been in place since April 2010. The Lead Officers are responsible for managing statutory assessment duties,

moderation of judgments, security, meetings with schools and ensuring the DfE plans and returns are completed. This operation includes Early Years Foundation Stage Profile (EYFSP), KS1 phonic screen check, KS1 tests, KS 2 tests and KS2 writing assessment.

## Section 2 – Measuring Outcomes

How do we know if our customers are better off?

## Section 2 – Measuring Outcomes

How do we know if our customers are better off?

1. **Children with special needs** – vulnerable children are supported through their education and into adult hood and the narrowing of the gap in attainment and achievement.
2. **Schools** - increase attainment rates at all key stages; reduced rates of exclusions, permanent absentees and teenage pregnancy. There are an increasing percentage of parents receiving a place of their preference for school admissions and first preferences for secondary school. There are sufficient places available to meet demand across the Borough.
3. **Private voluntary and independent nurseries & childminders** – An increase in the rates of nursery education grant take-up at 2, 3 and 4 years old and an increase attainment rates at end of foundation stage and an increased level of performance at key points in nursery and reception.
4. **Young people who commit crime or are at risk of becoming involved with it** - fewer young people entering the criminal justice system
5. **External partners – health, courts, probation, police, CAFCASS** - Fewer young people entering the criminal justice system; reduced demand for specialist services.
6. **Victims of young perpetrators of crime** - Fewer young people entering the criminal justice system
7. **Children, young people and families including disabled children aged 0-18 years** –An increase in the rates of nursery education grant take-up at 2, 3 and 4 years old and an increase attainment rates at end of foundation stage. An increase the proportion of people who say they feel more confident to deal with their problems and reduced demand for specialist services. Increase in the proportion of people who say they feel more confident to deal with their problems and reduce the number of NEET residents.
8. **Children and families in need of targeted or specialist support** - Increase the proportion of people who say they feel more confident to deal with their problems and reduce the number of children in need re-referrals for CAFs. An increase the number of looked after children returned to live with their family. A reduction in the number and duration of child protection plans.

## **How can we measure if we are delivering services well?**

The Munro Review states that *Right support at right time to enable young people to fulfil their potential*

- A number of key performance measures have been identified relating to identified customers and how they are better off. There are some measures which cut across the customer profile such as:
- Number of Common Assessment Frameworks (CAF) recorded from Contact Information Records (**Data development**)
- Attainment against standards for assessment and care planning – data to be developed
- Social worker: a) Vacancy rate b) Turnover rate c) Absence/sickness rate d) Percentage of social work posts filled by agency workers (**Munro**)

### **Children with special needs**

- Services for disabled children (Survey)
- New user satisfaction survey (data development)
- % of statements completed within statutory timeframe
- Limited numbers of cases presented for tribunal

### **Schools**

- Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal, Social and Emotional Development and Communication, Language and Literacy.
- Achievement of 5 or more A\*- C grades at GCSE or equivalent including English & Maths at Key Stage 4
- % of half days missed due to total absence in secondary schools
- % of half days missed due to total absence in primary schools
- Secondary school persistent absence rate (Include Academies)
- Achievement gap between pupils eligible for free school meals and their peers achieving the expected level at Key Stage 4 - 5+ A\*-C grades at GCSE (and equivalent), including GCSE English and Maths
- % Of parents who received a place of their preference for primary admission
- % Of parents who received a place of their preference for secondary admission
- % of first preference admissions to secondary school

### **Private voluntary and independent nurseries & childminders**

- Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal, Social and Emotional Development and Communication, Language and Literacy.

### **Young people who commit crime or are at risk of becoming involved with it**

- Rate of proven re-offending by young offenders aged 10-17

### **External partners – health, courts, probation, police, CAFCASS**

- No specific measures identified

### **Victims of young perpetrators of crime**

- Rate of proven re-offending by young offenders aged 10-17

### **Children, young people and families**

- Prevalence of breastfeeding at 6-8 weeks from birth a) prevalence of breastfeeding b) breastfeeding coverage.



- Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal, Social and Emotional Development and Communication, Language and Literacy.
- % reduction in obesity among primary school age children in Reception Year - a) Coverage of pupils b) Number of obese and overweight children
- % reduction in obesity among primary school age children in Year 6 - a) Coverage of pupils b) Number of obese and overweight children
- % of 16-18 year old who are not in education, training or employment (NEETS)
- Achievement of Level 3 qualification by age of 19: % of young people attaining Level 3 by the age of 19.

#### **Children and families in need of targeted or specialist support**

- % of referrals that are within 12 months of previous referral
- Deregistration CPP per 10,000 population under 18
- Achievement gap between pupils eligible for free school meals and their peers achieving the expected level at Key Stage 4 - 5+ A\*-C grades at GCSE (and equivalent), including GCSE English and Maths
- Stability of placements for children looked after children – % of children looked after at 31<sup>st</sup> March with 3 or more placements during the year
- Emotional and behavioural health of looked after children
- Children Looked after per 10,000 population under 18, excluding respite care
- Increased participation of children, young people and families in providing service feedback through survey work (data development)

### Section 3 – Current Performance

Following the Government’s changes to the collection of data across the public sector and service areas robust analysis and comparison of trend data is difficult. There are some proxy measures which give a ‘best fit’ comparison allowing for the national changes. The determination of locally obtained survey information following the cessation of the Place Survey and Darlington’s decision not to participate in the North East Perception Survey in 2012, will result in developing our own suite of questions to gather the views of the population across a range of key service areas. These results will feed into the analysis of performance to improve services.

From 2013 comparison and analysis of trends will be contained in this section of the service plan.

The following table shows the trend information which is currently available for the key performance measures identified through OBA workshops and agreed by the Senior Leadership Team in January 2012.

Indicator	Description	2008-09	2009-10	2010-11	2011-12 latest
NI 019	Rate of proven re-offending by young offenders aged 10-17 (Youth Offending) <b>(NOTE: Reoffending calculation changing Nationally)</b>	0.93	1.07	1.08	-
NI 054	Services for disabled children (Survey) / (IN JSNA) <b>(Note Survey deleted 2010/11)</b>	NA	62.0	Deleted	NA
NI 058	Emotional and behavioural health of looked after children	13.0	12.0	14.3	NA
NI 062	Stability of placements for children looked after children - % of children looked after at 31st March with 3 or more placements during the year (CIPFA VFM)	12.4%	16.1%	14.5%	12.9%
LI 1503	No. of referrals of Children In Need per 10,000 population under 18 (Munro)	NA	659.2	552.6	381.6
JAR 2016	% of referrals that are within 12 months of previous referral (JAR 2016)	42.0%	35.0%	24.0%	15.0%
JAR 2035	Deregistration Child Protection Plan (CPP) per 10,000 population under 18	47.0	35.5	40.8	42.8
JAR 2042	Children Looked after per 10,000 population under 18, excluding respite care	59.5	67.5	86.0	92.6
New	User satisfaction survey (Data development with other satisfaction surveys e.g. NI 054)	NEW	NEW	NEW	NEW
New	Attainment against standards for assessment and care planning - (Data to be developed)	NEW	NEW	NEW	NEW
New	Number of Common Assessment Frameworks (CAF) recorded from	NA	NA	0.84%	1.60%

Indicator	Description	2008-09	2009-10	2010-11	2011-12 latest
	Contact Information Records (Data development)				
New	Social worker: a) Vacancy rate (Munro)	NEW	NEW	NEW	NEW
New	Social worker: b) Turnover rate (Munro)	NEW	NEW	NEW	NEW
New	Social worker: c) Absence/sickness rate (Munro)	NEW	NEW	NEW	NEW
New	Social worker: d) Percentage of social work posts filled by agency workers (Munro)	NEW	NEW	NEW	NEW
NI 053a	Prevalence of breastfeeding at 6-8 weeks from birth a) prevalence of breastfeeding b) breastfeeding coverage (IN JSNA) / (Children's Centre)	33.6%	34.7%	34.2%	37.3%
NI 053b	Prevalence of breastfeeding at 6-8 weeks from birth a) prevalence of breastfeeding b) breastfeeding coverage (IN JSNA) / (Children's Centre)	99.1%	99.2%	99.7%	100.0%
NI 055a	Obesity among primary school age children in Reception Year. a) Coverage of pupils (IN JSNA) / (Children's Centre)	99.2%	93.4%	96.4%	98.8%
NI 055b	Obesity among primary school age children in Reception Year. b) Number of obese and overweight children (IN JSNA) / (Children's Centre)	10.0%	8.9%	8.8%	9.9%
NI 056a	Obesity among primary school age children in Year 6. a) Coverage of pupils (IN JSNA)	99.0%	94.8%	97.0%	96.2%
NI 056b	Obesity among primary school age children in Year 6. b) Number of obese and overweight children (IN JSNA)	20.4%	19.9%	19.4%	16.8%
NI 072	Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal, Social and Emotional Development and Communication, Language and Literacy. (CIPFA VFM) / (Children's Centre)	48.1%	50.6%	57.4%	64.9%
NI 075	Achievement of 5 or more A*- C grades at GCSE or equivalent including English & Maths at Key Stage 4 (CIPFA VFM)	47.7%	51.6%	54.7%	65.7%
NI 080	Achievement of Level 3 qualification by age of 19: % of young people attaining Level 3 by the age of 19	46.2%	47.2%	49.1%	
NI 102b	Achievement gap between pupils eligible for free school meals and their peers achieving the expected level at Key Stage 4 - 5+ A*-C grades at GCSE (and	40.5%	31.5%	23.8%	31.1%

Indicator	Description	2008-09	2009-10	2010-11	2011-12 latest
	equivalent), including GCSE English and Maths				
NI 087	Secondary school persistent absence rate (Include Academies). <b><u>Old 20% Threshold</u></b>	4.9%	4.9%	4.6%	4.2%
NI 087	Secondary school persistent absence rate (Include Academies). <b><u>New 15% Threshold</u></b>	10.4%	11.0%	10.2%	8.6%
NI 117	% of 16-18 year old who are not in education, training or employment (NEETS)	6.9%	7.1%	6.7%	
LI 1249	% of half days missed due to total absence in secondary schools	7.0%	7.1%	7.0%	

The following tables outline the performance and targets for 14 – 19 and Learning and Skills Teams

Performance Indicators (including BVPI, SCS, LAA, CYPP targets)	What's Best	2008/09		2009/10		2010/11	
		DBC	Eng Av	DBC	Eng Av	DBC	Eng Av
NI 45: Young offenders' engagement in suitable education, training and employment	Higher	70.5%		66.4%		79.4%	
NI 79: Achievement of a Level 2 qualification by the age of 19	Higher	73.2%	76.7%	76.0%	79.1%	78.8%	81.5%
NI 80: Achievement of a Level 3 qualification by the age of 19	Higher	46.4%	49.9%	47.3%	51.6%	49.1%	54.2%
NI 81: Inequality gap in the achievement of a Level 3 qualification by the age of 19	Higher	37.2%	25.1%	30.1%	24.6%	31.9%	24.2%
NI 82: Inequality gap in the achievement of a Level 2 qualification by the age of 19	Higher	43.2%	53.5%	54.2%	57.2%	48.5%	61.0%
NI 85: Post-16 participation in physical sciences (A Level Physics)	Higher	52	24,703	50	25,620	61	40,379
NI 85: Post-16 participation in physical sciences (A Level Chemistry)	Higher	75	36,328	112	37,141	119	27,786

Performance Indicators (including BVPI, SCS, LAA, CYPP targets)	What's Best	2008/09		2009/10		2010/11	
		DBC	Eng Av	DBC	Eng Av	DBC	Eng Av
NI 85: Post-16 participation in physical sciences (A Level Maths)	Higher	136	57,618	149	64,519	175	69,803
NI 90: Take up of 14-19 Learning Diplomas	Higher	N/A	N/A	8	11326	27	38013
NI 91: Participation of 17 year-olds in education or training	Higher	76.0%	78.0%	79.0%	80.0%	85.0%	85.0%
NI 117: 16 to 18 year olds who are not in education, training or employment (NEET)	Lower	6.9%	6.7%	7.1%	6.7%	6.7%	N/A
NI 148: Care Leavers in Employment, Education or Training	Higher	75.0%	63.0%	46.2%	62.1%	70.0%	61.0%
NI 161: Number of Level 1 qualifications in literacy (including ESOL) achieved	Higher	560	231,940	715	320,542	780	258,100
NI 162: Number of Entry Level qualifications in numeracy achieved	Higher	90	43,691	172	116,248	150	100,700
NI 164: Proportion of population aged 19-64 for males and 19-59 for females qualified to at least Level 3 or higher	Higher	52.8%	49.5%	52.1%	50.9%	53.3%	52.7%
NI 165: Proportion of population aged 19-64 for males and 19-59 for females qualified to at least Level 4 or higher	Higher	32.1%	30.5%	32.4%	32.0%	33.3%	33.5%

## Section 4 – Action Planning

Four key priorities have been identified and agreed which address the findings from the Announced Inspection of Safeguarding and Looked after Children Services (November 2011) as well as the priorities identified from OBA workshops.

*\*Actions identified within the Announced Inspection Action Plan*

### 1. Early Identification and Intervention:

- Special needs
- Universal – identifying vulnerable groups/neighbourhoods
- 'CAF' – team around the child (TAC), team around the school (TAS)
- Families on the edge of care – Troubled Families/High Impact households/Core Business
- Information Sharing and Gathering – 'HUB'
- Process: Assessment / Step up and Step down
- Resources – moving resources
- Workforce – empowering professional judgement (Munro)/recruitment and retention
- Outcome/Impact

#### Key Actions:

- *Implementing findings from RPIW event for CAF\**
- *Develop services for troubled families and families on the edge of care*
- *Develop proposals for information sharing and knowledge HUB*
- *Ensuring appropriate assessment, interventions or signposting to services for disabled children and their families*

### 2. Quality Assurance

- What is quality and standards? To be agreed across CFL.
- Management Oversight – how is this evidenced/workflow  
YOS Management Oversight – pre sentence reports for court QA is important. File held by manager – gate-keeping process and if changes all drafts held through changes. Author signs to agree changes etc.  
Can we do this electronically? CAREFIRST and electronic locking
- Workforce Development
- Supervision/case oversight
- Reporting arrangements
- Peer Review and systematic audits
- Complaints – response, monitoring, training issues
- Service user feedback
- Early Intervention and Prevention in Children's Centres; no consistency, no standardisation, no shared recording, four different databases. Ann Lovegreen looking at this to identify options – CSS option within EMS (Children 0-19).
- Assessment – in Family Support some teams assess thoroughly and others who do not. This needs to be reviewed across Family Support.

#### Key Actions:

- *Review and embed Quality Assurance Standards\**
- *Develop case recording system for Family Support\* (see IT below)*
- *Identify options for data collection within Children's Centres*
- *Develop workforce development programme for managers to support quality assurance standards\**
- *Implement peer review and auditing*

- *Evaluate complaints, compliments and suggestions to inform service planning and delivery through lessons learned.\**
- *Improve processes for service user feedback\**
- *Improved quality of Personal Education Plans (PEP)\**
- *Improve supervision processes\**
- *Improve the quality of Core Assessments\**
- *Review and improve processes for management oversight and recording processes\**
- *Improve Case recording and reports\**
- *Increase the quantity and quality of education and training provision available for vulnerable young people - All provision exceeds Minimum Levels of Performance and is appropriate for the needs of the learner:*
  - *Foundation Learning provision*
  - *Alternative provision*
  - *ESF funded provision*
  - *LLDD provision in conjunction with the Sub Regional Group*

### **3. IT Systems**

- Review existing systems (Social Care Project Board) – develop recommendations; current systems do not support practise. Worker feedback. Review of Family Support recording systems.

#### **Key Actions:**

- *Implement recommendations of Carefirst RPIW\**
- *Evaluate the options for IT compatibility for a multi-agency HUB*
- *Develop case recording system for Family Support \*(see QA above)*
- *Develop the use of Soft Smart within Children's Centres\**
- *Upgrade the admissions module of EMS*

### **4. Participation and Involvement**

- Evidence of impact - Feedback Loops
- Workforce Development – involving DBC staff in service design/QA/feedback/Health Check (is this fed back to staff)
- Use of 'what's changed?' logs
- Develop and implement the Raising of the Participation Age strategy - Full participation to 17 by 2013 and 18 by 2015

#### **Key Actions:**

- *Develop processes for staff involvement and feedback through Organisational health checks\**
- *Review existing participation in service design\**
- *Continue to develop the role of the Darlo Care Crew and link to other groups\**
- *Develop and increase the engagement of parents/carers, children and young people, foster carers and adopters\**
- *Develop and implement robust processes for feedback to those involved or participating in service design etc.\**
- *Improve the role of DBC staff in service design, quality assurance and service improvement\**

### **5. Value for Money/Resource Management**

- Eliminate duplication – services/processes

- Munro recommendations – e.g. use of skilled/qualified staff
- Edge of Care Services
- Commissioning – Intelligent Commissioning;
- Review use of CAMHS places and Residential Placements
- Use of resources
- Provision of school places

**Key Actions:**

- *Participate in the review of VfM processes for DBC*
- *Ensure implementation of Munro recommendations*
- *Develop Edge of Care services*
- *Evaluate workforce skills and competencies\**
- *Increase the quality and quantity of training delivered by the Learning and Skills team – Good success rates throughout the service*
- *Provide high quality intensive family learning support to meet the needs of the most vulnerable learners*
- *Take forward the 14-19 priorities of Tees Valley Unlimited and the 14-19 Sub-Regional Group*
- *Ensure appropriate provision of school places in line with demand and to ensure all pupils can be offered a place.*



## **ANNOUNCED INSPECTION SAFEGUARDING AND LOOKED-AFTER CHILDREN SERVICES ACTION PLAN:**

Following the Announced Inspection of Safeguarding and Looked after Children Services in November 2011 and the subsequent report issued January 4, 2012 a series of recommendations were made which the Council and its partners are addressing through a robust Action Plan. This Action Plan is being monitored routinely by the Council and through the LSCB Performance Sub Group for recommendations relating to partners e.g. PCT/CDDFT.

The headline recommendations are listed below for information only. The Service Delivery Plan Action Plans have been compiled using the inspection recommendations and other priorities identified by the management team.

### **Safeguarding:**

#### **Immediately**

- The council should ensure that core group meetings are held regularly according to need and within the minimum frequency in the policy. The council should ensure that minutes of meetings are sent to all core group members, whether or not they attended
- The County Durham and Darlington NHS Foundation Trust should ensure arrangements are in place to monitor and quality assures safeguarding children practice within its organisation.
- Darlington Memorial Hospital accident and emergency services (A&E) and Switch, the drug and alcohol team, should improve liaison arrangements in order to increase the number of young people referred to Switch following emergency treatment for drug and alcohol misuse.

#### **Within three months**

- Develop and embed the CAF process across all agencies.
- The council should improve the range and quality of service evaluation to examine the effectiveness and impact on outcomes of all services for children and families.
- Develop service user feedback on children's social care services.
- The council should include the audit of supervision records in its file audit framework and consider extending the range of staff who carry out case file audits to include front line practitioners and senior officers.
- The council should include the audit of supervision records in its file audit framework and consider extending the range of staff who carry out case file audits to include front line practitioners and senior officers.
- Improve the recording of management oversight and decision making.
- Improve the consistency of the quality of Child Protection Plans.
- The County Durham and Darlington NHS Foundation Trust should conduct a comprehensive training needs analysis across the organisation and compile a recovery plan to ensure that all staff employed by the trust access appropriate training as identified in the Intercollegiate Guidance.
- Midwifery services should monitor compliance with the National Institute for Health and Clinical Excellence (NICE) guidance on providing midwifery care to vulnerable groups of women.

### **Looked-after Children:**

#### **Immediately**

- The council should ensure statutory visits to looked after children and young people are clearly recorded in case records and are formally reported to reviews.

#### Within three months

- The Children's Trust should develop an overarching plan for looked after children that define all the priorities and desired outcomes for this group to enable the corporate parenting panel, managers and staff to maintain a clear overview of progress.
- The council and its partners should work together to ensure that the initial health reviews for children and young people are carried out within statutory timescales when they enter care.
- The PCT should improve the quality of health review assessments and health plans to include details of discussion about sexual health, emotional health and well-being, and substance misuse.
- The PCT should nominate a designated doctor for looked after children and young people.
- The council should improve access for foster carers to support, advice and assistance in the evenings and at weekends.
- The council should ensure that children and young people receive a copy of their care plan and that their parents receive a copy.
- The Council should review the current arrangements for looked after children's reviews to ensure that professionals can contribute in a way that best meets the needs of the children and young people involved.
- The Council should ensure there is sufficient capacity for independent reviewing officers (IROs) to meet all the requirements of the Care Planning, Placement and Care Review (England) Regulations 2010.

#### Within 6 months

- The council should improve the quality of care plans and social workers' reports for reviews.
- Improve and ensure the consistency of quality of case recording and reports.
- Review social worker caseloads and practise to ensure recording and case closure is completed in a timely manner.
- The Council should improve the quality of Personal Education Plans (PEP)

The priorities identified for the Service Delivery Plan. They will continue to be monitored by the senior management team through the Post Inspection Action Plan and replicated here within the Service Delivery Plan Priorities for consistency of oversight.

The post-inspection Action Plan is attached as **Appendix 1** for information purposes.

## Action Plans

<b>Customer Group</b>	Children, young people and families (including disabled children aged 0-18)
<b>PRIORITY 1:</b>	Early Identification and Intervention
<b>Key Performance Measures:</b>	NI 053a/ NI 053b/ New: User satisfaction survey (Data development with other satisfaction surveys e.g. NI 054)/ New: Number of Common Assessment Frameworks (CAF) recorded from Contact Information Records (Data development)/ NI 055a/ NI 055b/NI056a/NI056b/NI072/
<b>Link to Risk (if applicable):</b>	3; 6

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Develop services for troubled families and families on the edge of care	Dave Mason	Business case completion	April 2012	£20k initial set up £75k per year for 3 years 40% PBR
	Dave Mason	Development of model	June 2012	TBC
	Dave Mason	New JD for Specialist Family Support Manager post	May 2012	TBC
Ensuring assessments lead to the provision of appropriate services or signposting as necessary for disabled children and their families	Kevin Kelly	Complete review of Eligibility Criteria	April 2012	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Ensuring assessments lead to the provision of appropriate services or signposting as necessary for disabled children and their families	Kevin Kelly	Implement new Eligibility Criteria and ensure consistency through quality assurance measures	Ongoing	Within existing resources
	Ian Walker	Every young person aged 16 + will receive a Person Centred Plan	Ongoing	Within existing resources

<b>CUSTOMER GROUP:</b>	Children, young people and families (including disabled children aged 0-18): Schools Children and families in need of targeted or specialist support Private and voluntary and independent nurseries and childminders
<b>PRIORITY 2:</b>	Quality Assurance
<b>Key Performance Measures:</b>	JAR2016/JAR2035/JAR2042/LI1249/LI1503/ New: Attainment against standards for assessment and care planning - (Data to be Developed)/ NI019/ NI058/ NI062/ NI045/ NI075/ NI079/ NI080/ NI081/ NI082/ NI083/NI087
<b>Link to Risk (if applicable):</b>	5; 6

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Review and embed Quality Assurance Standards	Lisa Summers	Review completed of for the quality assurance framework.	May 2012	Within existing resources
	Lisa Summers	Revised audit tools completed.	May 2012	Within existing resources
	Lisa Summers	Review completed of core quality standards	May 2012	Within existing resources
	Lisa Summers	All to be implemented May	May 2012	Within existing resources
Develop workforce development programme for managers to support quality assurance standards.	Nik Flavell/ Donna Jones	Meet with social care managers to discuss options	May 2012	Within existing resources
Implement peer review and auditing	Lisa Summers	Schedule for multi agency auditing completed.	<b>Completed</b>	Within existing resources
	Lisa Summers	Initially Core group audit arranged for April 2012	April 2012	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Increase the quantity and quality of education and training provision available for vulnerable young people - All provision exceeds Minimum Levels of Performance and is appropriate for the needs of the learner: <ul style="list-style-type: none"> <li>- Foundation Learning provision</li> <li>- Alternative provision</li> <li>- ESF funded provision</li> <li>- LLDD provision in conjunction with the Sub Regional Group</li> </ul>	Helen Ellison		TBC	Within existing resources

<b>Customer Groups</b>	External partners – health, courts, probation, CAFCASS, Police Children, young people and families (including disabled children aged 0-18)
<b>PRIORITY 3:</b>	IT Systems
<b>Key Performance Measures:</b>	No specific measures identified
<b>Link to Risk (if applicable):</b>	2

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Review existing systems	Ann Lovegreen	Review and evaluate existing IT systems through Social Care Project Board	TBC	Within existing resources
Implement recommendations of Carefirst RPIW	David Mason	RPIW event held April 30, 2012	May 4, 2012	Within existing resources
Review of Soft Smart within Children's Centres	Sharon Quincey & Ann Lovegreen	Audit of usage, quality & usefulness of application	June 2012	£5k from PBR
Develop case recording system for Family Support	Yvonne Coates Ann Lovegreen	Identify what products are available & go through procurement process	Sept 2012	Within existing resources
	David Mason	Identify options for data collection within Children's Centres	Sept 2012	Within existing resources

<b>Customer Groups</b>	Children, young people and families (including disabled children aged 0-18) Schools Private voluntary and independent nurseries and childminders
<b>PRIORITY 4:</b>	Participation and Involvement
<b>Key Performance Measures:</b>	NEW - Increased participation of children, young people and families in providing service feedback through survey work
<b>Link to Risk (if applicable):</b>	6

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Review existing participation arrangements in service design	Yvonne Coates/ Sharon Quincey	Continue to develop children centre advisory boards to take into account funding	Sept 2012	Within existing resources
Review participation groups	Yvonne Coates/ Mervyn Bell	Development of youth partnerships.	Sept 2012	Within existing resources
	Yvonne Coates/ Mervyn Bell	Review other processes and procedures and identify opportunities for improvement and develop end user surveys	Sept 2012	Within existing resources
Develop and increase the engagement of parents/carers, children and young people, foster carers and adopters	TBC	Review & continue to develop engagement of parent/carers and Children & young people etc	Sept 2012	Within existing resources



<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Develop processes for staff involvement and feedback through Organisational Health Check	TBC	TBC	TBC	Within existing resources
Review existing participation in service design	TBC	TBC	TBC	Within existing resources
Develop and increase the engagement of parents/carers, children and young people, foster carers and adopters	TBC	TBC	TBC	Within existing resources
Develop and implement robust processes for feedback to those involved in or participating in service design etc.	TBC	TBC	TBC	Within existing resources
Improve the role of DBC staff in service design, quality assurance and service improvement	TBC	TBC	TBC	Within existing resources
Develop and implement the Raising of the Participation Age strategy - Full participation to 17 by 2013 and 18 by 2015	Helen Ellison	TBC	TBC	Within existing resources

<b>Customer Groups</b>	External Partners/Council
<b>PRIORITY 5:</b>	<b>Value for Money/Resource Management</b>
<b>Key Performance Measures:</b>	To be determined
<b>Link to Risk (if applicable):</b>	

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Participate in the review of VfM processes for DBC	TBC	TBC	TBC	Within existing resources
Eliminate duplication services/processes	Yvonne Coates	Develop processes including lessons learnt from CAF RIPW and other service reviews	January 2012 April 2012 July 2012	Within existing resources
Ensure implementation of Munro recommendations for skilled and qualified staff	TBC	TBC	TBC	Within existing resources
Develop Edge of Care Services	TBC	TBC	TBC	Within existing resources
Review CAMHS and Residential Placements	TBC	TBC	TBC	Within existing resources
Use of resources	Yvonne Coates	Effective alignment to budgets to service areas and address effective allocation	September 2012	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Awareness of workforce skills and competencies	Yvonne Coates	Review current work streams & job descriptions	July 2012	Within existing resources
Embed efficiency culture across the service	Yvonne Coates	Develop a culture of effective budget management	July 2012	Within existing resources
Increase the quality and quantity of training delivered by the Learning and Skills team	Helen Ellison	Good success rates through the service	TBC	Within existing resources
Provide high quality intensive family learning support to meet the needs of the most vulnerable learners	Helen Ellison	Increased take up of learning opportunities	TBC	Within existing resources
Take forward the 14-19 priorities of Tees Valley Unlimited and the 14-19 Sub-Regional Group	Helen Ellison	TBC	TBC	Within existing resources
Ensure appropriate provision of school places in line with demand	Rachel Jones	Work with schools to ensure admissions procedures comply with legislation	In line with statutory deadlines	Within existing resources
Ensure appropriate provision of school places in line with demand	Rachel Jones	Ensure an accessible and responsive School Admissions process for residents and potential residents of the Borough.	In line with statutory deadlines	Within existing resources

## Section 5 – Managing the Business

### Risks

#### Risks Identified

Through the service planning process, risks are identified and assessed in terms of probability and potential consequence. Arrangements are made to manage risks within acceptable levels with the aims of minimising losses and maximising opportunities for the Council.

Where risks are assessed as being above acceptable levels, action plans are put in place to reduce exposure by either reducing the likelihood of an event occurring or lessening the impact. Each action plan is assigned to and managed by a senior officer. All Service Areas are required to monitor their risks and review the action plans required for risks above the 'appetite line' through existing management arrangements ensuring that the ranking of the risk is reviewed and revised where it is appropriate to do so and a clear audit trail of these actions maintained through minutes/action logs from Senior Management Teams (SMT) i.e. DMT/SLT meetings of Directors/Assistant Directors.

AC Risk Ref	SDP Risk No.	Risk	Risk Category	Responsible Person
-	CFL1	Retention of children's workforce	D/II	Jenni Cooke
PE23	CFL2	Consistency of external funding streams and financial allocation	C/II	Jenni Cooke
-	CFL3	Impact of welfare reforms	D/II	David Mason
PE1	CFL4	Increased number of LAC and budgetary impact	C/II	Jenni Cooke
-	CFL5	Fragmentation of Schools@onedarlington	D/II	Jenni Cooke
PE22	CFL6	Ensuring appropriate assessment, interventions or signposting to services for disabled children and their families	C/II	Kevin Kelly

## Plotting the Risks

The above risks are plotted on the Risk Matrix below. This shows the status of the risks in relation to our 'risk appetite'. 'Above the Line' risks – those plotted within the shaded part of the matrix – require specific action to bring them within acceptable limits; 'Below the Line' risks, plotted in the un-shaded area, are already deemed to have satisfactory management controls in place.

<b>LIKELIHOOD</b>	A				
	Very High				
	B				
	High				
	C			2, 4, 6	
	Significant				
	D			1, 3, 5	
	Low				
	E				
	Very Low				
F					
Almost Impossible					
	IV Negligible	III Marginal	II Critical	I Catastrophic	
	<b>IMPACT</b>				

The potential for controlling risks identified as above the line is addressed through management action plans. Most risks are capable of being managed – either by managing down the likelihood or impact or both. Relatively few risks have to be avoided or transferred. Action plans identify the resources required to deliver the improvements, key deadline date and critical success factors/ Key Performance Measures.

## Risk Scenarios

### Risk 1 –Retention of children’s workforce

Vulnerability	Trigger	Consequence
Loss of staff or insufficient staff to respond to workload	Resignations Staff Vacancies	Inability to meet statutory requirements
<b>Controls in place</b> Monitoring of workloads Review of caseloads Good supervision and support of staff		

### Risk 2 – Consistency of external funding streams and financial allocation

Vulnerability	Trigger	Consequence
Reduced funding	Central Government policy changes Withdrawal of funds to local government	Inability to meet statutory duties
<b>Controls in place</b> Monitoring of budget to ensure maximum efficiencies Influencing local budget allocations and ring fencing grants		

### Risk 3

Impact of welfare reform increases levels of demand

Vulnerability	Trigger	Consequence
Increased poverty and crisis situations	Increased referrals based on financial difficulties	Inability to respond effectively Additional demands on the budget. Insufficient capacity Staff stress Service failure Complaints
<b>Controls in place</b> Monitoring of budget to ensure maximum efficiencies Influencing local budget allocations and ring fencing grants		

**Risk 4:** Increased number of Looked-after Children and budget implications

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Insufficient in-house provision	Increased numbers	Budget overspend
<b>Controls in place</b> Continue the development of edge of care services Continue the development of Early Intervention and Prevention Services Continued improvements in commissioning to reduce placement costs		

**Risk 5:** Fragmentation of schools@onedarlington

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Schools@onedarlington does not provide a consistent approach across the academies	Partnership ceases to be effective	Academies become isolated from schools@onedarlington and the local authority
<b>Controls in place</b> Continued support of schools@onedarlington Maintaining partnership working		

**Risk 6 –** Ensuring appropriate assessment, interventions or signposting to services for disabled children and their families

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Reduced staff resources to complete necessary assessments and deliver the required interventions.	Increased referrals and enquiries from the public. High caseloads. Staff sickness and morale.	Unmet need for vulnerable families and increased risk of legal challenge.
<b>Controls in place</b> Workload management and operating of a waiting list to prioritise outstanding work. Review of processes and implementation of the review system to maximise staff resources for new cases.		

**Risks Classified as Priorities for Improvement** (those above the risk appetite line)

<b>Risk No.</b>	<b>Risk</b>	<b>Current Risk Score</b>	<b>Target Risk Score</b>
CFL2	Consistency of external funding streams and financial allocation	C/II	D/III
CFL3	Impact of welfare reform increases levels of demand	C/II	D/III
CFL6	Ensuring appropriate assessment, interventions or signposting to services for disabled children and their families	C/II	D/III



## Risk Management Action Plans

### Risk 2: Consistency of external funding streams and financial allocations

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Monitoring of budget to gain efficiencies	Jenni Cooke	Balanced budget	Mar 2013	1/12
Influencing internal and national agendas	Jenni Cooke		Mar 2013	

### Risk 3: Impact of welfare reform increases levels of demand

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Development of Edge of Care Services Early Intervention and Prevention	Yvonne Coates	Reduced demand for specialist services	Mar 2015	3/12
Review Commissioning processes to respond to demands	Elaine O'Brien	Effective commissioning	Mar 2015	3/12

### Risk 6: Ensuring appropriate assessment, interventions or signposting to services for disabled children and their families

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Regular workload management	Ian Walker	To be decided	Ongoing	4/52
Operation of a waiting list to prioritise outstanding work.	Ian Walker	To be decided	Ongoing	4/52
Review of processes and use of the Review system to maximise staff resources for new cases.	Ian Walker	To be decided	Ongoing	4/52

## ANNOUNCED INSPECTION ACTION PLAN FOR SAFEGUARDING RECOMMENDATIONS

Action Plan: Announced Inspection of Safeguarding and Looked after Children Services 2011				Date/Version: Version 9 160512 JSW/CC	
Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
<b>IMMEDIATE</b>					
1. The council should ensure that core group meetings are held regularly according to need and within the minimum frequency in the policy. The council should ensure that minutes of meetings are sent to all core group members, whether or not they attended		NF/LS	a) Core group guidance to be completed subject to agreement of LSCB.	GUIDANCE COMPLETED	Proforma in development – not live yet.
		LS	b) As part of the conference process, Chairs to identify a 'Deputy' for core groups.		Await sign off 30 May 2012.
			c) This to be logged as part of management oversight, and monitored via staff supervision.	21 June 2012	
		LS	d) To continue to	21 June 2012	DBC in house

Action Plan: Announced Inspection of Safeguarding and Looked after Children Services 2011				Date/Version: Version 9 160512 JSW/CC	
Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
			monitor core group frequency via quarterly LSCB/ Management reports		
		JT	e) Multi agency training to be developed and delivered on function of core group.	21 June 2012	Course developed but cancelled as no take up. Action Plan to improve attendance of Core Group. LCSB can move this forward
		NF	f) To improve the quality of minutes and dissemination via monitoring and spot check.	21 June 2012	Relates to quality of Carefirst reports. Await outcome of RPIW. For discussion at next LSCB in July. Ofsted documentation is a priority on Carefirst, latest report to LSCB.

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Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
2. The County Durham and Darlington NHS Foundation Trust should ensure arrangements are in place to monitor and quality assures safeguarding children practice within its organisation.	MONITORED BY LSCB Performance Sub Group	CDDFT	a) MONITORED BY LSCB Performance Sub Group		Latest report to LSCB.
3. Darlington Memorial Hospital accident and emergency services (A&E) and Switch, the drug and alcohol team, should improve liaison arrangements in order to increase the number of young people referred to Switch following emergency treatment for drug and alcohol misuse.	MONITORED BY LSCB Performance Sub Group	CDDFT	b)		Latest report to LSCB.

Action Plan: Announced Inspection of Safeguarding and Looked after Children Services 2011				Date/Version: Version 9 160512 JSW/CC	
Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
<b>Within 3 Months</b>					
<b>4. Develop and embed the CAF process across all agencies</b>	Review processes for CAF and ensure multi-agency involvement	DM	a) Rapid improvement event to review the use of CAF, review the document, how this is used/ and by who.	21 June 2012	Responsibility of Children and Young People's Collective.
		DM	b) Governance and monitoring arrangements to be developed.	21 June 2012	Performance management to be governed by LSCB.
	Ensure multi agency agreement and understanding of thresholds of need and access to Children's social care services.	DM/YC	c) Review current documents relating to thresholds so these are easy to understand and user friendly.	21 June 2012	Indicators of Concern to be moved to Child Protection home page on Social Care website as a hyperlink.
		DM/YC	d) Launch of thresholds via staff briefing sessions		DBC Workforce Development/LSCB
		JT	e) Thresholds to be introduced via LSCB training.		Indicators of Concern - Module 2 CAF Training

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Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
<b>5. The council should improve the range and quality of service evaluation to examine the effectiveness and impact on outcomes of all services for children and families</b>	Establish baseline of current service evaluations	JC	a) Baseline	20 July 2012	Baseline to be checked with the commissioners.
			b) Identify services where evaluation will add value – March,16	20 July 2012	
			<b>c) Prioritise future evaluation programme</b>	<b>May 2012</b>	<b>Check Jenni – what does this mean?</b>
<b>6. Develop service user feedback on children’s social care services</b>	Develop service user feedback mechanisms for each stage in social care: Duty, A&I, Children in our Care, Leaving Care, Review Service including CP/ LAC Reviews	NF	a) Establish baseline via audit of current systems	COMPLETED	No baselines or accurate feedback are available.

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Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
		NF	b) Development of feedback tools	21 June 2012	A & I to pilot. Measurement tool in place. Need to determine how to send it out and capture it. Auto generate and record.
	The LSCB to develop mechanisms for seeking the views of children and young people	OS	c) Business Plan 2012/2013 to be agreed by LSCB March 2012. Includes a routine programme for seeking the views of children and young people. Including setting up forums of young people within education settings that will be consulted on a regular basis. Collate across partners the current mechanisms in place for seeking the views of children and young people.	COMPLETED	LCSB agreed in March. Setting up participation plan in May. Forum established.

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Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
<b>7. Develop service user feedback on children's social care services</b>	Continue to develop and embed the work of the Darlo Care Crew	MS plus Mervyn Bell/ Andy Whittam	a) Review recruitment mechanisms and publicity of Darlo Care Crew to engage with all looked after children and young people.		<b>Ask Andy Whittam for update – JSW to review</b>
			b) To improve the links with other groups of children and young people in Darlington.		<b>As above</b>
		NF	c) Implementation		<b>As above</b>
		NF	d) Establish mechanisms to collate, disseminate and feedback to service users/ staff/ management on 'what has changed'.		<b>As above</b>



<b>Action Plan:</b> Announced Inspection of Safeguarding and Looked after Children Services 2011	<b>Date/Version:</b> Version 9 160512 JSW/CC
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<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
<b>8. The council should include the audit of supervision records in its file audit framework and consider extending the range of staff who carry out case file audits to include front line practitioners and senior officers</b>	Review process and revise procedures for managers	DM/LS	a) Review the quality assurance framework.	COMPLETED	
		DM/LS	b) Review current audit tools to ensure these are user friendly and part of a QA file.	COMPLETED	
		NF	c) Develop case closure audits for manager at each social care stage.	COMPLETED	
	Extend and embed the case file auditing /quality assurance framework	LS	d) Briefing to managers	COMPLETED	

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Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
<b>9. Improve the recording of management oversight and decision making.</b>	Supervision procedures to be reviewed to clearly detail how/ when managers record their decisions.	NF	a) Carefirst to incorporate the procedure	21 June 2012	Paper to CMT w/c 21May 2012
		NF	b) Managers briefed on how to do this so there is a consistent approach.		
	Case file audits to include assessment of management recording and oversight.	NF	c)	21 June 2012	
	Update/refresh training for managers	DM	d) Managers to receive supervision training		Refresh training on new process in house.
		NF	e) Senior Managers to audit supervision files/ records to improve quality / consistency.	COMPLETED	

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<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
<b>10. Improve the consistency of the quality of Child Protection Plans</b>	Reinforce timescales with Practise Supervisors and managers	DM	a) Managers to oversee the timeliness of CP reports for conferences.		Performance Clinic process on monthly basis with Management Information Team.
		NF	b) Managers to effectively quality assure reports/ core groups.	COMPLETED	New process being rolled out. Training ongoing. Continuous professional development.
		LS	c) Monthly audit of plans from each Conference chair.		

<b>Action Plan: Announced Inspection of Safeguarding and Looked after Children Services 2011</b>				<b>Date/Version: Version 9 160512 JSW/CC</b>	
<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
<b>11. The County Durham and Darlington NHS Foundation Trust should conduct a comprehensive training needs analysis across the organisation and compile a recovery plan to ensure that all staff employed by the trust access appropriate training as identified in the Intercollegiate Guidance.</b>		CDDFT	a) MONITORED BY LSCB Performance Sub Group		MONITORED BY LSCB Performance Sub Group
<b>12. Midwifery services should monitor compliance with the National Institute for Health and Clinical Excellence (NICE) guidance on providing midwifery care to vulnerable groups of women.</b>		CDDFT	b) MONITORED BY LSCB Performance Sub Group		MONITORED BY LSCB Performance Sub Group

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<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
<b>End of Safeguarding Action Plan</b>					

**ANNOUNCED INSPECTION ACTION PLAN FOR LOOKED-AFTER CHILDREN SERVICES RECOMMENDATIONS**

<b>Action Plan:</b> Announced Inspection of Safeguarding and Looked after Children Services 2011			<b>Date/Version:</b> Version 9 160512 JC/CC		
<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
<b>IMMEDIATE</b>					
<b>12. The council should ensure statutory visits to looked after children and young people are clearly recorded in case records and are formally reported to reviews.</b>	Review procedures to ensure statutory visits are carried out and clearly recorded	NF	a) Build Carefirst capacity to enable statutory visits to be fully recorded, and monitored.	COMPLETED	
		NF	b) Complete briefing to staff to reinforce what is recorded as a statutory visit, how it should be recorded, and timeframes	COMPLETED	
		NF	c) Practice Supervisors/ Team Managers to monitor via supervision.	COMPLETED	
		LS	d) IRO's to alert managers following LAC Reviews/ CP conferences where statutory visits have not taken place.	COMPLETED	
		NF/MS	e) Upon receipt of feedback, Practice	COMPLETED	Evidencing attempts at visits also taking

<b>Action Plan:</b> Announced Inspection of Safeguarding and Looked after Children Services 2011				<b>Date/Version:</b> Version 9 160512 JC/CC	
<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
			Supervisors/ Team Managers to identify the reason for this, and have oversight of the accuracy of recording.		place.
<b>Within 3 Months</b>					
<b>13. The Children's Trust should consider the development of an overarching plan for looked after children, that define all the priorities and desired outcomes for this group to enable the corporate parenting panel, managers and staff to maintain a clear overview of progress.</b>	Children's Trust to receive Inspection Report and recommendation	JC	a) Children's Trust Board (Feb 24, 2012) considered the recommendation. Outcome decision deferred to CYP collective	COMPLETED	

Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
<b>14. The council and its partners should work together to ensure that the initial health reviews for children and young people are carried out within statutory timescales when they enter care</b>	Review process and systems currently in place	MS	a) Identify 'blocks' Revise process and protocols to address	COMPLETED	
		LS	b) Independent Reviewing Officers to identify following reviews, where these have not been completed and alert relevant managers	COMPLETED	
<b>15. The PCT should improve the quality of health review assessments and health plans to include details of discussion about sexual health, emotional health and well-being, and substance misuse</b>		PCT	a) MONITORED BY LSCB Performance Sub Group	COMPLETED	
<b>16. The PCT should nominate a designated</b>		PCT	a) MONITORED BY LSCB Performance	COMPLETED	Dr Sally Wade



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<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
doctor for looked after children and young people			Sub Group		
<b>17. The council should improve access for foster carers to support, advice and assistance in the evenings and at weekends.</b>	Review current arrangements	MS	a) Questionnaire prepared and issued to foster carers to assess type and level of support required. Completed questionnaires to be returned mid-March to Manager, Family Placement Service	COMPLETED	Awaiting follow up report from Hillary Tillotson
<b>18. The council should ensure that children and young people receive a copy of their care plan and that their parents receive a copy</b>	Social Workers to provide a copy of care plans to all children looked after and their parents.	NF	a) To be completed by the SW, to ensure children and young people fully understand the plan.		Form re-design is taking longer than anticipated. Care Plan will come down to BSHP and RPIW.

Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
<p><b>19) The council should ensure that children and young people receive a copy of their care plan and that their parents receive a copy</b></p>		DM/LS	a) IRO's feedback following LAC reviews to alert managers if children/ young people have not received a copy of their plan.	COMPLETED	
		DM	b) Managers to oversee process.		
<p><b>20. The Council should review the current arrangements for looked after children's reviews to ensure that professionals can contribute in a way that best meets the needs of the children and young people involved</b></p>	<p>Review the current arrangements and revise process if needed</p>	LS	a) To review invite processes so that children and young people's views in attendance at reviews are sought by the social worker.		LSCB now receiving performance data with regard to LAC Reviews.
		LS	b) Review current procedure on involvements of professionals		As above

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<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
		LS	c) MALAC views to be sought on how best for agencies to contribute.		As above
<b>21. The Council should ensure there is sufficient capacity for independent reviewing officers (IROs) to meet all the requirements of the Care Planning, Placement and Care Review (England) Regulations 2010.</b>	Report on capacity based review	LS	a) Review current work of IRO's and ensure statutory work is prioritised.	COMPLETED	
		LS	b) Foster carer reviews to be removed from IRO service to increase capacity of statutory provision.		
		LS/JC	c) Care Planning Regulations-priorities to be agreed on what will/ will not be implemented.		

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<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
<b>Within 6 months</b>					
<b>22. The council should improve the quality of care plans and social workers' reports for reviews</b>	Ensure the quality of care plans and social workers' reports for reviews is consistent and of a high standard	NF/LS	a) Review current documents – care plans, social worker reports, LAC review chairs reports, so that the plan is clear.	May 2012	Consulted on deficiencies new version being drafted and will be going out for consultation. Following agreement of care plan all Managers to adhere to process.
		NF	b) LAC documents to be quality assured by managers prior to any LAC review.		Linked to RPIW – QA process non existence electronically. Significant issue with Carefirst. Closed not signposted to manager. Cannot generate version control.
		WS/RS	c) IRO's/ Managers to agree quality standards for care plans/ PEP's/ Social Worker reports; briefing to staff.	14 May 2012	Key elements of effective practice linked in with workforce development.

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<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
		LS	d) LAC Review feedback sheets to managers to feedback on the quality of documents	COMPLETED	
<b>23. Improve and ensure the consistency of quality of case recording and reports</b>	Review processes and develop appropriate methodology to ensure quality and standards	NF	a) Quality standards document to provide details of what makes quality recording/ reports.		Part of RPIW event and Workforce Development. Documents need to be appropriately designed and QA against the document.
		NF/MS	b) As part of supervision, managers to audit/ sample recording of staff and address as necessary.		

Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
		LS	c) IRO's to feedback recording issues identified through CP Conferences and LAC Reviews to relevant managers.	COMPLETED	Feedback form amended.
<b>24. Improve and ensure the consistency of quality of case recording and reports</b>	Ensure the views, wishes and feelings of children and young people are clearly evidenced in all assessments	NF	a) Review and amend assessments to ensure the views/wishes and feelings of children and young people included and family history.	May 2012	
		NF	b) Managers / staff completed assessment training		None have completed.
		NF	c) Managers to arrange staff briefing/ training on undertaking assessment visits.		Workforce Development have a training plan for managers and the workforce.

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Ofsted Recommendations /Timescale	Actions Required	Responsible officer(s)	Milestones	Completion date	Monitoring/ Status Notes
<b>25. Review social worker caseloads and practise to ensure recording and case closure is completed in a timely manner</b>	Procedures reviewed and revised	NF	a) Information Management Team to provide weekly caseload lists to managers.	COMPLETED	
	Ensure completed chronologies are on all case records	DM/NF	b) Manager to audit all cases to identify cases where there is no/ poor chronology.	16 May 2012	RPIW
		DM/NF	c) Staff briefing to be completed to detail, what is a chronology, what is should include.	16 May 2012	RPIW
		LS	d) Multi agency chronologies to be developed with partners. To develop written guidance procedures via working group.		Awaiting sign off.
		JT	e) To develop multi agency training on completing chronologies		Core Group Conference Training – no attendance/take up

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<b>Ofsted Recommendations /Timescale</b>	<b>Actions Required</b>	<b>Responsible officer(s)</b>	<b>Milestones</b>	<b>Completion date</b>	<b>Monitoring/ Status Notes</b>
<b>26. Improve the quality of Personal Education Plans (PEP)</b>	Audit Personal Education Plans.	DM	a) Team Managers to audit PEP quality and report to Children & Families Management Team	Aug 2012	To be picked up through PMF.
	Ensure social workers and education staff are completing Personal Education Plans	MS	b) SW briefings completed on 'what makes a quality PEP'. Examples of good practice to be shared with staff.	Sep 2012	Improvements in place for start of school year 2012-13
	IRO's to feedback of quality of PEP's following LAC Review.	MS	c) Feedback process amended.	COMPLETED	
<b>End of Looked-after Children Services Action Plan</b>					





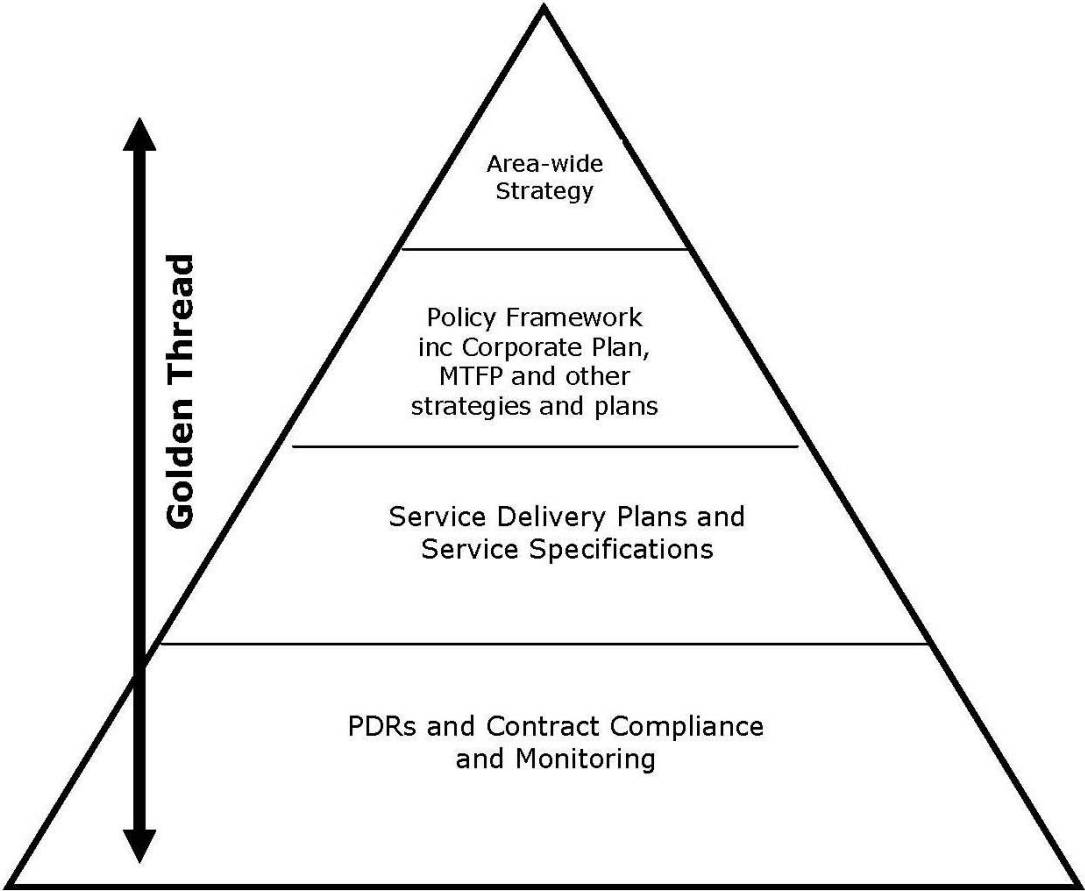
**Development  
and  
Commissioning**

**Service Delivery Plan  
2012 – 2013**

**Purpose of this Plan**

This Service Delivery Plan sets out the activities that the Development and Commissioning Service will deliver over the next 3 years to improve outcomes for our customers. The Service Delivery Plan forms part of the Council's 'golden thread' which ties together all of the key strategies, from the Area-wide Strategy and our two priorities **One Darlington: Perfectly Placed** down to individual staff PDRs and/or delivery of contracts. The diagram below illustrates the model.

**Golden Thread**



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## **Section 1: Who are our customers?**

1. Whole Population including children and young people – Users/beneficiaries of our services e.g. Advice Services, Welfare Rights, Darlington Together, Community Safety; and identifying Carers as a specific customer group.
2. The Third Sector, Private, Voluntary and Independent Sector
3. Members / Cabinet
4. Chief Officers' Executive/ Chief Officers' Board
5. Senior Leadership Team/ Heads of Service/ Service Managers
6. The Darlington Partnership & other significant partnerships
7. Schools and Settings
8. Government Departments, Executive Agencies and other public bodies

## **Core Functions of the service**

This service is made up of the following sections and teams:

### **Communities**

- Develop and provide day to day management of accountability and governance arrangements for the Community Safety Partnership (CSP), liaising with the Police, Police Authority, Probation Service, Fire and Rescue Service and Primary Care Trust and other Council teams.
- Produce an Annual Community Safety Plan and manage processes for monitoring the performance of partners and Council teams delivering the plan objectives. Ensure continued knowledge of the developing agenda on community safety issues and to undertake the community safety aspects of the Darlington Single Needs Assessment, advising on compliance with statutory legislation and best practice.
- Work with others to identify new ways of working on community safety issues that will provide better outcomes for residents and create greater confidence and cohesion within communities.
- Undertake research in identified policy areas and provide written reports.
- Co-ordinate community safety and crime prevention activity across the CSP and the borough, managing specific projects and reporting on their evaluation.
- Provide advice and support to the Responsible Authorities and Council Members, including reporting to Scrutiny Committee as appropriate.
- Represent the Council on internal and external forums and events as necessary.

### **People Strategy and Improvement**

- Responsible for corporate Service Planning, Service and Policy functions and Corporate Performance reports to national, regional, local and government organisations and agencies and the Council's partner organisations.
- Contribute to corporate business continuity and emergency planning processes.
- Co-ordinate and respond to inspection from external bodies such as Care Quality Commission and Ofsted; provide data and information to inspectorates and develop and monitor Action Plans following publication of the Inspection Reports.
- Undertake the collection, analysis and publication of data and information relating to Services for People group, typically around Housing, Health, Adult

Social Care, Children, Young People and Families and Schools and the co-ordination of the Council's duty to provide statutory data returns to Government and its agencies and compliance with the same.

- Co-ordinate policy research and performance analysis and the Council's performance management framework. Produce performance and exception reports to the Council, Cabinet and Scrutiny Committees on a scheduled and ad-hoc basis. Manage the Corporate reporting system and survey analysis software (SPSS).
- Ensure value for money is achieved in all Services for People through the bridging of performance and financial data to challenge whether services are achieving their purpose. Identify systemic deficiencies and address these by modernising business processes and practice to ensure qualitative improvements.
- Manage Business Support to ensure that the People Services grouping administrative and office management functions operate efficiently and meet changing needs. Ensure that business processes are efficient and effective and are supported by complementary ICT processes and solutions.
- Undertake management and oversight of all information systems for People Services and how they can be integrated: Including responsibility for Information Governance processes and systems ensuring that data is reliable and of a high quality.
- Commission, co-ordinate, develop and provide training to staff within the Services for People group providing specialist advice and support to staff.
- Work collaboratively with partners from across other organisations / localities/ sectors to ensure training and development opportunities that meet the identified needs and support improving outcomes for service users.

### **Commissioning and Health Partnerships**

- Develop and support the delivery of the Council's commissioning intentions for People Services, working towards the Council's business model of becoming a commissioning authority by 2015.
- Promote a wide understanding of commissioning as a key function throughout the Council and to facilitate the embedding of the commissioning element of the Commissioning and Procurement framework to ensure good practice across all elements of commissioning and contracting.
- Commission intelligently using the Single Needs Assessment and data analysis information in order to better understand the needs of Darlington residents.
- Review existing service delivery models by working with people using services and support, Council operational staff, private, voluntary and independent providers to identify need, gaps in service provision and then to redesign support services to deliver the agreed outcomes for the citizens of Darlington.
- Work collaboratively within the commissioning team and our partners to promote and develop effective high quality support services that offer value for money for the people of Darlington.
- Ensure the monitoring and measurement of commissioned services against agreed outcomes and objectives of both internal and external providers.
- Participate in national, regional and sub-regional forums that are relevant to the commissioning functions, learning from good practice and innovation; contribute to the development of regional and sub-regional commissioning initiatives.
- Engage effectively with those who use the commissioned services to ensure the desired outcomes are being delivered to them.

- Contribute to the sustainability and resilience of all sector providers to ensure the existence of a rich and diverse market economy that meets the needs of the people of Darlington.
- Lead and co-ordinate our partners to maximise funding opportunities that may become available to improve the outcomes for the people of Darlington.
- To lead on development areas such as the Health reforms.

**Darlington Partnership:**

- The function of the Partnership service area is to support Darlington Partnership in driving forward the community strategy One Darlington Perfectly Placed. This is carried out by providing strategic support for the Partnership in establishing priorities and developing cross sector action plans to address them. Support function includes advice on strategic direction, co-ordination of activity, administrative support for meetings and event facilitation.

## **Section 2 – Measuring Outcomes**

### **How do we know if our customers are better off?**

#### **1. Whole Population including Carers**

Welfare Rights deliver high-quality advice and support, good quality information to support choice and independence. Residents are engaged and involved in decision-making process and report the ability to have their voice heard. The Council is held accountable for performance and value for money. Building a resilient community will lead to reducing demand for some services.

**Carers** – the proportion of carers judging the service they receive as good or excellent.

#### **2. Third Sector, Private, Voluntary and Independent Sectors**

The Council provides support for grant applications assisting third sector organisations with the process to access financial support.

#### **3. Members/Cabinet –**

Key activities to Members and Cabinet ensure that: -

- Members/Cabinet are briefed responsively receiving general advice and guidance on policy framing and decision making, such as performance reports and consultation documents. This is enhanced through horizon scanning to predict future issues and propose responses.
- Partnerships are facilitated.
- The community is involved.
- There is support for Members in exercising their community leadership role.

#### **4. COE/COB –**

It is important that services are developed which are well commissioned using an effective Business model and Corporate Plan which delivers quality outcomes for the Community and the Council. Effective Outcomes Based Performance Management Framework is in place and robustly monitored. COE and COB receive timely and responsive policy briefings and advice. All services are improved through transformation and innovation.

#### **5. Senior Leadership Team /Heads of Service/Service Managers**

The use of performance reports, policy advice and briefings, support and planning for external inspection/peer support and self-evaluation. The Council has a well supported and competent workforce whose training and development needs are regularly assessed and met. Effective and efficient ICT and business processes are in place that supports the delivery of services.

#### **6. The Darlington Partnership & other significant partnerships**

The requirements from partnerships is similar to Members but including network development, co-design, joint planning and commissioning of services and programmes to deliver better outcomes and to maximise use of collective resources.

## 7. Schools and Settings

There is timely and accurate information and data available to schools/academies in line with the Service Level Agreements (SLA) and bespoke support, advice and guidance is provided in line with these agreements.

## 8. Other

Government Departments, Executive Agencies and public bodies - There is an accurate and timely supply of statutory and non statutory returns.

### **How can we measure if we are delivering services well?**

A number of key performance measures have been identified relating to identified customers and how they are better off.

### **Chief Officers' Executive/Chief Officers' Board**

No specific measure identified.

### **Whole Population:**

% of local people who feel informed how they can get involved in local decision-making - *(dependent on the development of Darlington's Community Survey)*.

% of local people who agree that their local area is a place where people from different backgrounds get on with each other - *(dependent on the development of Darlington's Community Survey)*.

Measure(s) of Darlington Together outcomes to be developed.

### **Carers:**

The proportion of carers judging the service they receive as good or excellent.  
Carer reported quality of life.

### **Third Sector and Independent Sector:**

% of people who in the last 12 months have given time unpaid to groups, organisations or individually.

### **Members/Cabinet:**

No specific measure identified.

### **COE/COB:**

% of commissioned services which fulfil their specification *(Data Development)*.

### **Senior Leadership Team /Heads of Service/Service Managers:**

% of social care staff rating Continued Professional Development (CPD) opportunities as satisfactory or better.



**Schools and Settings:**

% of schools/settings rating the School Data SLA as good or better (*Data Development*).

**Darlington Partnership/other partnerships:**

Percentage of people local people who agree local public services:

- i. Are working to make the area safer.
- ii. Promote the interests of local residents.
- iii. Act on the concerns of local residents.
- iv. Treats all people fairly (*Dependent on the development of Darlington's Community Survey*).

**Other Government Departments, Executive Agencies and public bodies:**

No specific measure identified.

### Section 3 – Current Performance

Following the Government’s changes to the collection of data across the public sector, robust analysis and comparison of trend data is difficult. There are some proxy measures which give a ‘best fit’ comparison allowing for the national changes. The determination of locally obtained survey information following the cessation of the Place Survey will result in developing our own suite of questions to gather the views of the population across a range of key service areas. These results will feed into the analysis of performance to improve services.

From 2013 comparison and analysis of trends will be contained in this section of the service plan.

The following table shows the trend information which is currently available for the key performance measures identified through OBA workshops and agreed by the Senior Leadership Team in January 2012.

Ref	Performance Measure	2008-09	2009-10	2010-11
NEPS Q6i	% of local people who agree that local public services are working to make the area safer - (dependent on the North East Resident Perception Survey)	54.3% (Place Survey)	N/A	N/A
NEPS Q14	% of local people who feel informed how they can get involved in local decision-making - (dependent on the North East Resident Perception Survey)	30.5% (Place Survey)	N/A	N/A
NEPS Q15	The number of people who in the last 12 months have given time unpaid to groups, organisations or individually	19.8%	12.5%	NA
NEPS Q18	% of local people who agree that their area local area is a place where people from different backgrounds get on with each other (dependent on new Darlington Community Survey)	46.4% (Place Survey)	71.2% (Community Survey)	N/A
New	% of commissioned services which fulfil their specification (DD)	N/A	N/A	N/A
New	% of social care staff rating CPD opportunities as satisfactory or better	N/A	N/A	N/A

## **Section 4 – Action Planning**

Action Plans have been developed to address the key priorities for Development and Commissioning for 2012-2015 having regard to major changes in the local authority landscape e.g. Police Crime Commissioner and Health Reforms.

**COE** will provide challenge in terms of: -

- Articulate the benefits of the Early Intervention and Prevention agenda across service areas e.g. Development and Commissioning; Children, Families and Learning; and Adult Social Care.
- Identify and measure savings to deliver VfM.
- Further develop the Budget Strategy (Zero Based Planning) for 2012 embedding throughout the organisation including Members.

### **Chief Officers' Executive (COE)/Chief Officers' Board (COB)**

- Assess the equality and diversity impacts of changes within the Council.
  - Ensure compliance with the Equality Act 2010.
  - Further embed EIA and DEIA processes across the organisation.
  - Publish objectives as required by the Equality Act 2010.
  - Review equalities arrangements and develop a single equality scheme.
- Utilise Transformation Programme to increase effectiveness and efficiency of services.
- Undertake research and an appraisal option of Social Impact Bonds.
- Embed Commissioning Guidance in the Council culture through development and training.
- Develop new Corporate Planning Process and Performance Management Framework.

### **Senior Leadership Team /Heads of Service/Service Managers**

- Develop and embed performance reporting and performance clinics.
- Implement recommendations of Carefirst Rapid Process Improvement Workshop (RPIW).
- Review and rationalise business support functions.
- Complete the Local Account for Adult Social Care.
- Review Workforce Development across Darlington, Redcar & Cleveland and Hartlepool and introduce new model of delivery.

### **Whole Population: ultimate beneficiary**

- Research and understand Welfare Reforms, and make recommendations to the Transformation Board on next steps.
- Review the People Advice Service to provide good quality information, advice and guidance, and appropriate pathways for welfare advice.
- Develop and implement the Darlington Together Action Plan and associated culture change.
- Develop a new Talking Together model.
- Develop a Community Support Network.
- Support the transfer of Public Health duties and functions to the Council.

### **Carers**

- Finalise Carers' Strategy and Implementation Plan and Young Carers' Action Plan.
- Recommission the Carers' Support Service.
- Agree and prioritise spend of the PCT breaks funding with the Primary Care Trust (PCT).
- Identify and agree spend of carer breaks funding with the Clinical Commissioning Group (CCG).
- Develop Personal Budgets for Carers.

### **Third Sector, Private, Voluntary and Independent Sector:**

- Facilitate the development of the Third Sector to grow and provide preventative support to population.
- Develop policy and strategy to support effective and resilient Community Asset transfers.
- Develop family and community resilience to enable the most disadvantaged to be supported by safe with quality services meeting outcomes.

### **Members/Cabinet**

- Develop community leadership through Darlington Together.
- Develop and implement community work stream for Darlington Partnership.

### **Darlington Partnership/other partnerships**

- Develop robust CSP arrangements for the incoming Police Crime Commissioner.
- Ensure delivery of the Darlington Partnership Action Priorities.
- Implement and embed partnership arrangements; in particular the shadow Health and Well-being Board, and One Darlington Perfectly Placed Delivery Strategy.
- Develop proposals for integrated Commissioning with the Clinical Commissioning Group (CCG).
- Implement and embed joint commissioning intentions and planning across the public sector including Single Needs Analysis.
- Develop effective arrangements for commissioning Health Watch and patient and public engagement activity.

### **Schools and Settings**

- Review of current data support arrangements for schools.

### **Government departments, external agencies and other public bodies**

See partnerships above.

**The following action plans must be completed for each priority identified and linked to the risk identified in Section 5**

## Action Plans

Customer Group:	Chief Officers' Executive/Chief Officers' Board
<p><b>PRIORITIES:</b></p>	<ul style="list-style-type: none"> <li>• Articulate the benefits of the Early Intervention and Prevention agenda across service areas e.g. Development and Commissioning; Children, Families and Learning; and Adult Social Care.</li> <li>• Identify and measure savings to deliver VfM.</li> <li>• Illustrate the direct impact on vulnerable groups in reducing costs and improving outcomes across all Services for People</li> <li>• Further develop the Budget Strategy (Zero Based Planning) for 2012 embedding throughout the organisation including Members.</li> <li>• Equalities and Diversity – assess the impacts of changes within the Council.               <ul style="list-style-type: none"> <li>– Further embed EIA and DEIA processes across the organisation.</li> <li>– Publish objectives as required by the Equality Act 2010.</li> <li>– Review equalities arrangements and develop a single equality scheme.</li> </ul> </li> <li>• Utilise Transformation Programme to increase effectiveness and efficiency of services.</li> <li>• Undertake research and an appraisal option of Social Impact Bonds.</li> <li>• Embed Commissioning Guidance in the Council culture through development and training.</li> <li>• Develop new Corporate Planning Process and Performance Management Framework.</li> </ul>
<p><b>Key Performance Measures:</b></p>	<p>% of commissioned services which fulfil their specification (new)            % of local people who agree that their area local area is a place where people from different backgrounds get on with each other</p>
<p><b>Link to Risk (if applicable):</b></p>	<p>1, 2, 3, 7, 8,</p>

<b>Customer Group: Chief Officers' Executive/Chief Officers' Executive: Chief Officers' Board</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Articulate the benefits of the Early Intervention and Prevention agenda across all service areas.(People Transformation Programme)	Chris Sivers	Develop Strategy for Early Intervention and Prevention Strategy People Programme with partners	July 2012	Within existing resources
	Julian Kenshole/ Elaine O'Brien	Develop and agree PMF for EIP Strategy	July 2012	Within existing resources
	Julian Kenshole/ Elaine O'Brien	Ensure clear communication with staff groups to embed the Early Intervention and Prevention Strategy	Oct 2012	Within existing resources
Maximise budget strategy and planning and identify and measure savings delivering VfM.	Chris Sivers	Further develop the Budget Strategy (ZBP) for 2012 and embed throughout the organisation including Members	July 2012	Within existing resources
	Julian Kenshole	Develop methodology to identify how to illustrate value for money	July 2012	Within existing resources
		Develop clear guidance to challenge how services equate to Absolute Minimum, AV1 and AV2	June 2012	Within existing resources

<b>Customer Group: Chief Officers' Executive/Chief Officers' Executive: Chief Officers' Board</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Maximise budget strategy and planning and identify and measure savings delivering VfM.	Julian Kenshole	Complete ZBP and use findings to inform policy and budget planning	July 2012	Within existing resources
	Chris Sivers/ Julian Kenshole	Complete Zero Based Planning for 2013-2014 re-visiting and challenging findings from previous ZBP processes.	July 2012	Within existing resources
	Julian Kenshole	Utilise 'emergent themes' from ZBP as potential transformation projects.	Ongoing	Within existing resources
Lead and co-ordinate the corporate equalities programme to identify and avoid minimise or mitigate the negative impacts of the budget, policy and service changes across the Council.	David Plews	Completion of impact assessment processes to required timescales.	Ongoing	Within existing resources
		Further embed Equality Impact Assessment (EIA) processes across the organisation.	Sept 2012	Within existing resources
Ensure compliance with the Equality Act 2010.	David Plews	Publish Council Equalities Objectives.	April 2012	Within existing resources
		Review equalities arrangements and develop a Single Equalities Scheme.	Sept 2012	Within existing resources

<b>Customer Group: Chief Officers' Executive/Chief Officers' Executive: Chief Officers' Board</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Ensure compliance with the Equality Act 2010.	David Plews	Implement improvements of the approach to EIA of budget proposals, and prepare for next budget cycle.	Sept 2012	Within existing resources
		Review corporate equalities training needs and tender for new training contract	Feb 2013	Within existing resources
Utilise Transformation Programme to increase effectiveness and efficiency of services	Elaine O'Brien	Innovate and develop new architecture across Adult Social Care Transformation/ Children's Transformation	Ongoing	Within existing resources
		Facilitate the Health Transformation Programme	Ongoing	Within existing resources
		Support transfer of Public Health Contracts to DBC	Ongoing	Resources for Public Health will not be confirmed until December 2012.
		Analyse and understand risks in relation to Public Health contracts transfer.	May 2012	Capacity: budget and staff capacity to manage contracts identified as an early risk. Additional resources to be considered.



<b>Customer Group: Chief Officers' Executive/Chief Officers' Executive: Chief Officers' Board</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Utilise Transformation Programme to increase effectiveness and efficiency of services	Elaine O'Brien	Complete initial transfer to DBC	Dec 2012	See above
		Fully complete transfer of Public Health to DBC	April 2013	See above
Maximise opportunities for commissioning and ensure all commissioning is in line with agreed Commissioning and Procurement Arrangements	Elaine O'Brien	Embed Commissioning Framework and Guidance in the Council culture through staff development and training	May - July 2012	Within existing resources
		Gain agreement for commissioning intentions to support the People Programme	May 2012	Within existing resources
Develop new Corporate Planning Process and Performance Management Framework	Julian Kenshole	Consult with key stakeholders e.g. COE/COB	April 2012	Within existing resources
	Chris Sivers	Consultation with Members/Cabinet	June 2012	Within existing resources
Negotiate new Residential Care Contracts	Elaine O'Brien	Identify contracts in scope across Adult Social Care (ASC) and Children's Services	Complete	Within existing resources

<b>Customer Group: Chief Officers' Executive/Chief Officers' Executive: Chief Officers' Board</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Negotiate new Residential Care Contracts	Elaine O'Brien	Review need and analyse data	April 2012	Within existing resources
		Children's Services: Agree procurement process with Tees Valley Commissioners	June 2012	Within existing resources
		New contracts in place	April 2013	Within existing resources
		Adults Social Care: Negotiate new pricing structure and quality framework with providers	July 2012	Within existing resources
		Report to Cabinet	Sept/Oct 2012	Within existing resources
		New contracts in place	April 2013	Within existing resources

<b>Customer Group:</b>	<b>Senior Leadership Team/Heads of Services/Service Managers</b>
<b>Priorities:</b>	<ul style="list-style-type: none"> <li>• Participate in the new Corporate Performance Management Framework</li> <li>• Participate in and implement the findings of Rapid Process Improvement Workshops</li> <li>• Participate in the Business Support Harmonisation Project</li> <li>• Ensure the completion of the Adult Social Care Local Account</li> <li>• Participate in the review of the Workforce Development Service</li> </ul>
<b>Key Performance Measures:</b>	% of social care staff rating CPD opportunities as satisfactory or better
<b>Link to Risk (if applicable):</b>	

<b>Customer Group: Senior Leadership Team/Heads of Service/Services Managers</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Corporate Performance Management Framework	Julian Kenshole	Develop the new Corporate performance reporting and performance management clinics	May 2012 and ongoing	Within existing resources
Participate in and implement the findings of Rapid Process Improvement Workshops	Julian Kenshole	Participate in RPIW of Carefirst	May 2012	Within existing resources
		Implement the findings of the Carefirst RPIW	August 2012	Within existing resources
Participate in the Business Support Harmonisation Project	Julian Kenshole	Participate in the review of Business Support services	May 2012	Within existing resources

<b>Customer Group: Senior Leadership Team/Heads of Service/Services Managers</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Participate in the Business Support Harmonisation Project	Julian Kenshole	Develop options for Business Support Services for recommendation to Transformation Board	July 2012	Within existing resources
Ensure the completion of the Adult Social Care Local Account	Julian Kenshole	Ensure completion of the Adult Social Care Local Account	Sept 2012	Within existing resources
Participate in the review of the Workforce Development Service	Julian Kenshole	Review existing Workforce Development within Darlington	April 2012	Within existing resources
	Julian Kenshole	Participate in review of services across Darlington, Redcar and Cleveland; and Hartlepool	April 2012 and ongoing	Within existing resources
	Julian Kenshole	Implement the recommendations of the Workforce Development Review	June 2012	Within existing resources

<b>Customer Group:</b>	<b>Whole Population</b>
<b>Priorities:</b>	<ul style="list-style-type: none"> <li>• Research and understand Welfare Reforms, and make recommendations to the Transformation Board on next steps.</li> <li>• Review the People Advice Service to provide good quality information, advice and guidance, and appropriate pathways for welfare advice.</li> <li>• Develop and implement the Darlington Together Action Plan and associated culture change</li> <li>• Develop a new Talking Together model</li> <li>• Develop Community Support Network</li> <li>• Support the transfer of Public Health duties and functions to DBC</li> </ul>
<b>Key Performance Measures:</b>	<p>% of local people who feel informed how they can get involved in local decision-making - <i>(dependent on the development of Darlington's Community Survey)</i>.</p> <p>% of local people who agree that their local area is a place where people from different backgrounds get on with each other - <i>(dependent on the development of Darlington's Community Survey)</i>.</p> <p>% of local people who feel informed how they can get involved in local decision-making - <i>(dependent on the North East Resident Perception Survey)</i></p> <p>Measure(s) of Darlington Together outcomes to be developed.</p>
<b>Link to Risk (if applicable):</b>	3, 4, 7, 11

<b>Customer Group: Whole Population</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Research and understand Welfare Reforms, and make recommendations to the Transformation Board on next steps.	Julian Kenshole	Assess impacts of Welfare Reform on local community through the completion of stress tests on Council services	July 2012	Within existing resources

<b>Customer Group: Whole Population</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Research and understand Welfare Reforms, and make recommendations to the Transformation Board on next steps.	Julian Kenshole	Make recommendations regarding the Council's response to the impacts of welfare reform on services	July 2012	Within existing resources
	Elaine O'Brien David Plews	Complete review of information services and implement new structure	July 2012	Within existing resources
		Implement the new Information Service for People structure maximise effectiveness and efficiency	Sept 2012	Recruitment required to complete the team
		Develop consistent pathway for Welfare Advice	Dec 2012	Within existing resources
Develop and implement the Darlington Together Action Plan and associated culture change	David Plews	Develop the Darlington Together model and approve action plan, to include following:	July 2012 and ongoing	Within existing resources
		Implement methodology for expanding understanding of how community works, as basis for CSN and other interventions	Ongoing	Darlington Together Commissioner Budget, with staff and finance support from eVOLution

<b>Customer Group: Whole Population</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Develop and implement the Darlington Together Action Plan and associated culture change	David Plews	Develop restorative justice mechanisms to support communities on community safety issues	Ongoing	Within existing resources
		Develop collaboration with County Durham Community Foundation on community funding schemes	Oct 2012	Within existing resources
<b><i>See separate plan entries on Community Support Network, Community Asset Transfer and Darlington Cares, and Community Transport proposal in Place – all part of Darlington Together Plan</i></b>				
Develop a new Talking Together model	David Plews	Review brand in new context	Oct 2012	Within existing resources
		Develop & implement an annual plan	Oct 2012	Within existing resources
		Support development of joint engagement and involvement arrangements through Health & Well-Being Board	July 2012 and ongoing	Within existing resources plus support from NHS colleagues
Develop a Community Support Network	Elaine O'Brien	Complete Business case	June 2012	Within existing resources
		Report to Cabinet	Sept 2012	Within existing resources

<b>Customer Group: Whole Population</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Develop a Community Support Network	Elaine O'Brien	Procurement Exercise	Oct 2012 to Jan 2013	Within existing resources
		Award Contracts	Jan 2013	Within existing resources



<b>Customer Group</b>	<b>Carers</b>
<b>PRIORITY :</b>	<ul style="list-style-type: none"> <li>To finalise Carers' Strategy and Implementation Plan and Young Carers' Action Plan</li> <li>To recommission the Carers' Support Service</li> <li>Agree and prioritise spend of the PCT breaks funding with the PCT</li> <li>To identify and agree spend of carer breaks funding with the CCG</li> <li>To develop Personal Budgets for Carers</li> </ul>
<b>Key Performance Measures:</b>	<p>New LI2026 – Overall satisfaction of carers with social services</p> <p>NI 135 - Carers receiving needs assessment or review and a specific carer's service, or advice and information. (North East Regional PI)</p> <p>The proportion of carers judging the service they receive as good or excellent. Carer reported quality of life.</p>
<b>Link to Risk (if applicable):</b>	11

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Finalise Carers' Strategy and Implementation Plan and Young Carers' Action Plan	Warren Tweed	Completion of documents	End of July 2012	Within existing resources
		Implement Actions	Ongoing - 2015	Within existing resources
Recommission the Carers' Support Service	Warren Tweed	Review specification and agree jointly with the PCT	31 <sup>st</sup> March 2013 (this will be dependent on securing funding streams, otherwise 30 <sup>th</sup> November 2013)	Within existing resources
	Warren Tweed	Complete tender process Award new contract to commence from 1 <sup>st</sup> April 2013		Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Agree and prioritise spend of the PCT breaks funding with the PCT	Warren Tweed	Evaluate bids made	May/June 2012	Within existing resources
Identify and agree spend of carer breaks funding with the CCG	Warren Tweed	Publish joint plan	June 2013	Within existing resources

<b>Customer Group:</b>	<b>Third Sector, Private, Voluntary and Independent Sector</b>	
<b>Priorities:</b>	<ul style="list-style-type: none"> <li>Facilitate the development of the Third Sector to grow and provide preventative support to population.</li> <li>Develop policy and strategy to support effective and resilient Community Asset transfers.</li> <li>Develop family and community resilience to enable the most disadvantaged to be supported by safe with quality services meeting outcomes</li> </ul>	
<b>Key Performance Measures:</b>	% of people who in the last 12 months have given time unpaid to groups, organisations or individually.	
<b>Link to Risk (if applicable):</b>	5, 6	

<b>Customer Group: Third Sector, Private, Voluntary and Independent Sector</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Facilitate the development of the Third Sector to grow and provide preventative support to population.	David Plews	Work with the third sector to promote collaborative working to develop new models of delivery	Ongoing	Within existing resources
Develop policy and strategy to support effective and resilient Community Asset transfers.	David Plews	Agree strategy – Cabinet report	Oct 2012	Within existing resources
		Agree initial bespoke plans for each of the community centres	Nov 2012 for 1 <sup>st</sup> centre/ ongoing	Within existing resources

<b>Customer Group:</b>	<b>Members/Cabinet</b>
<b>Priorities:</b>	<ul style="list-style-type: none"> <li>• Develop community leadership through Darlington Together</li> <li>• Develop and implement community work stream for Darlington Partnership</li> </ul>
<b>Key Performance Measures:</b>	No specific indicators identified
<b>Link to Risk (if applicable):</b>	6, 7, 9

<b>Customer Group: Members/Cabinet</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Develop and implement community work stream for Darlington Partnership	Chris Sivers	Approve proposal	June 2012	Within existing resources
		First Meeting	Oct 2012	Within existing resources

<b>Customer Group:</b>	<b>Darlington Partnership/other partnerships</b>
<b>PRIORITY :</b>	<ul style="list-style-type: none"> <li>• Develop robust CSP arrangements for the incoming Police Crime Commissioner</li> <li>• Ensure delivery of the LSP Action Priorities.</li> <li>• Implement and embed partnership arrangements in particular the shadow Health and Well-being Board.</li> <li>• Ensure the development and implementation of the One Darlington Perfectly Placed Delivery Strategy.</li> <li>• Develop proposals for integrated Commissioning with the Clinical Commissioning Group (CCG).</li> <li>• Implement and embed joint commissioning intentions and planning across the public sector including SNA.</li> <li>• Develop effective arrangements for commissioning Health Watch and patient and public engagement activity.</li> </ul>
<b>Key Performance Measures:</b>	<p>Percentage of people local people who agree local public services:</p> <ul style="list-style-type: none"> <li>– Are working to make the area safer.</li> <li>– Promote the interests of local residents.</li> <li>– Act on the concerns of local residents.</li> <li>– Treats all people fairly (<i>Dependent on the development of Darlington's Community Survey</i>).</li> </ul>
<b>Link to Risk (if applicable):</b>	6, 9,10,11

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Develop robust CSP arrangements for the incoming Police Crime Commissioner	Chris Sivers	Work with partners to prepare for elected PCC	Nov 2012	Within existing resources
Ensure delivery of the Darlington Partnership Action Priorities	Chris Sivers	Action Plans in place for each Action Priority	May 2012	Within existing resources
Implement and embed partnership arrangements in particular the shadow Health and Well-being Board (HWBB).	Chris Sivers	Shadow Health and Well-being Board in place	June 2012	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Develop and implement One Darlington; Perfectly Placed Delivery Strategy.	Chris Sivers	Complete Outcome Based Accountability Assemblies	May 2012	Within existing resources
		Shortlisted recommendations submitted to LSP Health and Well-being Board and LSP Executive	July 2012	Within existing resources
		Assembly Workshop – feedback session	July 2012	Within existing resources
		Consultation Process begins across the Borough	July to Sept 2012	Within existing resources
Develop and implement Formative Health and Well-being Board	Chris Sivers	Develop formative Health and Well-being Board	June 2012	Within existing resources
	Chris Sivers	Embed partnership arrangements	July 2012	Within existing resources
	David Plews	Develop effective arrangements for commissioning HealthWatch and patient and public engagement activity	April 2013	Within new resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Develop and implement Formative Health and Well-being Board	Chris Sivers	Develop proposals for integrated Commissioning with the Clinical Commissioning Group (CCG)	Nov 2012	Within existing resources
	Elaine O'Brien	Implement and embed joint commissioning intentions and planning across the public sector including SNA	Oct 2012	Within existing resources

## Action Plans

<b>Customer Group</b>	Schools and Settings
<b>PRIORITY :</b>	Review of current data support arrangements for schools
<b>Key Performance Measures:</b>	% of schools/settings rating the School Data SLA as good or better ( <i>Data Development</i> )
<b>Link to Risk (if applicable):</b>	5, 6

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review current data support arrangements for schools	Julian Kenshole	Undertake a review of current data support arrangements with schools	August 2012	Within existing resources
	Julian Kenshole	Analyse findings of review and analyse specification and VfM	September 2012	Within existing resources
	Julian Kenshole	Options Paper to go to SLT	October 2012	Within existing resources
	Julian Kenshole	Recommendations agreed and shared with schools/academies	December 2012	Within existing resources



## Section 5: Risks

### Risks Identified

Through the service planning process, risks are identified and assessed in terms of probability and potential consequence. Arrangements are made to manage risks within acceptable levels with the aims of minimising losses and maximising opportunities for the Council.

Where risks are assessed as being above acceptable levels, action plans are put in place to reduce exposure by either reducing the likelihood of an event occurring or lessening the impact. Each action plan is assigned to and managed by a senior officer. All Service Areas are required to monitor their risks and review the action plans required for risks above the 'appetite line' through existing management arrangements ensuring that the ranking of the risk is reviewed and revised where it is appropriate to do so and a clear audit trail of these actions maintained through minutes/action logs from Senior Management Teams (SMT) i.e. DMT/SLT meetings of Directors/Assistant Directors.

AC Risk Ref*	Risk No.	Risk	Risk Category	Responsible Person
	Dev1	Inability to negotiate an agreed settlement for residential care homes	<b>B2</b>	Elaine O'Brien
	Dev2	Continuation of contract provision for residential, domiciliary and nursing care in the event of provider failure	<b>C1</b>	Elaine O'Brien
	Dev3	Inability to deliver service and corporate plans as a result of welfare reform	<b>C2</b>	Chris Sivers
	Dev4	Inability to procure suitable market provision for Community Support Network	<b>C2</b>	Elaine O'Brien
	Dev5	Inability to manage service demands arising from partnership activity	D3	Chris Sivers
	Dev6	Fundamental breakdown of partnership working	D2	Seth Pearson
	Dev7	Unable to create culture change and gain community support for Darlington Together agenda	<b>C2</b>	David Plews
	Dev8	Legal challenge arising from equalities legislation	<b>D1</b>	David Plews
	Dev9	Lack of capacity to deliver changes and savings	D2	Chris Sivers
	Dev10	Inability to deliver local community safety priorities arising from introduction of Police and Crime Commissioners	E2	David Plews
	Dev11	Inability to deliver actions to effectively transfer and manage public health arrangements	<b>C2</b>	Chris Sivers

\* AC Risk Ref – Audit Committee Risk Reference

## Plotting the Risks

The above risks are plotted on the Risk Matrix below. This shows the status of the risks in relation to our 'risk appetite'. 'Above the Line' risks – those plotted within the shaded part of the matrix – require specific action to bring them within acceptable limits; 'Below the Line' risks, plotted in the un-shaded area, are already deemed to have satisfactory management controls in place.

<b>LIKELIHOOD</b>	A				
	Very High			<b>1</b>	
	B			<b>1</b>	
	High			<b>3,4,7,8,11</b>	<b>2</b>
	C			<b>3,4,7,8,11</b>	<b>2</b>
	Significant			<b>3,4,7,8,11</b>	<b>2</b>
	D		5	6,9	
	Low				
	E			10	
Very Low					
F					
Almost Impossible					
	IV Negligible	III Marginal	II Critical	I Catastrophic	
	<b>IMPACT</b>				

The potential for controlling risks identified as above the line is addressed through management action plans. Most risks are capable of being managed – either by managing down the likelihood or impact or both. Relatively few risks have to be avoided or transferred. Action plans identify the resources required to deliver the improvements, key deadline date and critical success factors/ Key Performance Measures.

## Risk Scenarios

### Risk 1 – Inability to negotiate an agreed settlement for residential care homes

Vulnerability	Trigger	Consequence
22 Care Homes on current agreement will be required to agree new fee levels and sign by the end of 2012. This area is subject to wealth of case law and judicial reviews. Approx £13 million spend from ASC budget.	Failure to reach agreed fee levels	Vulnerable people placed in Care Homes without contract monitoring. Organisation may breach duty to accommodate or face high and uncontrolled fee level rises.
<b>Controls in place</b> Transformation project with reporting mechanisms. Negotiations taking place with all providers to develop an agreed cost of care model for new contract fee levels from 2013. Legal officers key to the project team, ensuring overview and compliance with latest case law. Individual provider organisations to be invited to negotiate from July 2012.		

### Risk 2 - Continuation of contract provision for residential, domiciliary and nursing care in the event of provider failure

Vulnerability	Trigger	Consequence
Low fee levels and rising business costs are reasons independent organisations give for potential business failures.	Business failures.	Possibly unable to fulfil contractual duties to vulnerable people in their care, including people in 24hr care homes or their own home awaiting personal care.
<b>Controls in place</b> Contingency plans are in development for the Council to manage this scenario.		

### Risk 3 – Inability to deliver service and corporate plans as a result of Welfare Reforms

Vulnerability	Trigger	Consequence
Impact of Welfare Reforms is so great that existing and planned service levels are not able to be delivered.	Depends on the service	Additional demands on the budget. Insufficient capacity. Staff stress. Service failure Complaints
<b>Controls in place</b> Stress tests to be completed for key services. Welfare Reform Board to be established. Regular exception updates between COB and COE.		

**Risk 4 - Inability to procure suitable market provision for Community Support Network**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
New type of co-ordinated provision will rely on potential providers to work together and with local community.	Procurement of service fails or providers cannot deliver against specification.	Demand continues to rise in ASC.
<p><b>Controls in place</b> Detailed business case and review of options to anticipate possibilities. Work also undertaken to encourage local organisations to develop their capacity in this area.</p>		

**Risk 5 - Inability to manage service demands arising from partnership activity**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Expectation of our partners and the public outweigh the Council's ability to deliver.	Further increase in pressures on the Council's and partners' budgets.	Complaints Poor service delivery
<p><b>Controls in place</b> Regular involvement by partners in budget decisions impacting on partnership working. Continued messaging of financial pressures. Maintain dialogue with partners.</p>		

**Risk 6 - Fundamental breakdown of Partnership working**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Breakdown in the Darlington Partnership and other partnership arrangements to deliver priorities for Darlington. Inability to agree partnership processes.	Changes in government policy. Competing priorities. Relationship breakdowns among partners.	Failure to deliver One Darlington; Perfectly Placed. Less effective service delivery and reduced ability to tackle need in Darlington.
<p><b>Controls in place</b> Monitoring and support to partnership arrangements. Development of new arrangements to reflect changes e.g. CCG/Public Health (see 11) Continued dialogue with partners about partnership structures Range of actions to maintain good partnership relationships including informal networking.</p>		

**Risk 7 - Unable to create culture change and gain community support for Darlington Together agenda**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Inability to create culture change and lack of support with communities in the Borough for Darlington Together	Reduced organisational commitment to Darlington Together. Lack of capacity within community. Lack of ownership among ward Members.	Threats to quality of life outcomes for Darlington residents. Reputational risks to the Council. Breakdown of community engagement to support Darlington Together.
<p><b>Controls in place</b>            Darlington Together Commissioning Plan agreed by COE.            Communities workstream for Darlington Partnership now developed.            Darlington Together now part of elected Member training programme.            Darlington Together Media Strategy in place.</p>		

**Risk 8 - Legal Challenge arising from equalities legislation**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Failure to comply with Equality Act 2010 and complete required Equality Impact Assessment processes across Council activities.	Failure to bring forward properly impact assessed budget savings proposals. Pressure from external groups representing different protected characteristics. Changes in staffing arrangements may mean a lack of corporate capacity to comply with the Equality Act 2010.	Legal challenge. Reputational risk for the Council. Rework of engagement processes and consequent delay in savings implementation. Threatens partnership working arrangements with key equalities organisations.
<p><b>Controls in place</b>            Development of new Single Equalities Scheme.            Review of existing EIA arrangements to improve effectiveness.            Fortnightly meetings of corporate equalities group to identify issues within the organisation.            Review of engagement arrangements to better reflect the views of people belonging to any protected characteristics.            Clarified roles and responsibilities from Cabinet members and senior managers through to frontline staff.</p>		

**Risk 9 - Lack of capacity to deliver changes and savings**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Savings and changes do not get delivered.	Milestones are missed.	Budget pressures and continued cost pressures.
<b>Controls in place</b> Prioritisation discussion with the Directors/Chief Executive. Continued use of Transformation methodology to maintain focus on milestones. Robust budget management. Continued use of Zero Based Planning.		

**Risk 10 – Inability to deliver local community safety priorities arising from introduction of Police and Crime Commissioners**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Uncertainty of PCC election and the priorities which will be determined by the new PCC.	Election November 2012. Power of Darlington’s voice in new arrangements.	Failure of agreed priorities to deliver positive outcomes for residents.
<b>Controls in place</b> Community Safety Plan adopted by Council. Council represented on all working groups planning transition arrangements with Durham Police Authority. Council and other partners planning for PCC introduction and promotion of Darlington Community Safety Partnership.		

**Risk 11 – Inability to deliver actions to effectively transfer and manage public health arrangements**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Arrangements not in place leading to a risk of legal challenge and/or budget pressures.	Relationship breakdown Legal challenge Cost pressure	Cost pressure Reputational damage
<b>Controls in place</b> Receiver Plan in place. Transition Group in place Regional presentation on key transition groups. Regular briefings to Cabinet.		

**Risks Classified as Priorities for Improvement  
(those above the risk appetite line)**

<b>Risk No.</b>	<b>Risk</b>	<b>Current Risk Score</b>	<b>Target Risk Score</b>
Dev1	Inability to negotiate an agreed settlement for residential care homes	B/III	C/III
Dev2	Continuation of contract provision for residential, domiciliary and nursing care in the event of provider failure	C/I	C/III
Dev3	Inability to deliver service and corporate plans as a result of welfare reform	C/II	D/II
Dev4	Inability to procure suitable market provision for Community Support Network	C/II	D/II
Dev7	Unable to create culture change and gain community support for Darlington Together agenda	C/II	D/II
Dev8	Legal Challenge arising from equalities legislation	D/I	D/II
Dev11	Inability to deliver actions to effectively transfer and manage public health arrangements	C/II	D/II

## Risk Management Action Plans

**Risk 1:** Inability to negotiate an agreed settlement for residential care homes

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Ensure fee structure developed in compliance with case law	Heather McQuade, Jane Lowes		June 2012	
Meet providers re fee structure	Elaine O'Brien and Yvonne Hall	New contract agreed.	By September 2012	
Report to Cabinet and Council	Elaine O'Brien	Transformation Board informed of process.  Reports prepared.	Cabinet - October 2012 Council - November 2012	Monthly highlight report to Transformation Board.

**Risk 2:** Continuation of contract provision for residential, domiciliary and nursing care in the event of provider failure

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Contingency plans developed	Elaine O'Brien Yvonne Hall	Signed off plan, finance and legal	Sept 2012	Annual



**Risk 3:** Inability to deliver service and corporate plans as a result of welfare reform

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Stress tests completed for key services	Josh Slack		June 2012	
Welfare Reform board to be established	Chris Sivers Josh Slack		Sept 2012	4/12
Regular reports to COE/COB to ensure Council-wide understanding of the issues and related impacts	Julian Kenshole			4/12

**Risk 4:** Inability to procure suitable market provision for Community Support Network

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Review options for the model	Elaine O'Brien	Agreed model for DCSN by COE	Business case by 30 <sup>th</sup> June 2012	
Encourage local "buy in"	Elaine O'Brien - project team	DCSN supported locally	September 12- March 2013	Monthly highlight reports to Transformation Board

**Risk 7:** Unable to create culture change and gain community support for Darlington Together agenda

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Development of Darlington Together options monitored through regular management interventions.	David Plews	Darlington Together implementation completed to timescales	Sept 2012	1/12

**Risk 8:** Legal Challenge arising from equalities legislation

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Review of corporate arrangements for EIA work	Peter Roberts	EIA is embedded across the Council	June 2012	2/12
Single Equality Scheme developed	Peter Roberts	Adoption of SES	Sept 2012	2/52

**Risk 11:** Inability to deliver actions to effectively transfer and manage public health arrangements

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Regular briefings to Cabinet	Chris Sivers/ Miriam Davidson		Ongoing	
Representation on regional Transition Groups.	Chris Sivers		Ongoing	
Receiver Plan in place	Chris Sivers		May 2012	
Transition Group in place	Chris Sivers		June 2012	

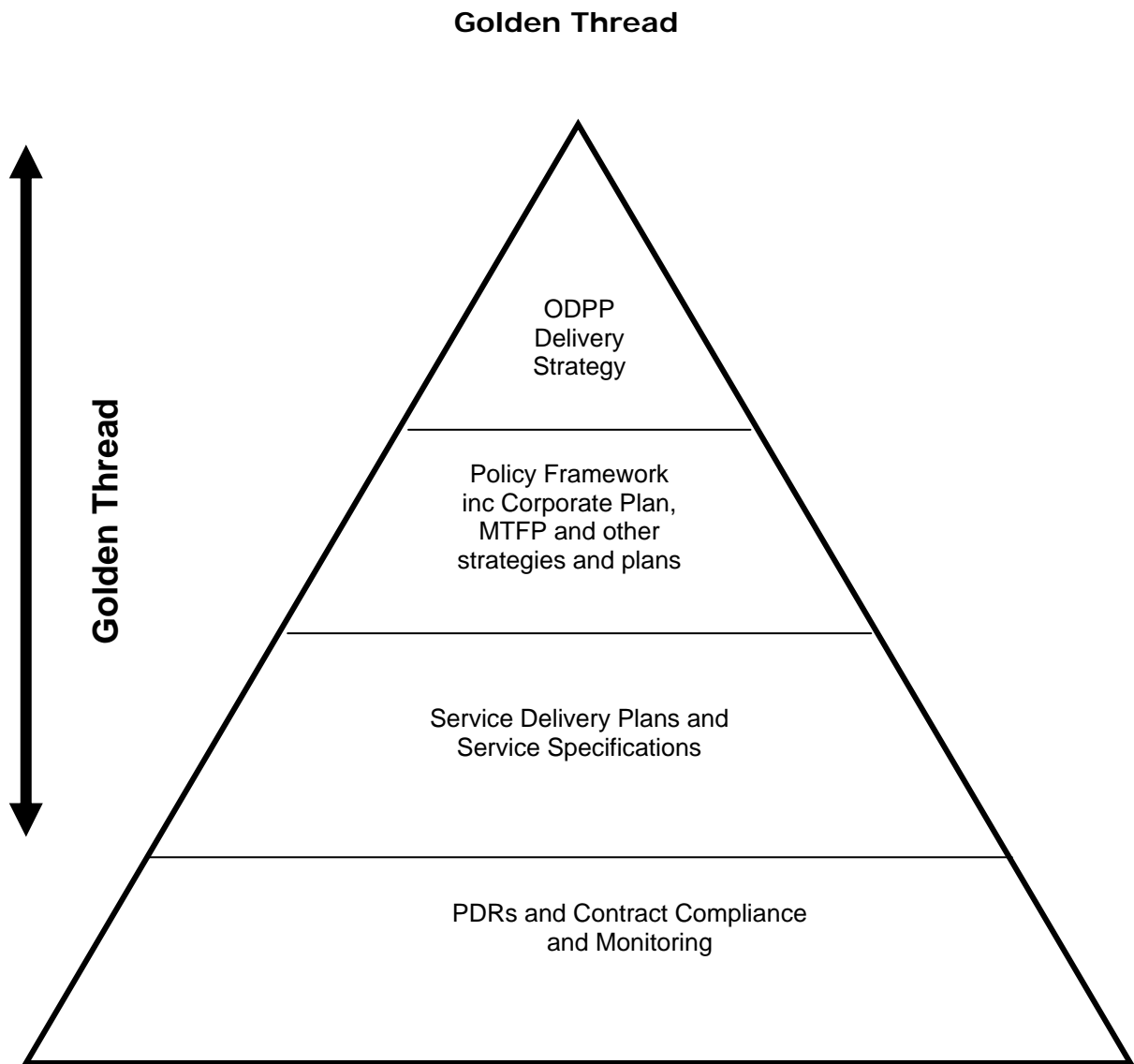


**Highways, Design & Projects**

**Service Delivery Plan  
2012 – 2015**

## Purpose of this Plan

This Service Delivery Plan sets out the activities that the **Highway, Design & Projects Services** will deliver over the next Three years to improve outcomes for our customers. The Service Delivery Plan forms part of the Council's 'golden thread' which ties together all of the key strategies, from the Area-wide Strategy and our two priorities **One Darlington: Perfectly Placed** down to individual staff PDRs and/or delivery of contracts. The diagram below illustrates the model.



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## Section 1: Who are our customers?

### Overview

The Highways, Design & Projects Services form part of the Services for Place Group.

### Who are our customers?

The services interact with a wide range of customers and stakeholders across its teams. Often the same bodies or groups may be customers, partners or stakeholders in relation to different projects and proposals, but for simplicity are listed only once in their predominant role.

<b>Customers/Service Users</b>	<b>Partners</b>	<b>Other Stakeholders</b>
<ul style="list-style-type: none"> <li>• Residents</li> <li>• Businesses</li> <li>• Visitors</li> <li>• Developers</li> <li>• Public Utilities</li> <li>• Partners &amp; Stakeholders</li> <li>• Public Transport Companies</li> <li>• Other Council Services:-               <ul style="list-style-type: none"> <li>○ Children's Services</li> <li>○ Housing</li> <li>○ Corporate Landlord</li> <li>○ Transport Policy</li> </ul> </li> <li>• Public bodies</li> <li>• Elected Members</li> <li>• Members of Parliament</li> <li>• Third sector</li> <li>• Schools/Academies</li> <li>• Housing tenants</li> <li>• Residents as users of services</li> <li>• Developers/agents</li> <li>• Businesses and investors in business</li> <li>• Town centre businesses</li> <li>• Town centre users</li> <li>• Transport users – bus and rail passengers, drivers, cyclists and pedestrians</li> <li>• Hackney Carriage licence holders</li> </ul>	<ul style="list-style-type: none"> <li>• DBC services</li> <li>• Transformation</li> <li>• Tees Valley Unlimited and other Tees Valley local authorities</li> <li>• North East local authorities</li> <li>• Funding bodies</li> <li>• Emergency Services</li> <li>• Public Transport operators</li> <li>• Civil Contingencies</li> </ul>	<ul style="list-style-type: none"> <li>• The whole borough population</li> <li>• Members</li> <li>• Parish Councils</li> <li>• Government – particularly, DfT</li> <li>• Interest bodies and campaign groups – e.g. DAD, Cycling Campaign</li> <li>• Ramblers Association</li> <li>• Landowners</li> <li>• Residents and PACT groups</li> </ul>

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## **Core Functions of the service**

### **Context**

#### New Business Model, Partnership Working & Transformation.

In the face of unprecedented levels of change within public sector services the Council's new business model is designed around three fundamental questions:

- (a) WHAT services the Council will provide?
- (b) HOW do we deliver services? And
- (c) WHO will provide the services?

A comprehensive Transformation Programme is ongoing across all Groups to make the transition to the new business model. Embedding the principles of the new business model and the approach within service units is important for the development of the organisation and a key communication priority in the service plan.

The outcome for the Strategic Options for Place Project was that most services will be retained in-house for at least the next 2 to 3 years (the life of this plan). Restructuring and significant reform in the way the Group works to remove any duplication in resources and to become more efficient and reduce costs is a key component of this outcome. Business Process Re-engineering and Lean methodology will be a key driver within business units to secure this objective.

Services within Highways, Design and Projects provide key information into the Commissioning Cycles to align with the Zero Based Council approach used to address the WHAT services the Council will provide in the future. Services are considered systematically alongside the outcomes the council wants for the Borough and the evidence base on what works.

### **Core Functions**

The core functions of the service are contained within three business units:

- Highway Asset Management.
- Highway Network Management.
- Capital Projects.

The functions included within these business units are a mixture of:

- Planning and Policy roles.
- Statutory & Regulatory duties.
- Design, Specialist Technical Advice and Project Management Services.

All three business units are required to achieve income targets to balance the Medium Term Financial Plan.

### **Highway Asset Management**

#### Asset Management Planning

The service is responsible for the management of highways assets which include:

- 536km of carriageway & 752 km of footway, including the highway drainage system.



- 12560 street lighting columns & 1679 illuminated signs
- 4483m of safety barrier
- 92 bridges & 160 retaining walls
- Subject to ongoing restructure consultation the service will become responsible for statutory functions associated with 303km of public rights of way with associated bridges.
- The estimated value of the highway asset is in the region of £692million.

Asset Management Planning forms a significant part of the business unit's function. The unit is developing a Transport Asset Management Plan (TAMP) which incorporates programmes of testing and inspections on scheduled a basis to develop good asset and condition information that provides an evidence base on which to prioritise spend. Evidence from customer reports also feeds into the evidence base to help develop life cycle plans for each of the highway assets.

The majority of highway works are funded from the Local Transport Plan (LTP), which is capital funding, received from the Department for Transport. Reactive repairs, minor footway and drainage schemes are funded from revenue budgets.

The unit utilises a series of regional framework contracts for testing and services. Darlington set up a regional framework for specialist surfacing materials to secure best value for the authority.

The completed TAMP will enable effective allocation of resources to maintain the asset and to submit the statutory auditable highway returns for the Councils Whole of Government Accounts.

A series of sister documents and operational policies specific to assets arise from the development of the TAMP.

The unit manages the delivery of a programme of capital and revenue works with a significant proportion of the works delivered by the Council's own highway and street lighting team. The asset management team and construction unit will merge into a single delivery unit in July 2012 to form a single business unit as an outcome of the Strategic Options for Place project.

Defects identified by the safety inspections are repaired by the unit's own workforce using revenue funding. In addition to the annual programme of scheme work, surface dressing and micro asphalt resurfacing programmes are prepared and carried out by specialist surfacing contractors procured using the Tees Valley Specialist Surfacing Framework.

#### Street works

The highway network is the conduit for all major infrastructure and utility services. The Traffic Management Act reinforced the Council's statutory duty to coordinate all street works. Annually, the Council is served with around 28,000 electronic street works notices from utility companies and persons wanting to undertake work on the highway. These works have to be coordinated to ensure that there is the minimum of disruption to all users of the highway. Once works are agreed, checks are made on the duration of works to ensure that works are adequately resourced to minimise the time on site. Financial penalties can be charged by the Council for various infringements. Inspections are also undertaken to ensure the highway is reinstated to minimise the long term damage trenches and openings can have on the life of the highway.

### Local Street Gazetteer

The Council, as Highway Authority, is obliged to maintain a Local Street Gazetteer (LSG) (register of streets) which is updated on a monthly basis to the National Street Gazetteer hub. The LSG is validated against criteria set nationally and an annual improvement schedule is agreed to ensure compliance and continual improvement. The production of the LSG is a statutory and contractual requirement, failure of which could lead to loss of the free Ordnance Survey mapping used by the Authority. The LSG is essential to the operation of the street works systems nationally and is integral to the Highway Asset Management function.

### Insurance & Regulatory

Safety inspections of the carriageway, footways, street lighting and structures are programmed and carried out to national codes of practice. Repairs are carried out when intervention levels are reached. This underpins our defence against third party claims against the Council for injury or damage to property whilst using the highway. The unit works closely with the Councils insurers and solicitors to provide evidence, in the form of statements and reports of inspections and repairs, for the Councils defence in court.

The unit is also responsible for statutory and regulatory duties associated with the management of the highway. For example, highways adoption plans are maintained, local searches on highway related questions are answered, naming and numbering of properties is undertaken, checks abnormal load routing through the Borough and Temporary Traffic Regulation Orders are processed.

### New Development of the Highway Network

The infrastructure requirements for any private new development are formulated within the unit and the appropriate legal agreements are entered into. The unit oversees this process and inspects the work as it is ongoing to ensure the development is built to appropriate standards and once completed gives the authority assurance that it can be transferred to the authority with minimal risk.

## **Highway Network Management**

### Network Management Duty and Network Management Plan

The Traffic Management Act 2004 imposes a duty on the Council to secure the expeditious movement of traffic on their and neighbouring authority's road networks. The Network Management Plan sets out the framework for managing the highway network and in so doing demonstrates that the authority is performing its statutory duty.

The plan incorporates a number of elements including setting the network hierarchy including sustainable transport networks, identifies traffic sensitive streets and congestion hot spots, tactical diversion routes, abnormal load routes and winter maintenance routes.

It sets performance targets and an improvement plan. An annual report is produced each year.

The Council has an appointed Traffic Manager, as is required by the act who provides direction how and when the highway may be used by statutory undertaker companies, contractors and the public.

Advice and information is also provided on planned and unplanned events to the public, key stakeholders and other interested parties.

#### Highway Regulation & Management

Highway regulation forms a significant element of the unit's business. The unit receives significant volumes of services requests associated with signing, lining, parking, traffic congestion, obstruction, speeding and road safety concerns. Following the introduction of Civil Parking Enforcement the unit have experienced increased demand to investigate new or amended waiting restrictions. There are currently in excess of 80 outstanding requests and approximately 25 requests are dealt with each year.

The team are responsible for elements of the highway asset including the maintenance of highway signs, lines and bus shelters.

#### Intelligent Transport Systems (ITS)

The unit has responsibility for the management, maintenance and development of traffic signals throughout the Borough. Newcastle City Works (part of Newcastle City Council) are currently the service provider for design and maintenance of traffic signal installations. As part of ongoing collaborative work with Tees Valley authorities and the development of a regional traffic signals service, investigations are underway for a service arrangement with Middlesbrough Borough Council. This arrangement would link to the development of an Urban Traffic Management and Control (UTMC) system, which is underway as part of a project led by Middlesbrough Borough Council through the TVBNI project. This will enable multiple services to feed into a common database framework and allow data from various origins to be collated, assessed and if necessary, analysed to improve Highway Network Management and other insight data.

#### Car Park Asset Management

The management and maintenance of the Council's 20 off street pay and display car parks is funded through a mix of revenue and Local Transport Plan capital funds. A programme of improvements has been developed and the car parks have been prioritised in terms of layout, condition and level of use.

#### Road Safety Education Training and Publicity

Road Casualty analysis is undertaken by the unit and in partnership with the Durham & Darlington Casualty Reduction Forum. Trends, patterns and locations are monitored to determine whether any specific intervention is required in terms of road safety Education, Encouragement, Engineering and Enforcement.

The unit supports the delivery of local, regional and national road safety campaigns, the Durham road safety carousel and other education and publicity events.

Cycle training is offered to all primary and secondary school children. Typically around 650 year 5 and 6 primary school children are trained and 100 year 7 and 8 secondary school children each year.

Pedestrian training is offered to all primary school children and typically around 3,000 year 1, 2, and 3 school children are trained. Funding for this is secured until March 2015 through the Local Sustainable Travel Fund and Bikeability funding.

Early intervention in training of Pedestrian and Cycling skills is recognised as being beneficial in providing life skills to children that can encourage a safer, greener and healthier life.

### School Crossing Patrol Service

School crossing patrols are operated at 28 locations throughout the Borough and involve 37 patrollers. The patrols operate at the start and end of the school day. They meet national criteria and have site specific risk assessments.

### Delivery of Highway Improvement Schemes

Highway Design staff work with Capital Projects staff to design, procure and manage the delivery major highway improvement schemes. The North Road Bus Priority scheme is due for completion in Autumn 2012 and preliminary work has commenced on the Inner Ring Road scheme through TVBNI funding.

A programme of smaller schemes funded through the Local Transport Plan (LTP), Local Sustainable Transport Fund (LSTF), Tees Valley Bus Network Improvement project (TVBNI) and revenue funds are designed, procured and managed within this unit.

## **Capital Projects**

The Capital Projects business unit brings together a range of skill sets to provide a comprehensive Capital Project Management function comprising of Design Services, Surveying/Cost Management, Specialist Technical Advice and Project Management practice and development.

The Capital Projects Team core functions are:-

- The Project Management of specific Strategic Capital Projects.
- Maintaining and continually improving the Project Management Handbook and associated procedures;
- Supporting the project reporting requirements on Capital Project delivery to the Asset Management Capital Project Review Board (AM&CPRB), Cabinet, Resources and Task and Finish Groups;
- Coordinating the lessons learned from Capital Project Delivery and communicating these to the wider organisation;
- Supporting the consistent application of the Capital Projects Methodology throughout DBC through advice, guidance, project health checks and training.
- Supporting Projects where specialist advice is required.
- Manage Capital Projects from inception through to completion and work to ensure that projects are delivered successfully by managing solutions continuously and fulfilling time, cost, quality and safety issues.

Some of the key services provided are;

- Project planning;
- Project Management;
- Management of external consultants for specialist services
- Procurement advice;
- Contract advice;
- Risk Management;
- Value Management;
- Best Practice advice

The Building Design Services (BDS) are a specialist technical team who provide a full range of architectural and technical specialist services. The BDS team provide full

designs services for the internal and external clients. Some of the key services provided are;

- Feasibility Studies;
- Providing support in establish costing for bids;
- Full building design service from outline to as built drawings;
- Quantity surveying services.
- Mechanical, Electrical and Structural design and advice, including Energy efficiency assessment and proposals for buildings.

The Surveyors core functions are:

- Project pricing and costing.
- Cost Management.
- Development and management of Frameworks.
- Development and Management of Capital Project Methodology.
- Contract Management.
- Management of external contract costs.

## **Cross Cutting Functions**

### National, Regional and Sub-Regional Priorities

The service has a key role to play in supporting Tees Valley Unlimited's statement of ambition and business plan; particularly through contributions to key task and finish activities from the Transport and Infrastructure Group.

The business units also continue to build on collaborative service contracts at Tees Valley, Regional and National level to secure the outcomes the council wants for the Borough in the most effective and efficient way.

### Efficiency & Business Process Re-Engineering.

The outcome for the Strategic Options for Place project was that most services will be retained in-house for at least the next 2 to 3 years; with restructuring and significant reform in the way services work to remove any duplication in resources to become more efficient and reduce costs. The initial period of the plan will primarily be focussed on embedding the restructure across services/groups with Business Process Re-engineering and Lean methodology used as a key driver within and across business units and Groups to secure reform.

### Flood and Water Management Act Responsibilities

The Flood & Water Management Act results in increased roles and responsibilities for the Council. The business units will be required to contribute and support the Lead unit in setting up service contracts, systems and procedures to ensure the authority's duties are fulfilled.

### Build Capacity to Respond to Emergencies

The business units contain core frontline functions that are impacted when emergencies occur. The units will be required to contribute and support the Lead unit in setting up developing systems and testing procedures to enhance the authority's ability to respond to emergencies.

### Business Continuity Planning.

The units are required to develop Business Continuity Plans to support the Lead unit in enhancing the authority's ability to respond to business continuity planning. The review and testing of BCPS will be built into the management framework.

### Carbon Management Plan

Street Lighting forms a significant element of the Councils Carbon footprint and as such the service is required to take action to try and reduce carbon emissions. All services within Highways, Design and Projects need to consider Carbon Management and strive to reduce the Councils footprint as part of any work they undertake. The business units will be required to support the Lead unit in achieving the Council's objectives.

### Management Framework and Assurance.

Services are required to ensure that the Council's business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for and used economically, efficiently and effectively; Putting in place proper risk management processes and internal controls to ensure the proper stewardship of the resources at its disposal.

## Section 2 – Measuring Outcomes

The suite of indicators is split into three tiers:

- 1) **Key performance measures** of customer outcomes (used in high level performance clinics and reviews with Directors, Chief Executive and Members)
- 2) **Additional performance measures** (performance measures in addition to the above which will be monitored at Assistant Director level and with management teams)
- 3) **Management Information** (collected for data returns and review by Heads of Service).

Key Performance Measures of Customer Outcomes	
PI Ref	Details
NI 047	People killed or seriously injured (KSI) in road traffic accidents
NI 048	Children killed or seriously injured (KSI) in road traffic accidents
NI 168	Principal roads where maintenance should be considered
NI 169	Non-principal roads where maintenance should be considered
NI 167	Congestion – Average vehicle speeds during the weekday morning peak on locally managed A Class roads.
LI 2616	Percentage of project manager responses confirming that that they have upgraded the PPS or provided a nil return
LI 2617	Public satisfaction with the condition of road surfaces (NHT – HMBI 01)
LI 2618	Public satisfaction with the condition of pavements (NHT – WCBI 02)
LI 2619	Public satisfaction with traffic levels and congestion (NHT – KBI 17)
LI 2620	Public satisfaction with road safety (NHT – KBI 20)

Additional Performance Measures	
PI Ref	Details
LI 2604	Number of all slight injuries
LI 2608	Average number of days taken to repair a street light fault: non DNO
LI 2610	Condition of unclassified roads
LI 2613	Number of children slightly injured in road traffic collisions
LI 2615	Footway Network Survey - Condition of all classes of footways
LI 2621	Percentage of street light in columns older than 40 years

LI2718	Percentage of rights of way open and available for use - urban fringe leisure routes
LI2719	Percentage of rights of way open and available for use - more remote paths
LI 2622	Percentage of roadwork notices for which an FPN could be given (All)
LI 2623	CO <sup>2</sup> emissions associated with highway lighting
LI 2624	Average Bridge Condition Index
LI 2625	Public satisfaction with street lighting (NHT – KBI 25 )
LI 2626	Public satisfaction with road safety training/education given to children (NHT – RSBI 09)
LI 2627	Public satisfaction with rights of way (NHT KBI 15)

<b>Management Information</b>	
<b>PI Ref</b>	<b>Details</b>
LI 2628	Percentage income from Highway Construction Unit as a percentage of target
LI 2629	Highways fee income as a percentage of target
LI 2630	Building Design fee income as a percentage of target
LI 2631	Capital Projects fee income as a percentage of target
LI 2632	Other highway income as a percentage of target
LI 2633	Percentage of customers satisfied with Building Design Services
LI 2634	Percentage of roadwork notices for which an FPN could be given (DBC)
LI 2635	Percentage of highway related insurance claims that are successfully repudiated
<b>PI Ref</b>	<b>Details</b>
LI 2636	Percentage of street lighting columns older than 20 years
LI 2637	Percentage of Member enquiries dealt with within 10 working days
LI 2638	Percentage of corporate complaints dealt with within 20 working days
LI 2639	Percentage of freedom of information requests dealt with within 20 working days
LI 2640	Percentage of PDRs complete
LI 2641	Public satisfaction with the state of bus stops (NHT – PTBI 03)
LI 2642	Public satisfaction with raised kerbs at bus stops (NHT – PTBI 12)



LI 2643	Public satisfaction with the provision of dropped kerb crossing points (NHT – WCBI 06)
LI 2644	Public satisfaction with Cycle training e.g. schools (NHT – WCBI 14)
LI 2645	Public satisfaction with measures to tackle illegal on-street parking (NHT – TCBI 10)
LI 2646	Public satisfaction with speed control measure e.g. road humps (NHT – RSBI 06)
LI 2647	Public satisfaction with the condition of road markings (NHT – HMBI 03)

### Section 3 – Current Performance

Following the Government’s changes to the collection of data across the public sector and service areas robust analysis and comparison of trend data is difficult. There are some proxy measures which give a ‘best fit’ comparison allowing for the national changes. The determination of locally obtained survey information following the cessation of the Place Survey and Darlington’s decision not to participate in the North East Perception Survey in 2012, will result in developing our own suite of questions to gather the views of the population across a range of key service areas. The results will feed into the analysis of performance to improve services.

From 2013 comparison and analysis of trends will be contained in this section of the service plan.

The following tables and graphs shows the trend information which is currently available for the key performance measures identified through OBA workshops and agreed by the Senior Leadership Teams.

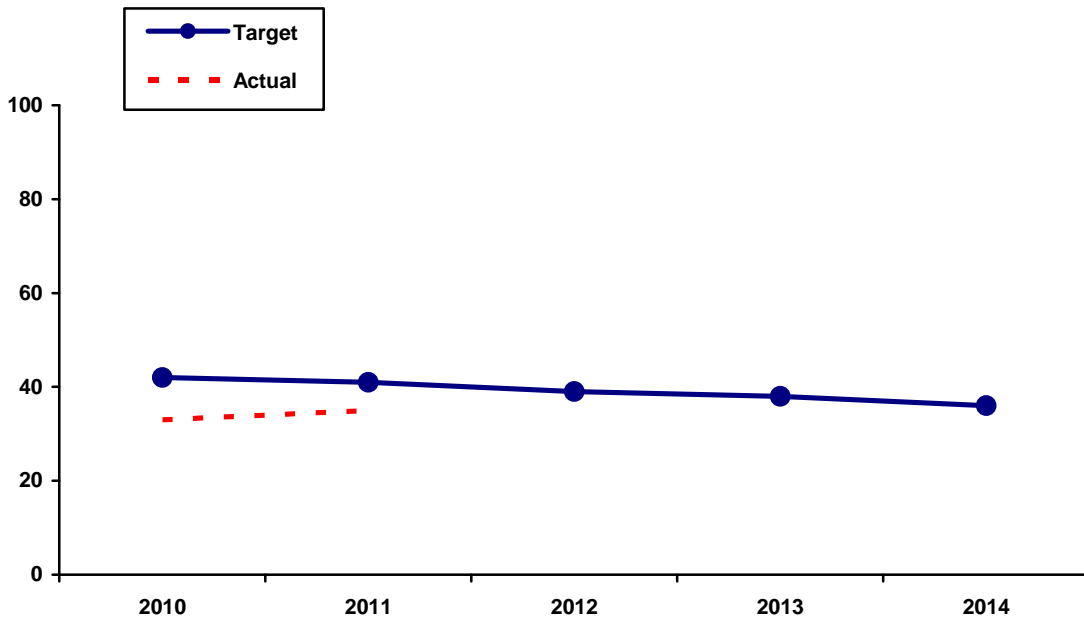
Baselines and analysis on the above key measures

Key Performance Indicator	Baseline	Current Performance	Current Trend	Turning the Curve Goal
NI 47 - People killed or seriously injured (KSI) in road traffic accidents	2005-2009 (42)	2011 (35)	Increasing	Decrease
NI 48 - Children killed or seriously injured (KSI) in road traffic accidents	2005-2009 (5)	2011 (4)	Increasing	Decrease
NI 168 - Principal roads where maintenance should be considered	2006 (10.45)	2011 (5)	Decreasing	Maintain
NI 169 - Non-principal roads where maintenance should be considered	2006 (39.58)	2011 (10)	Decreasing	Maintain
NI 167 - Congestion – Average vehicle speeds during the weekday morning peak on locally managed A Class roads	2010 (27.3)	2011 (27.3)	No change	Maintain
LI 2616 - Percentage of project manager responses confirming that that they have upgraded the PPS or provided a nil return	TBD	TBD	TBD	TBD
LI 2617 - Public satisfaction with the condition of road surfaces (NHT)	2009 (44.09%)	2011 (28.99%)	Decreasing	Increase
LI 2618 - Public satisfaction with the condition of pavements (NHT)	2009 (51.02%)	2011 (49.90%)	Decreasing	Increase

LI 2619 - Public satisfaction with traffic levels and congestion (NHT)	2009 (42.95)	2011 (49.37)	Increasing	Maintain
LI 2620 - Public satisfaction with Road Safety (NHT)	2009 (61.30)	2011 (61.36)	Increasing	Increase further

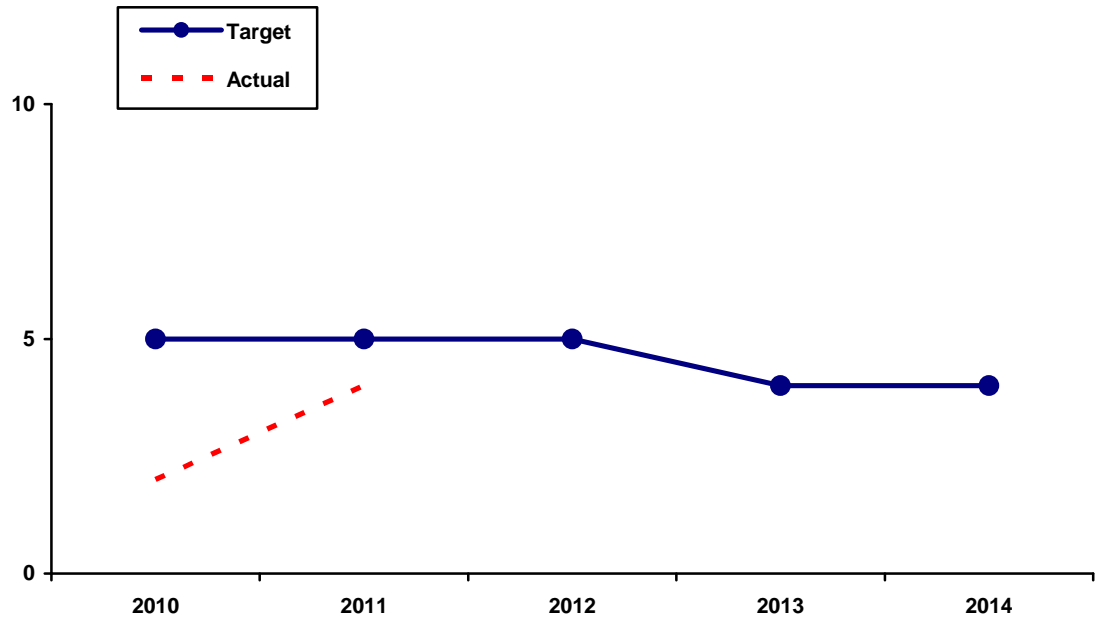
**Road Safety**

**NI 47 - People killed or seriously injured (KSI) in road traffic accidents (smaller is better)**



Target is set on a 33% reduction from a baseline average of 2005 to 2009 averages.

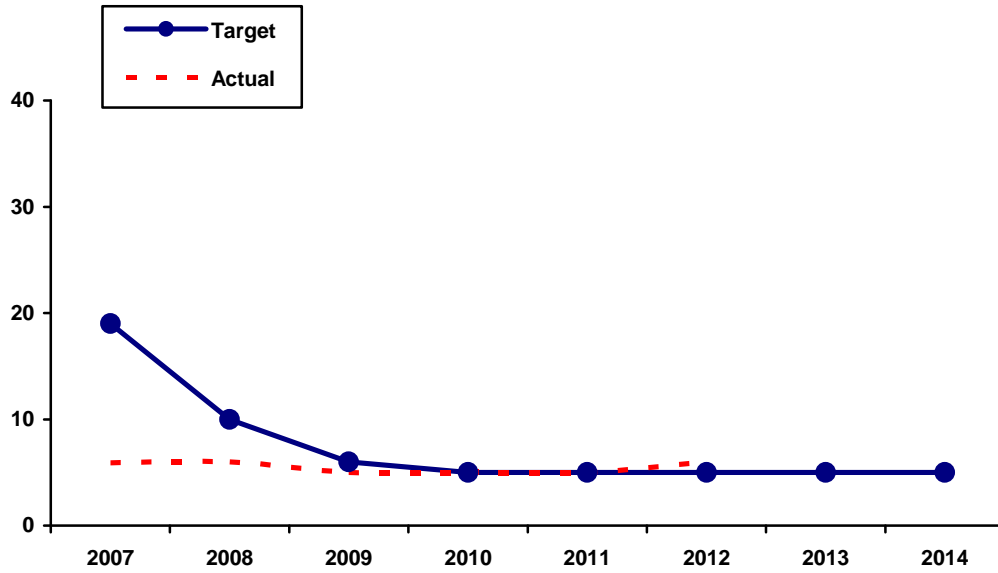
**NI 48 - Children killed or seriously injured (KSI) in road traffic accidents (smaller is better)**



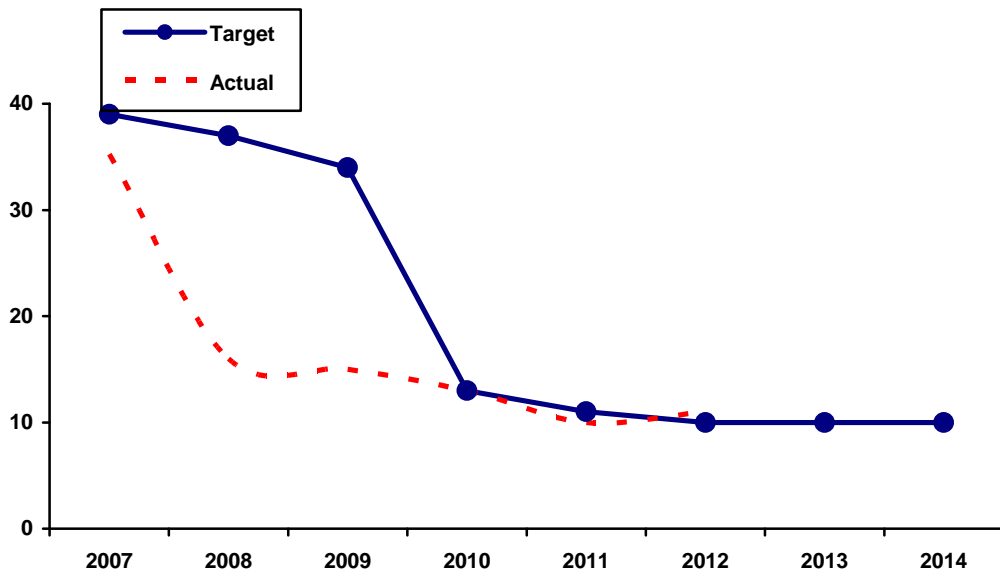
Target is set on a 33% reduction from a baseline average of 2005 to 2009 averages.

## Road & Pavement Maintenance

### NI 168 - Principal roads where maintenance should be considered

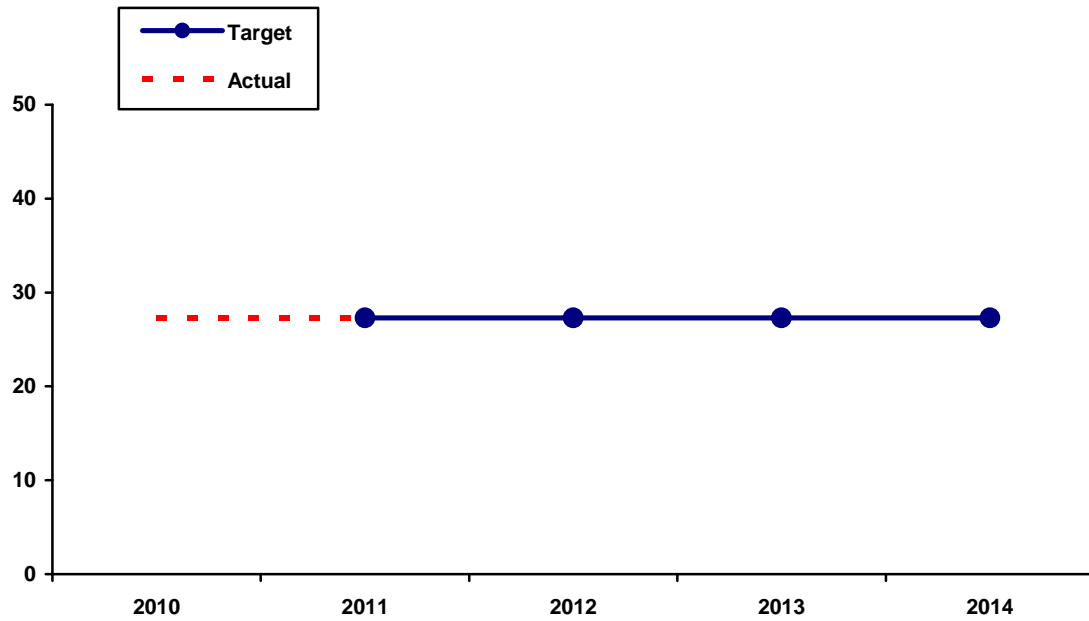


### NI 169 - Non-principal roads where maintenance should be considered



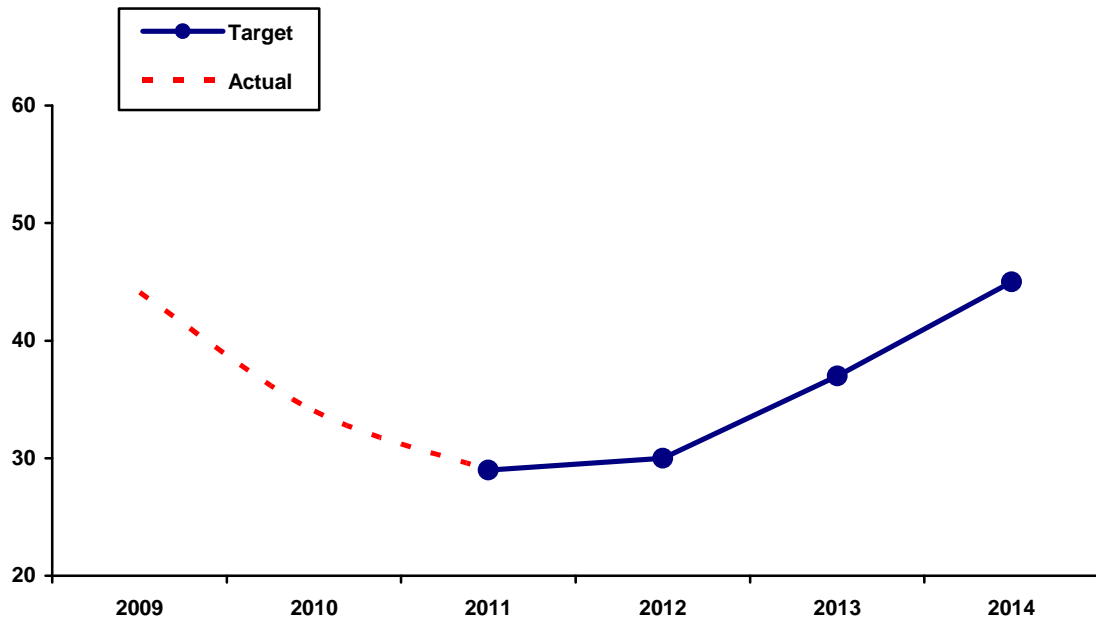
## Congestion

NI 167 - Congestion – Average vehicle speeds during the weekday morning peak on locally managed A Class roads (larger is better)

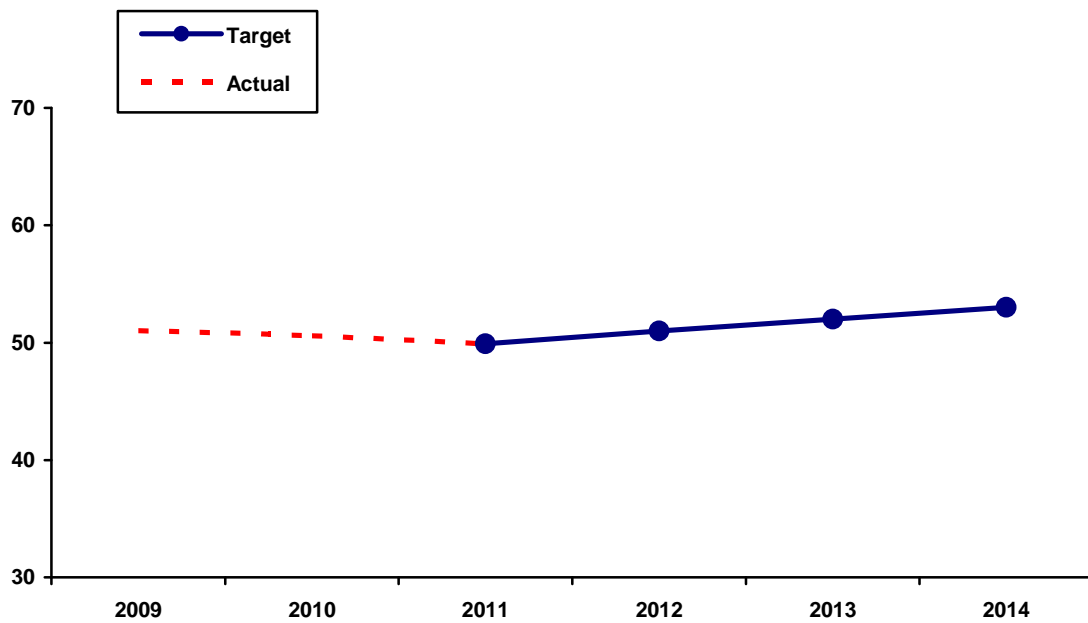


## Public Satisfaction

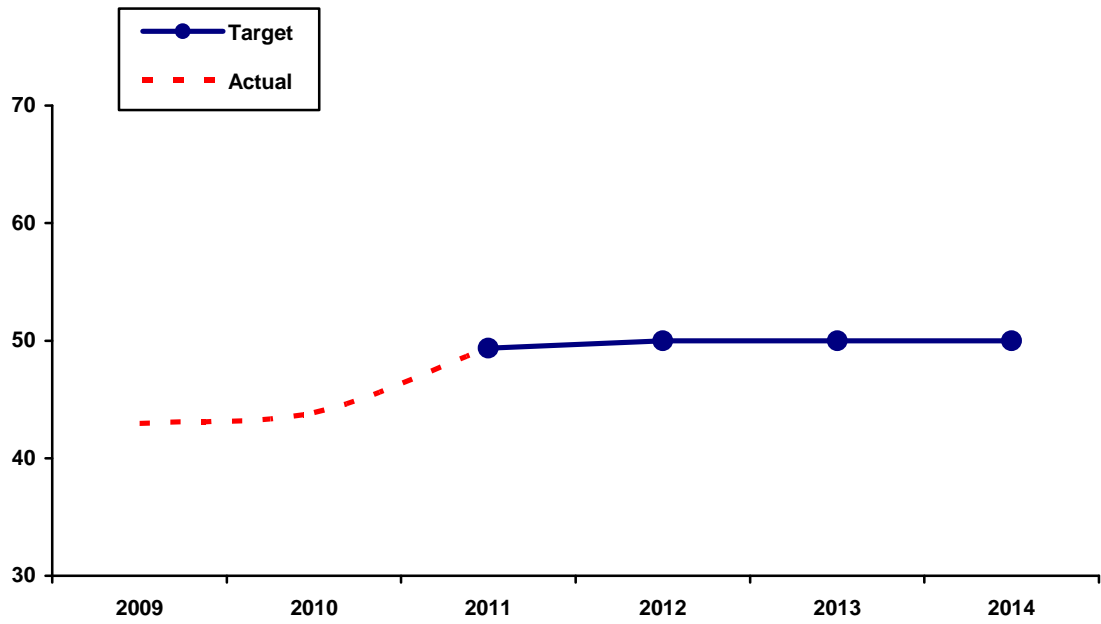
### LI 2617 - Public satisfaction with the condition of road surfaces



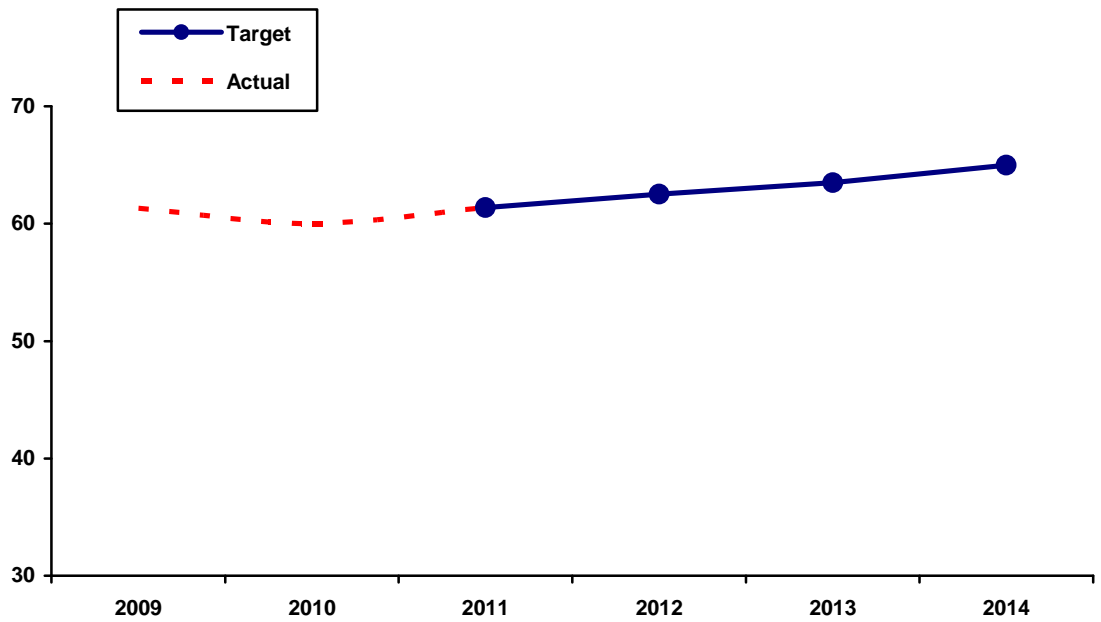
### LI 2618 - Public satisfaction with the condition of pavements



### LI 2619 - Public satisfaction with traffic levels and congestion



### LI 2620 - Public satisfaction with road safety





## **Section 4 – Action Planning**

The following action plans have been developed to improve service:

### **Assurance and Corporate Priorities**

1. Management Framework and Assurance
2. New Business Model, Partnership Working & Transformation
3. Efficiency & Business Process Re-Engineering
4. Business Continuity Planning
5. Carbon Management Plan
6. Flood and Water Management Act Responsibilities
7. Build Capacity To Respond To Emergencies

### **Regional and Sub-regional Priorities**

8. Develop Infrastructure and Place to enable economic development. (TVU Business Plan Objective 1). Tees Valley Unlimited - Transport and Infrastructure Group

### **Operational Priorities**

9. Transport Asset Management Plan
10. Highway Maintenance Plan
11. Winter Maintenance Plan
12. Public Rights of Way
13. Street Lighting Collaborative Project
14. Highway Construction
15. Highway Asset Management Contracts Review
16. Network Management Plan
17. Major Projects and Capital Schemes: Local Transport Plan, Local Sustainable Transport Fund, Tees Valley Bus Network Improvements
18. School Crossing Patrol Service
19. Road Safety Education & Training
20. Highway Network Management Contracts Review
21. Corporate Asset Management Planning
22. Development of Capital Project Processes
23. Effective Management of Major Projects and Capital Schemes
24. Capital Projects Contracts Review

## Action Plan 1

<b>PRIORITY :</b> HDP CORP1	<b>Management Framework &amp; Assurance</b>
<b>Key Performance Measures:</b>	Not Applicable
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Embed new Performance Management Framework within Division	Assistant Director	June / July following adoption of Service Plans by Cabinet  Performance Reviews	September 2012  Quarterly	Director, PA Assistant Director, Heads of Service Finance, Quality, Performance and HR representatives
Plan, Deliver, Monitor & Review Financial Performance and MTFP savings	Assistant Director	Monthly financial feeding into Performance Management framework	Ongoing	Assistant Director, PA Heads of Service Finance representatives
Plan, Deliver, Monitor & Review Health & Safety systems and processes following corporate restructure and embed a cyclical review and communication programme	Assistant Director	Scope works & Audit Plan June/July 2012	Initial review 2012/13 with Cyclical programme developed	Assistant Director, PA Heads of Service, Managers, Employees Health and Safety team representatives
Plan, Deliver, Monitor & Review internal controls set within the	Assistant Director	Review Quarterly	Individual milestones set	Assistant Director, PA

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Managers Assurance Statement			in MAS 2012/13	Heads of Service
Monitor Member Enquiries, Corporate Complaints and FOI to review performance and identify learning points to feed into Think Customer, Member Training, Web Development and Business Process Re-Engineering Programmes	Assistant Director	Review Monthly	Ongoing	Assistant Director, PA Heads of Service
Ensure HR Stress Risk Policy embedded within Business units	Assistant Director	Review September 2012	September 2012	Assistant Director, PA Heads of Service

## Action Plan 2

<b>PRIORITY :</b> HDP CORP2	Embed New Business Model, Partnership Working & Transformation Programmes
<b>Key Performance Measures:</b>	Not Applicable
<b>Link to Risk (if applicable):</b>	<p>Risk 1 - Restructure transitional arrangements and relocation</p> <p>Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues</p> <p>Risk 3 - Other services priorities</p> <p>Risk 5 – Level of Service and Member requests reduce planned performance</p> <p>Risk 6 – Reduction in resources</p>

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Ensure effective communication in place to enable two way dialogue and effective cascading of information through the organisation	Assistant Director Heads of Service	All staff briefing monthly to enable two way dialogue, including Transformation Programme Update	Ongoing	Assistant Director PA Heads of Service Managers and Supervisors All staff
Heads of Service Network Briefings to be set-up to give 'state of the nation' information at key milestones	COE/COB	TBD	Ongoing	COE/COB Heads of Service HR
Relevant information from Council, Cabinet, Chief Officers Executive, Chief Officers Board and Transformation Board is provided to staff	Assistant Director	Place Senior Leadership Team Fortnightly Highways, Design and Projects SLT Fortnightly Team Meetings PDR and 1:1	Ongoing	Assistant Director PA Heads of Service Managers and Supervisors All Staff
Member Briefings on service specific programmes	Assistant Director Heads of Service	Monthly briefings and specific briefings	Ongoing	Assistant Director PA Heads of Service

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Monitor and contribute key issues to Darlington Campaign Strategy	Assistant Director Heads of Service	Place Senior Leadership Team Fortnightly Highways, Design and Projects SLT Fortnightly	Ongoing	Assistant Director PA Heads of Service

### Action Plan 3

<b>PRIORITY :</b> HDP CORP3	Efficiency & Business Process Re-Engineering
<b>Key Performance Measures:</b>	Not Applicable
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review Job costing and Job Management systems in Highways following restructure	Steve Brannan	Scope works and undertake initial audit  Implement	July 2012  TBD	Steve Brannan; Andrew Casey; Steve Pryke; Andrew Cruddace; Glen Hart. Finance Officers
Review business processes within Highway Network Management unit following Strategic Options for Place Restructure.	Andy Casey	Scope works & develop Action Plan by October 2012	Review 2012/13	Assistant Director, Heads of Service, Managers, Employees
Review business processes within Highway Asset Management unit following Strategic Options for Place Restructure	Steve Brannan	Scope works & develop Action Plan by October 2012	Review 2012/13	Assistant Director, Heads of Service, Managers, Employees
Review Bridge/ Structures Management & Design Services	Steve Brannan	Scope Works and Options Autumn 2013	June 2014	Assistant Director, Heads of Service
Review business processes within Capital Projects unit following Strategic Options for Place Restructure	Brian Robson	Scope works & develop Action Plan by October 2012	Review 2012/13	Assistant Director, Heads of Service, Managers, Employees

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Promote "Your Ideas" initiative	Assistant Director Heads of Service	Incorporate refresher programme into all Staff briefings programme	Ongoing	Heads of Service, Managers, Supervisors

#### Action Plan 4

<b>PRIORITY :</b> HDP CORP4	Business Continuity Planning			
<b>Key Performance Measures:</b>	Not Applicable			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation. Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues. Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
BCPs in Place for Category 1 and 2 Functions	Heads of Service	Finalise BCPs	June 2012	Andrew Casey Steve Brannan
Develop programme of review and testing of existing BCPS	Andrew Casey	Documented testing and review to include date, authorisation and outcomes.	March 2013	Nicki Ridley Civil Contingencies Unit
Review BCPS for Category 3 functions	Heads of Service	Identify Cat 3 functions and produce BCP  Incorporate CAT 3 BCPs into review and testing programme.	June 2013  June 2013 onwards	Heads of Service  Nicki Ridley Civil Contingencies Unit





## Action Plan 5

<b>PRIORITY :</b> HDP CORP5	Carbon Management Plan			
<b>Key Performance Measures:</b>	Not Applicable			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources Risk 7 - Failure to contribute to Carbon Management objectives			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Raise awareness of Carbon Management Plan and financial implications on the Council	Assistant Director Heads of Service	Achieve 25% reduction on Council Footprint	2013/14	All staff
Embed responsibility at Officer level to identify opportunities contribute to delivery of targets and capture savings	Heads of Service	Refresher programme to be included in business unit communication framework. See Action Plan 2	Ongoing	All staff
Incorporate Carbon Management objectives into redrafts of Plans and Strategies and any new procurement	Heads of Service	TBD	Ongoing	Heads of Service, Managers and Supervisors
Identify projects on invest to save business case basis to help achieve targets	Assistant Director Heads of Service	Carbon Management Board	Monthly  September	Assistant Director  As identified in Action Plan 13

<b>PRIORITY :</b> HDP CORP5	Carbon Management Plan			
<b>Key Performance Measures:</b>	Not Applicable			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources Risk 7 - Failure to contribute to Carbon Management objectives			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
		Outcome form Street Lighting Collaborative Project Feasibility (see action plan 13)	2012	

#### Action Plan 6

<b>PRIORITY :</b> HDP CORP6	Flood and Water Management Act Responsibilities			
<b>Key Performance Measures:</b>	Not Applicable			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Active Member of the Darlington and Durham Local Resilience Forum	Assistant Director	Attend and contribute to the Severe Weather	TBD	Assistant Director Other Resources to be

<b>PRIORITY :</b> HDP CORP6	Flood and Water Management Act Responsibilities			
<b>Key Performance Measures:</b>	Not Applicable			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
(LRF), sharing information and co-operating with other member organisations		and Flooding Task and Finish Group		determined
Contribute to the development of Service Contracts and internal Service Level Agreements	Steve Brannan (Bill Westland Corporate Lead on Project)	Arrangements in place to undertake new duties.  Implement action plan and management arrangements arising from development work	September 2012  TBD	Steve Brannan  Steve Brannan

## Action Plan 7

<b>PRIORITY</b> : HDP CORP7	Build Capacity To Respond To Emergencies			
<b>Key Performance Measures:</b>	Not Applicable			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Active Member of the Darlington and Durham Local Resilience Forum (LRF), sharing information and co-operating with other member organisations	Assistant Director	Attend and contribute to the Severe Weather and Flooding Task and Finish Group	TBD	Assistant Director Other Resources to be determined
Contribute to the development of Civil Contingency planning	Bill Westland (Corporate Lead)	Participate in risk assessment activities;  Assist in Preparing and maintaining Emergency Plans,  Designating officers to assume key roles during incident response and training them for their role;  Exercising plans and taking part in the	Ongoing	The response to Civil Contingencies can be cross cutting corporate response across all groups depending on the scenario  Staff from Highways Design and Projects Identified on Emergency responders  Staff from business units that have skills to contribute to emergency, task or test

<b>PRIORITY :</b> HDP CORP7	Build Capacity To Respond To Emergencies			
<b>Key Performance Measures:</b>	Not Applicable			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
		exercises of other partner organisations such as the emergency services;		

## Action Plan 8

<b>PRIORITY :</b> HDP REG1	Develop Infrastructure and Place to enable economic development. (TVU Business Plan Objective 1) Tees Valley Unlimited - Transport and Infrastructure Group (TIG)			
<b>Key Performance Measures:</b>	NI167 - Congestion –Average vehicle speeds during the weekday morning peak on locally managed A Class roads LI 2619 - Public satisfaction with traffic levels and congestion (NHT – KBI 17)			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Produce Infrastructure Plan	TVU	Draft Infrastructure Plan to Transport & Infrastructure Group.  TVU Management	June 2012  July 2012	TVU Policy and Regeneration Staff/ Highways, Design and Projects Staff to validate and ensure DBC perspective reflected
Rail	TVU	Respond to Rail Devolution Consultation.  Monitor Development and response implications	June 2012  Ongoing	Policy and Regeneration Staff/ Highways, Design and Projects Staff to validate and ensure DBC perspective reflected
Tees Valley Bus Network Initiative	John	Deliver programme	Annual	TVBNI BOARD

Actions needed to deliver improvement	Lead Officer	Milestones	Date for Completion	Resources (Finance & staff)
	Anderson Dave Winstanley	through TV Project Board and Internal Transport Programme Board.	Programme to meet DfT funding profile.  Programme completion 2014/15	Project Director TVU Transport Board Programmes and Projects Staff Highways, Design and Projects Staff Finance & Procurement Officers
Strategic Highway Network Area Action Plan		Refresh Area Action Plan  Develop Road Network Planning & readiness to deliver strategic schemes around Darlington.  Consider implications of Devolution of Major Scheme funding  Local Transport Board (LTB) Governance Arrangements  Agreed Programme Priorities (Assuming devolved to TV LEP)  Delivery of Devolved	September 2012  December 2012  Response to consultation expected August 2012  December 2012  April 2013  2015	Transport Strategy Board Members Policy and Regeneration Staff/ Highways, Design and Projects Staff to validate and ensure DBC perspective reflected TVU Highways Agency

Actions needed to deliver improvement	Lead Officer	Milestones	Date for Completion	Resources (Finance & staff)
		funding Priorities		
Collaboration and Efficiency	Assistant Director	Street Lighting Collaboration. Monthly reports to TIG	September 2012	As per Action Plan 13



## Action Plan 9

<b>PRIORITY :</b> HDP OP1	Transport Asset Management Plan
<b>Key Performance Measures:</b>	NI 168 - Principal roads where maintenance should be considered NI 169 - Non-principal roads where maintenance should be considered LI 2617 - Public satisfaction with the condition of road surfaces (NHT – HMBI 01) LI 2618 - Public satisfaction with the condition of pavements (NHT – WCBI 02)
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Complete the Transport Asset Management Plan (Volume 1) that identifies the key elements of Transport assets managed by the Authority	Steve Brannan	Completion of Plan	July 2012	Steve Brannan
Complete the Transport Asset Management Plan (Volume 2) that identifies the current condition inventory and levels of service	Dave McGuckin	Completion of Plan Submit returns on asset Valuation to finance for WGA return	July 2012 July 2012	Dave McGuckin Asset Management Engineer and Technicians
Consider Equality Impact Assessment	Dave McGuckin		July 2012	Dave McGuckin Equality Champions

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Consider adoption route for Plan	Assistant Director	Review Final Plan	July 2012	Assistant Director Steve Brannan
Utilise information to develop programmes of work and commissioning plans	Steve Brannan	Identify key areas of risk for commissioning cycle	August 2012	
Bridge & Structures Management	Dave McGuckin	Review Principal Bridge Inspections and identify a programme of work	July 2012	Dave McGuckin Jonathan Gall
	Dave McGuckin	Arrange programme of General Inspections (Include PROW structures)	July 2012	Dave McGuckin Jonathan Gall
	Dave McGuckin	Develop 6 year cyclical programme of inspections	2013/14	Dave McGuckin Jonathan Gall

## Action Plan 10

<b>PRIORITY :</b> HDP OP2	Highway Maintenance Plan			
<b>Key Performance Measures:</b>	NI 168 - Principal roads where maintenance should be considered NI 169 - Non-principal roads where maintenance should be considered LI 2617 - Public satisfaction with the condition of road surfaces (NHT – HMBI 01) LI 2618 - Public satisfaction with the condition of pavements (NHT – WCBI 02)			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Complete draft plan based on agreed Tees Valley format	Steve Brannan	Complete Plan	Sept 2012	Steve Brannan
Consider Equality Impact Assessment	Steve Brannan		July 2012	Steve Brannan Equality Champions
Consult internal stakeholders	Steve Brannan		Oct 2012	Steve Brannan
Consider adoption route for Plan		Review Final Plan	October 2012	Assistant Director Steve Brannan

## Action Plan 11

<b>PRIORITY :</b> HDP OP3	Winter Maintenance Plan
<b>Key Performance Measures:</b>	NI167 - Congestion - Average vehicle speeds during the weekday morning peak on locally managed A Class roads LI 2619 - Public satisfaction with traffic levels and congestion (NHT – KBI 17) LI 2617 - Public satisfaction with the condition of road surfaces (NHT – HMBI 01) LI 2618 - Public satisfaction with the condition of pavements (NHT – WCBI 02)
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation. Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Lessons Learned meeting to identify any improvements / considerations for forthcoming Winter	Steve Brannan	Lessons learned/ improvements identified	July 2012	Steve Brannan Brian Graham Winter Service Staff
Consult Sustainable Transport Team to identify any changes in bus routes	Steve Brannan	Bus routes identified	July 2012	Sue Dobson/ Gill Hutchinson
Issue revised network to Street Scene to update routes	Steve Brannan	Network identified and routes planned	July 2012	Brian Graham Winter Service Staff
Review existing Plan for changes in Code of Practice and working practices	Steve Brannan	Operational working practises reviewed.	Aug 2012	Steve Brannan
Consider Equality Impact Assessment	Steve Brannan		July 2012	Steve Brannan Equality Champions
Circulate Plan & undertake training	Steve	Plan completed	Sept 2012	Steve Brannan

Actions needed to deliver improvement	Lead Officer	Milestones	Date for Completion	Resources (Finance & staff)
	Brannan			Brian Graham Winter Service Staff
Communications	Steve Brannan	Feed into Communications Campaign Strategy  Produce Comms	July 2012  September 2012	Steve Brannan Communications Team

**Action Plan 12**

<b>PRIORITY :</b> HDP OP4	Public Rights of Way			
<b>Key Performance Measures:</b>	Not Applicable			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review existing management arrangements following transfer of service as part of restructure	Dave McGuckin	Review contents of ROWIP	December 2012	Dave McGuckin Malcolm Thompson
	Dave McGuckin	Develop action plan to address embedding of service into business unit	December 2012	Dave McGuckin Malcolm Thompson

### Action Plan 13

<b>PRIORITY :</b> HDP OP5	Street Lighting Collaborative Project
<b>Key Performance Measures:</b>	Not Applicable
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources Risk 7 - Failure to contribute to Carbon Management objectives

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Deliver a programme of structural replacement to address age profile of street lighting asset	Dave McGuckin	Identify Programme, Carbon and Financial saving	June 2012	Street Lighting Officer
		Deliver Programme	April 2013	Street Lighting Officer and Street Lighting Team
Undertake feasibility on collaborative options for the provision of street lighting services	Assistant Director	Commencement	March 2012	Assistant Director (Darlington) Heads of Service (Tees Valley)
		Review of Baseline data	July 2012	Street Lighting Officers (Tees Valley)
		Consider Options	September 2012	Finance, Procurement and Legal Officers as Project Initiation Document.
		Delivery of Options	April 2013	TBD
Produce options to Contribute to Council' s ambitious objective of reducing carbon emissions from Street Lighting by 852 T CO <sub>2</sub>	Assistant Director	Product from Feasibility work (As above)	September 2012	Assistant Director Heads of Service Street Lighting Officer
		Delivery of Options	April 2013 onwards	TBD

## Action Plan 14

<b>PRIORITY :</b> HDP OP6	Highway Construction
<b>Key Performance Measures:</b>	Not Applicable
<b>Link to Risk (if applicable):</b>	<p>Risk 1 - Restructure transitional arrangements and relocation.</p> <p>Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues.</p> <p>Risk 3 - Other services priorities</p> <p>Risk 5 – Level of Service and Member requests reduce planned performance</p> <p>Risk 6 – Reduction in resources</p>

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Review Highway Fleet following merger of services into business unit to seek efficiency	Steve Pryke	Complete review	December 2012	Steve Pryke Andrew Cruddace
Introduce apprentice programme to manage age profile of work force	Steve Pryke	Apprentice scheme implemented	TBD	Steve Pryke Andrew Cruddace
Monitor Trading Account and consider new costing/ job management processes	Steve Pryke	Monthly finance meetings	Ongoing December 2012	Steve Pryke Andrew Cruddace Finance Officers
Review Street works and construction team functions to integrate into combined business unit	Steve Pryke	Develop action plan to address embedding of service into business unit	December 2012	Steve Pryke Andrew Cruddace
Review requirements for framework contracts	Steve Pryke	Develop schedule of frameworks that exist and are required to supplement highway and street lighting construction services	December 2012	Steve Pryke Andrew Cruddace



## Action Plan 15

<b>PRIORITY :</b> HDP OP7	Highway Asset Management Contracts Review
<b>Key Performance Measures:</b>	NI 168 - Principal roads where maintenance should be considered NI 169 - Non-principal roads where maintenance should be considered LI 2617 - Public satisfaction with the condition of road surfaces (NHT – HMBI 01) LI 2618 - Public satisfaction with the condition of pavements (NHT – WCBI 02)
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Review existing Tees Valley and York Specialist Surfacing Framework	Dave McGuckin	Current contract 2 years plus 1 + 1. 2 year milestone August 2012. Review 1 <sup>st</sup> 2yrs performance. Consider extension or re-tender	July 2012 (Annual Review - critical Aug 2013 to prepare re-tender for Aug 2014 operation)	Dave McGuckin Susan White
Regional (NEPO) Specialist Surfacing Framework	Steve Brannan	Input DBC requirements for framework.  Review Tender Prices and suitability for use once let.	May 2012  Autumn 2012	Steve Brannan  Steve Brannan
Street Lighting Structural Testing	Paul Brownbridge	Review timing, scheduling and contractual arrangements.  Consider procurement requirements	August 2012 (Annual)  September 2012	Paul Brownbridge  Paul Brownbridge Procurement Officer

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Highways Network Condition Surveys	Steve Brannan	Tyne, Wear and Tees Valley Technical Surveys 2011 Contract. 3 year plus 1 contract.  Annual Performance Review	Review 2013/2014 Could extend until 2015  Annually February	Steve Brannan  Steve Brannan Tyne, Wear and Tees Valley Authority Representatives

## Action Plan 16

<b>PRIORITY :</b> HDP OP8	Network Management Plan
<b>Key Performance Measures:</b>	NI167 - Congestion –Average vehicle speeds during the weekday morning peak on locally managed A Class roads LI 2619 - Public satisfaction with traffic levels and congestion (NHT – KBI 17)
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Deliver performance targets and improvement actions identified in Network Management Plan	Ken Major	An annual report is produced each year to review and refresh performance and improvement plan	Quarterly Performance review	Assistant Director Head of Service Ken Major
Develop SLA for Data Collection, Monitoring and Review	Ken Major	Scope existing  Develop SLA  Undertake monitoring and reporting	December 2012  Feb 2013  April 2013	Ken Major Dave Young
Urban Traffic Management and Control (UTMC)	Ken Major	Consider capability and application to assist network management and insight information.	December 2012	Ken Major

## Action Plan 17

<b>PRIORITY :</b> HDP OP9	Major Projects and Capital Schemes: Local Transport Plan, Local Sustainable Transport Fund, Tees Valley Bus Network Improvements
<b>Key Performance Measures:</b>	All
<b>Link to Risk (if applicable):</b>	<p>Projects are managed through Transport Board and individual and programme risk logs are maintained</p> <p>Risk 1 - Restructure transitional arrangements and relocation</p> <p>Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues</p> <p>Risk 3 - Other services priorities</p> <p>Risk 4 – Reduction in fee levels</p> <p>Risk 5 – Level of Service and Member requests reduce planned performance</p> <p>Risk 6 – Reduction in resources</p>

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Tees Valley Bus Network Initiative	John Anderson Dave Winstanley	Individual milestones set for Programme. Delivery managed through TV Project Board and Internal Transport Programme Board	Annual Programme to meet DfT funding profile  Programme completion 2014/15	TVBNI BOARD Project Director TVU Transport Board Programmes and Projects Staff Highways, Design and Projects Staff Finance & Procurement Officers
Local Sustainable Transport Fund (LSTF)  Deliver Capital Programme element of bid	John Anderson Dave Winstanley	Individual milestones set for Programme. Delivery managed through Transport Programme Board	Annual Programme to meet DfT funding profile  Programme completion 2014/15	Transport Board Programmes and Projects Staff Highways, Design and Projects Staff Finance & Procurement Officers

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Local Transport Plan (LTP) Deliver programme of: - <ul style="list-style-type: none"> <li>• Highway Maintenance Schemes</li> <li>• Bridge Inspections, Repairs and Reconstruction works.</li> <li>• Street Lighting replacement</li> <li>• Transport Improvement Schemes</li> </ul>	John Anderson Dave Winstanley	Individual milestones set for Programme. Delivery managed through Transport Programme Board	March 2013 March 2014 March 2015	Transport Board Programmes and Projects Staff Highways, Design and Projects Staff Finance & Procurement Officers
External Projects Thompson Street Bridge Replacement (Network Rail)	Ken Major	Identify Issues/ Risks/ consequences  Communications Planning  Consultation/Information/ Member Briefings  Works Commence	June 2012  June 2012  Summer 2012  September 2012	Transport Board Programmes and Projects Staff Highways, Design and Projects Staff
Communications	Heads of Service	Feed positive elements from scheme delivery into Communications Campaign Strategy	Ongoing	Heads of Service Communications Team

### Action Plan 18

<b>PRIORITY :</b> HDP OP10	School Crossing Patrol Service
<b>Key Performance Measures:</b>	NI 047 - People killed or seriously injured (KSI) in road traffic accidents NI 048 - Children killed or seriously injured (KSI) in road traffic accidents LI 2620 - Public satisfaction with road safety (NHT – KBI 20)
<b>Link to Risk (if applicable):</b>	Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review all locations to undertake assessment on physical characteristics and demand on crossing location	Denise Caley	Identify Demand at crossing locations	June 2012	Denise Caley
	Dan Lloyd	Identify Capital Scheme options	November 2012	Dan Lloyd
Continue to explore opportunities to fund service	Andrew Casey	Develop business case opportunities	September 2012	Andrew Casey Heather Barron

## Action Plan 19

<b>PRIORITY :</b> HDP OP11	Road Safety Education & Training
<b>Key Performance Measures:</b>	NI 047 - People killed or seriously injured (KSI) in road traffic accidents NI 048 - Children killed or seriously injured (KSI) in road traffic accidents LI 2620 - Public satisfaction with road safety (NHT – KBI 20)
<b>Link to Risk (if applicable):</b>	Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Casualty / Accident Analysis	Andrew Casey	Annual Review of previous year's casualty trends and statistics	September 2012 September 2013 September 2014 September 2015	Nicki Ridley North East Data Analyst
Education Programme	Denise Caley	<b>Contribute to Local, Regional, National campaigns as resources and evidence dictates</b>	Ongoing	Denise Caley
Pedestrian Training	Ken Plant  Andrew Casey	Develop Programme of Pedestrian Training including annual review of Risk Assessments  Produce Business Plan for funding opportunities in advance of current external funding	In advance of each school term  June 2014	Ken Plant Pedestrian Trainers  Andy Casey Strategy and Commissioning Team

Actions needed to deliver improvement	Lead Officer	Milestones	Date for Completion	Resources (Finance & staff)
Cycle Training	Chris Kendrew  Andrew Casey	source expiring  Develop Programme of Pedestrian Training including annual review of Risk Assessments  Produce Business Plan for funding opportunities in advance of current external funding source expiring	In advance of each school term  June 2014	Chris Kendrew Pedestrian Trainers  Andy Casey Strategy and Commissioning Team



## Action Plan 20

<b>PRIORITY :</b> HDP OP12	Highway Network Management Contracts Review
<b>Key Performance Measures:</b>	NI167 - Congestion –Average vehicle speeds during the weekday morning peak on locally managed A Class roads LI 2619 - Public satisfaction with traffic levels and congestion (NHT – KBI 17)
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation. Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues. Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Traffic Signal Maintenance Service Contract	Andrew Casey	Develop Service Contract Arrangements	June 2012	Andrew Casey Ken Major
		Council Report to seek Authority	TBD	Andrew Casey Ken Major
		Implement	TBD	Andrew Casey Ken Major
Bus shelter maintenance	Brenda Bowles	Develop Service Level Agreement for ongoing maintenance and inspection of Council bus shelters	October 2012	Brenda Bowles Steve Pryke
Bus shelter provision	Brenda Bowles	Review Performance of existing contract for bus shelter supply	Annually January	Brenda Bowles
		Trial Vandal resistant shelter design	August 2012	Andrew Casey Sue Dobson
		Develop framework for bus shelter supply	January 2013	Andrew Casey Sue Dobson

## Action Plan 21

<b>PRIORITY :</b> HDP OP13	Corporate Asset Management Planning
<b>Key Performance Measures:</b>	Not Applicable
<b>Link to Risk (if applicable):</b>	<p>Risk 1 - Restructure transitional arrangements and relocation</p> <p>Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues</p> <p>Risk 3 - Other services priorities</p> <p>Risk 5 - Level of Service and Member requests reduce planned performance</p> <p>Risk 6 - Reduction in resources</p>

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Develop Asset Management Planning across groups and coordinate Capital programme processes through the AMP&CPRG	Assistant Director Head of Capital Projects	Programme of AMP&CPRG meetings to explore AMP processes in each Group:	Scheduled for alternative AMP&CPRG meetings from July 2012	AMP&CPRG AMP Staff in each Group
		<ul style="list-style-type: none"> <li>• Children's</li> <li>• Housing</li> <li>• Corporate</li> <li>• Transport</li> </ul>	July 2012	
		Capital Bid Register – live process	October 2013	
		Develop options for standardising management boards on Capital Programmes	July 2013	
		Develop overarching AMP strategy		

## Action Plan 22

<b>PRIORITY :</b> HDP OP14	Development of Capital Project Processes			
<b>Key Performance Measures:</b>	LI 2616 - Percentage of project manager responses confirming that they have upgraded the PPS or provided a nil return.			
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources			
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review existing Action Plan and incorporate internal audit assessment to develop a comprehensive development plan	Assistant Director	Complete internal Audit  Produce combined development plan with individual actions and milestones agreed by Asset Management Group	June 2012  TBD	Brian McGuire  Head of Capital Projects Brian McGuire

### Action Plan 23

<b>PRIORITY :</b> HDP OP15	Effective Management of Major Projects and Capital Schemes
<b>Key Performance Measures:</b>	LI 2616 - Percentage of project manager responses confirming that they have upgraded the PPS or provided a nil return
<b>Link to Risk (if applicable):</b>	Risk 1 - Restructure transitional arrangements and relocation Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues Risk 3 - Other services priorities Risk 5 – Level of Service and Member requests reduce planned performance Risk 6 – Reduction in resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Review Lessons Learned and enhance Project Management Methodology across groups	Head of Capital Projects	As CP5 stage reports completed	Ongoing	Capital Projects Staff
Process and timing of appointment of Project Manager for Project	Head of Capital Projects	Develop draft Competency framework for Project Manager selection.  Develop Opportunity Management gateway process to control development of projects and ensure the appropriate Project Manager is selected at earliest appropriate point to maximise front end loading.	May 2012  July 2012	AMP&CPRG Head of Capital Projects Capital Projects Staff

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Enhance contract management, knowledge, awareness, skills and develop processes as part of the Development Plan	Head of Capital Projects	Project Execution Plans & Procurement/Contract Strategy developed to form integral element of Major Projects.	July 2012	AMP&CPRG Head of Capital Projects Capital Projects Staff
Improvement of Management of Major Projects and Significant Capital Projects	Head of Capital Projects	<p>Ensure Individual milestones set for Projects</p> <p>Ensure appropriate Project management documentation for projects.</p> <p>Ensure delivery managed through appropriate internal Board/governance arrangement and monitored through AMP&amp;CPRG</p> <p>Ensure agreed Action plans and strategies in place for projects deviating from tolerances</p>	Determined on individual projects prior to commencement and at appropriate gateway stage.	AMP&CPRG Project Sponsors Project Managers Capital Projects Staff

## Action Plan 24

<b>PRIORITY :</b> HDP OP16	Capital Projects Contracts Review
<b>Key Performance Measures:</b>	LI 2616 Percentage of project manager responses confirming that they have upgraded the PPS or provided a nil return
<b>Link to Risk (if applicable):</b>	<p>Risk 1 - Restructure transitional arrangements and relocation</p> <p>Risk 2 - In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues</p> <p>Risk 3 - Other services priorities</p> <p>Risk 5 - Level of Service and Member requests reduce planned performance</p> <p>Risk 6 - Reduction in resources</p>

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Frameworks for Architectural Services Frameworks for Highway Consultancy Services	Brian Robson	<p>Contract 2yr plus 1+1 2012/13 1<sup>st</sup> extension</p> <p>Monitoring Contract compliance (Register)</p> <p>Contractual Process Improvements</p> <p>Consider final extension for 2013/14</p> <p>Consider Renewal tender process after final extension</p>	<p>Ongoing</p> <p>July 2012</p> <p>January 2013</p> <p>May 2013</p>	<p>Capital Projects Team</p> <p>Capital Projects Team Legal Services</p> <p>Capital Projects Team</p> <p>Capital Projects Team</p>
Consider use of Local, Regional and National Frameworks	Brian Robson	Review Quarterly	Ongoing	Procurement Officer - Claire Weatherburn

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review NEPO Work Programme and opportunities through their procurements	Brian Robson	Review Quarterly	Ongoing	Procurement Officer - Claire Weatherburn

## Section 5 – Managing the Business

### Risks

#### Risks Identified

Through the service planning process, risks are identified and assessed in terms of probability and potential consequence. Arrangements are made to manage risks within acceptable levels with the aims of minimising losses and maximising opportunities.

Where risks are assessed as being above acceptable levels, action plans are put in place to reduce exposure by either reducing the likelihood of an event occurring or lessening the impact. Each action plan is assigned to and managed by a senior officer.

AC Risk Ref*	Risk No.	Risk	Risk Category	Responsible Person
	HDP1	Restructure transitional arrangements and relocation	D/II	Assistant Director
	HDP2	In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues	D/II	Assistant Director
	HDP3	Other services priorities	D/II	Heads of Service
	HDP4	Reduction in fee levels	C/II	Heads of Service
	HDP5	Level of Service and Member requests reduce planned performance	D/II	Heads of Service
	HDP6	Reduction in resources	C/II	Assistant Director
	HDP7	Failure to contribute to Carbon Management objectives	D/II	Heads of Service

\*AC Risk Ref – Audit Committee Risk Reference



## Plotting the Risks

The above risks are plotted on the Risk Matrix below. This shows the status of the risks in relation to our 'risk appetite'. 'Above the Line' risks – those plotted within the shaded part of the matrix – require specific action to bring them within acceptable limits; 'Below the Line' risks, plotted in the un-shaded area, are already deemed to have satisfactory management controls in place.

<b>LIKELIHOOD</b>	A				
	Very High				
	B				
	High				
	C			4, 6	
	Significant				
	D			1, 2, 3, 5, 7	
	Low				
	E				
	Very Low				
F					
		IV Negligible	III Marginal	II Critical	I Catastrophic
		<b>IMPACT</b>			

The potential for controlling risks identified as above the line is addressed through management action plans. Most risks are capable of being managed – either by managing down the likelihood or impact or both. Relatively few risks have to be avoided or transferred. Action plans identify the resources required to deliver the improvements, key deadline date and critical success factors/ Key Performance Measures.

## Risk Scenarios

### Risk 1 – Restructure transitional arrangements and relocation

Vulnerability	Trigger	Consequence
Transition to new roles and future operational methods as a result of Place restructure.	Implementation of new structures in Highways, Design and Projects.	<ul style="list-style-type: none"> <li>• Reduced service delivery</li> <li>• Reduced morale</li> <li>• Reduced capacity</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>• Regular meetings during consultation period with requests for feedback</li> <li>• Invitations to hold one to one's with staff and senior managers to identify individual concerns.</li> <li>• Action plan for preferred re-location option to be developed once identified.</li> <li>• Transition Plan to be developed and Action planning built into service plan for 2012/13</li> </ul>		

### Risk 2 – In-Year demands, priorities or opportunities arise that are not planned, resourced or create capacity issues

Vulnerability	Trigger	Consequence
Business units operate with very little additional capacity / resilience.	Request to provide additional or unplanned services. External Event or reaction to public opinion. Major utility works. Major development. Significant Event e.g. Olympics Grant/Bid Opportunity Identified.	<ul style="list-style-type: none"> <li>• Adverse affect on planned work programme</li> <li>• Missed opportunities.</li> <li>• Reputational damage.</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>• Traffic Manager attendance at PESAG and Utility Coordination Meetings.</li> <li>• Transport Board to forward Plan</li> <li>• Attendance at monthly Asset Management and Capital Projects Review Board Projects to assess Project on Horizon Register to identify potential future requests at an early stage.</li> <li>• Attendance at monthly Children, Families and Learning Capital Boards to identify potential future requests at an early stage.</li> <li>• Opportunity Management Process to be developed as part of improved Capital Project Management Methodology.</li> <li>• Framework Contracts in place to manage peaks in workload.</li> </ul>		

- Action to improve Forward Planning on Capital Programme – All Groups.

### Risk 3 – Other services priorities

Vulnerability	Trigger	Consequence
Priorities from other services can have undue influence and conflicting demands on resources.	<p>Conflict identified between different service areas.</p> <p>Insufficient forward planning.</p>	<ul style="list-style-type: none"> <li>• Adverse affect on planned work programme</li> <li>• Relationship damage between service areas</li> <li>• Relationship damage with clients and stakeholders.</li> <li>• Reputational damage</li> </ul>
<p><b>Controls in place</b></p> <ul style="list-style-type: none"> <li>• Details of restructuring within other service areas to be fully communicated.</li> <li>• Action to improve Forward Planning on Capital Programme – All Groups.</li> <li>• Priorities for individual service areas to be understood across the Council</li> </ul>		

### Risk 4 – Reduction in fee levels

Vulnerability	Trigger	Consequence
Service areas reliant on anticipated income levels to balance MTFP	<ul style="list-style-type: none"> <li>• Schools taking up Academy status</li> <li>• Increase in central overheads make fee levels less competitive</li> <li>• Reduced Grants</li> </ul>	<ul style="list-style-type: none"> <li>• Service areas fail to meet fee targets.</li> <li>• Pressure on MTFP.</li> <li>• Staff levels need to be reduced.</li> </ul>
<p><b>Controls in place</b></p> <ul style="list-style-type: none"> <li>• Action Plan 1 and 3 within this Service Plan</li> <li>• Action to improve Forward Planning on Capital Programme – All Groups.</li> <li>• Regular meetings with schools and other clients to promote services</li> <li>• Attendance at monthly Asset Management and Capital Projects Review Board enables work flow to be planned</li> <li>• Specialist services and skills are procured on an 'as required' basis to reduce overall cost</li> </ul>		

### Risk 5 – Level of Service and Member requests reduce planned performance

Vulnerability	Trigger	Consequence
Volume of service and member requests may reduce operational performance on planned service activities.	<ul style="list-style-type: none"> <li>• High levels of member and service requests.</li> </ul>	<ul style="list-style-type: none"> <li>• Service areas fail to complete planned activities in time</li> <li>• Reputational damage</li> <li>• Customer satisfaction suffers.</li> </ul>

		<ul style="list-style-type: none"> <li>• Customer Service centre peaks</li> </ul>
<p><b>Controls in place</b></p> <ul style="list-style-type: none"> <li>• Central monitoring process in place with prescribed timescales for responses from officers.</li> <li>• Monitor Member Enquiries, Corporate Complaints and FOI to review performance and identify learning points to feed into Think Customer, Member Training, Web Development and Business Process Re-Engineering Programmes.</li> <li>• Member Briefing and Training Programme</li> </ul>		

## Risk 6 – Reduction in resources

Vulnerability	Trigger	Consequence
Current and previous restructuring exercises have resulted in service areas operating at capacity.	<ul style="list-style-type: none"> <li>• Staff Sickness</li> <li>• Staff resignations</li> <li>• Further redundancies</li> </ul>	<ul style="list-style-type: none"> <li>• Service areas fail to complete planned activities in time</li> <li>• Reduced morale</li> <li>• Reputational damage</li> <li>• Customer satisfaction suffers.</li> <li>• Customer Service centre peaks</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>• Regular team meetings and one to ones to discuss workload issues</li> <li>• Service Plan to clearly identify business priorities.</li> <li>• Consultant frameworks in place to utilise on a call off basis for specialist services or to manage peaks in workload</li> </ul>		

## Risk 7 – Failure to contribute to Carbon Management objectives

Vulnerability	Trigger	Consequence
Certain service areas have the opportunity to positively contribute towards Carbon Management objectives but this can sometimes be overlooked or not fully recognised	<ul style="list-style-type: none"> <li>• Benefits not identified, realised or adequately captured</li> </ul>	<ul style="list-style-type: none"> <li>• Lost opportunity to contribute towards meeting DBC Carbon Management objectives</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>• Opportunity to raise profile of objectives with current re-structuring</li> <li>• Specific Action plan within this service plan</li> </ul>		

## Risks Classified as Priorities for Improvement (those above the risk appetite line)

Risk No.	Risk	Current Risk Score	Target Risk Score
4.	Reduction in fee levels	C/II	C/III
6.	Reduction in resources	C/II	C/III

**Risk Management Action Plans have been produced for each risk above the appetite line**

## Risk Management Action Plans

### Risk 4 – Reduction in fee levels

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Continually review planned fee income against anticipated baseline figures	Heads of Service	Anticipated fee level achieved	March 2013 March 2014 March 2015	Monthly  Quarterly Performance Clinics
Action to improve Forward Planning on Capital Programme – All Groups	Asset Management Group Assistant Director Head of Capital Projects Programme Boards	Potential increase and decreases in anticipated fee levels managed to minimise impact on MTFP	March 2013 March 2014 March 2015	Monthly

### Risk 6 – Reduction in resources

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Continually review workload and engage with staff to identify pressure/stress areas	Heads of Service	Planned activities delivered on time	March 2012	Monthly
Embed Stress Management Policy (Action Plan 1 in this Service Plan)	Assistant Director, PA Heads of Service		September 2012	Quarterly



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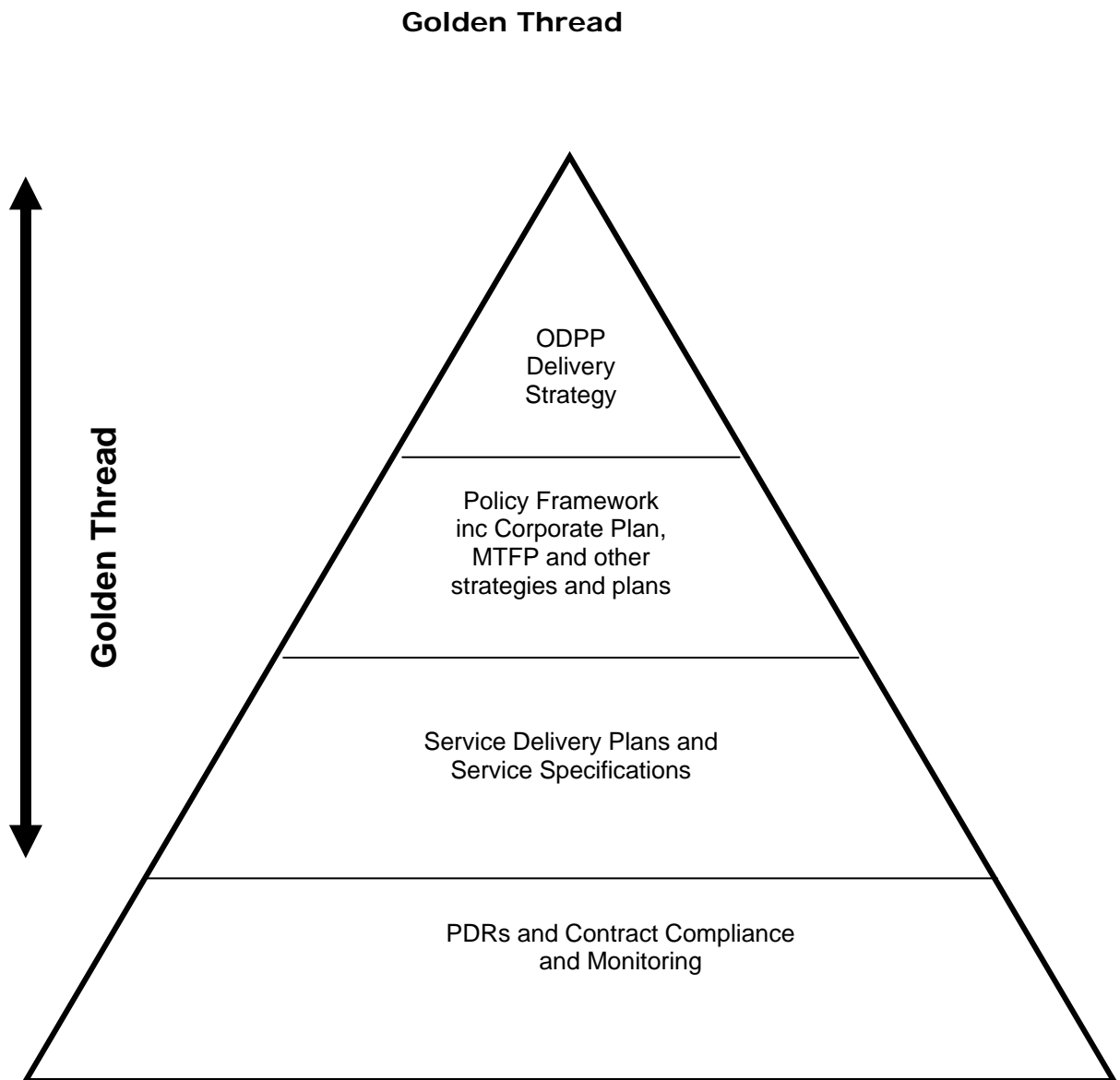


# Housing

## Service Delivery Plan 2012 – 2015

## Purpose of this Plan

This Service Delivery Plan sets out the activities that the Housing Service will deliver over the next 3 years to improve outcomes for our customers. The Service Delivery Plan forms part of the Council's 'golden thread' which ties together all of the key strategies, from the Area-wide Strategy and our two priorities **One Darlington: Perfectly Placed** down to individual staff PDRs and/or delivery of contracts. The diagram below illustrates the model.



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## **Section 1: Who are our customers?**

- Council Tenants/Leaseholders
- Recipients of Housing Options Advice
- Registered Applicants for Housing
- Registered Providers
- Multi-agency Partners e.g. Health, Probation
- 3rd Sector Organisations & Charities
- Former Tenants

## **Core Functions of the service**

Housing deliver a wide range of services that have a direct impact on the quality of life of its customers ranging from prevention of homelessness to building and supporting sustainable communities and promoting social cohesion.

Some of the most important activities are the delivery of a good quality affordable social housing in a good quality of environment. These range from ensuring that the right mix of properties are available to meet local needs to the continuing improvement of homes to meet modern standard. Regeneration, improvement programs and adaptations are a very important part in delivering a good quality of life as is delivering environment works such as car parking and landscaping.

The Housing Service works with some of the most vulnerable people often at the most demanding time in their lives. Essential to the successful work of the service is effective joint working with Adult and Children Social Care, Probation, Mental Health, Learning Disability, Drug and Alcohol Services, Acute Trust, The Police, Crime Prevention, PCT Family Care Trust, CAB and First Stop among a number of Third Sector organisations.

## **This service is made up of the following sections and teams.**

**Advice and Information**-The provision of advice and information are major activities within Housing Services. The include people who are homeless or seeking rehousing; those who are in financial difficulties or in rent arrears, welfare benefits, housing repairs, tenancy and matters. On the council owned housing estates the service is also the first point of contact with the council for many of its other services and plays a key role in sign posting people to other statutory and 3<sup>rd</sup> sector services.

**Choice Based Lettings** -Compass. This is the sub regional allocation system; there are over 2,000 active applicants for Darlington. The team are responsible for managing online and paper applications, verifying information to ensure eligibility, answering queries, ensuring appropriate priority, the annual review of applications, liaising with Registered Social Landlords regarding nominations. Work with private sector landlords to increase take-up.

**Housing Administration and Accounts** balances the weekly rent debit for homes and garages, the various service charges, deals with direct debits, standing orders, rent refunds and the recovery of former tenant arrears. In addition, they also deal with applications for the purchase of Council homes and leasehold properties and the

service charges levied. They recover sundry debts for the recovery of costs for damage to terminated properties and recharges for repairs that are tenant's responsibilities; and the payment and raising of invoices.

**Housing Options** is a statutory function that seeks to prevent homelessness and deal with those presenting as homeless; offering a Housing Option Service to applicants presenting to Darlington B C for housing advice and accommodation if appropriate. Each person is unique and afforded a personal interview to identify their needs and possible housing options. The majority of people presenting are complex, challenging and needy. Each person is assessed using a series of questions to identify their particular need (path way plan). Some people only need housing advice and signposting. Increasingly the team direct people to the private rented sector and have established strong links with local landlords and lettings agencies to meet the accommodation needs. A Bond scheme has been developed with The 700 Club and Evolution and there are strong links to the Landlord Accreditation scheme and Housing Benefits to achieve this.

The team use the Key Point of Access to secure accommodation and support.

Those people presenting as Homeless and are eligible are found temporary accommodation whilst the assessment is undertaken and the team manage access to a range of options, leased private sector housing, some temporary accommodation in the Council stock and Crash Pads specifically for young homeless people. Sometimes it is necessary to place people in Bed and Breakfast.

In addition to this the team attend the MARAC and MAPPA meetings to deal with any housing need identified.

Work is also undertaken on issues such as Rough Sleeping, during the winter months there are special provisions for Winter Weather provisions and the policies on No Second Night out.

The team works with lenders in cases of mortgage difficulty to secure the accommodation if possible.

Housing Options visit prisoners due for release and give support to sustain the prisoner's accommodation if the sentence is short and will endeavour to secure accommodation prior to release for those serving longer sentences as there is clear evidence that this prevents reoffending.

The team also on occasions are required to take action against ill informed private landlords who attempt to terminate tenancies illegally.

The team make statutory returns quarterly and their performance is monitored by the DCLG.

### **Tenancy Management of the Housing stock (currently 5,445 homes and 1,115 garages).**

The team work with and encourage tenants to abide by their terms of tenancy and sustain their tenancies. This includes a lot of visits and 1:1 contact (office and home based) with tenants.

They work with tenants to:-

- ensure that as properties are vacated the Tenancy Team visit and work with the outgoing tenant to ensure that the property is left clean and tidy, if it is not

then they will arrange for the clearance of contents and cleaning to get the property ready for re-let .

- Advertise and allocate property.
- Once a new tenant is identified they will monitor the tenancy to ensure that;
  - the rent account is maintained, taking the appropriate enforcement action when payments are not made, they liaise with Housing Benefits, Adults and Children's Services as necessary and other agencies working with the tenant.
  - The properties are appropriately maintained to a satisfactory housekeeping standard, the common parts and gardens are looked after.
- Home visits are undertaken as necessary to deal with low level repair and maintenance matters.
- Carry out initial investigations where there are complaints of nuisance and anti social behaviour.
- Carry out Estate visits with local residents, these visits monitor the upkeep of the area and highlight areas of concern. Ensure participation of tenants to maximise quality of life for tenants and their environment.

**Tenancy Support** is partially funded by the Supporting People grant to provide low level floating support to around 40 people. They work with the person both pre and post allocation for up to two years. The remit is to help the person establish a tenancy, claim the right benefits and grants, access furniture and establish good links in the community; all with the aim of sustaining tenancies. All of the people have been identified as vulnerable or at risk. Some of the people will present during tenancy in situations such as rent arrears, ill health, poor housekeeping, nuisance and anti social behaviour present. The team have a large network of links to other Council teams and voluntary and statutory agencies.

**Tenancy Enforcement** provides a specific resource to work with those tenants who do not abide by the terms of tenancy. There are a range of enforcement actions and an escalation process for those who do not work with them to change and live and behave responsibly. When necessary they will take court action and ultimately look to repossess the property when all other avenues have failed.

The Tenancy Enforcement Officers represent Housing at meetings with Police, Probation, and Youth Offending Service. They also ensure that all tenants comply with the need to have their gas appliances serviced annually and use the legislation appropriate to this.

**Tenant Empowerment** works with Darlington Council House Tenants and Leaseholders to ensure that they are empowered and have a strong voice in the design and delivery of the Housing Service. They champion, support and service the Tenants' Board (an elected group of tenants) who meet monthly and the various task and finish groups and with the readers panel produce 'Hotnews' a quarterly newsletter for tenants and leaseholders. They work with tenants who are trained mystery shoppers; attend meetings on estates and in our communal facilities; empower tenants to challenge performance and regularly review and update the housing web pages.

New Government legislation increases tenant scrutiny of housing services.

**Asset Management:** The team are responsible for the delivery of the annual capital programme, around £6million per annum. They manage and are developing an asset management database for all of the Council housing stock, homes, garages,

communal facilities and open spaces. Using this information, the criteria in the Decent Homes Standard and having cognisance of our tenants' wishes and aspirations for their homes, there is a continual review of the 30 year business plan in close liaison with Housing Finance Officers.

A key element of asset management is the Green Agenda to improve sustainability and the local environment which further contributes to improved quality of life for tenants.

The team also deal with the inspection and ordering of more complex matters i.e. avoids and empty homes maintenance; and requests for adaptations due to physical disability and frailty.

**The IT team** is responsible for the administration of the Orchard Housing Integrated Housing Management System and associated software. The team develops and configures the software in order to maximise its utility in the day to day business processes of the Service. The team also develops and publishes a performance report index to assist the service in measuring its efficiency and effectiveness.



## **Section 2 – Measuring Outcomes**

### **How do we know if our customers are better off?**

- Tenant satisfaction – Local Authority tenants satisfaction with landlord services
- % of repairs completed on first visit
- % of dwellings with a gas safety certificate
- % of tenants satisfied with condition of their new home
- Reduction in the proportion of households living in temporary accommodation

### **How can we measure if we are delivering services well?**

#### **Council Tenants**

Increase in the tenants' who are satisfied with the condition of their new home and the repair service. Increase in the percentage of local authority tenants satisfied with landlord services and that relevant properties have a valid gas safety certificate. Tenants are paying their rent on time.

#### **Recipients of Housing Options Advice**

The service provides timely and quality advice with reduced number of repeat customers.

#### **Registered Applicants for Housing**

Applicants for housing are receiving advice which leads to informed choices

#### **Registered Providers**

The introduction of a requirement within the Localism Act for each Housing Authority to publish a Tenancy Strategy provides a new power to oversee the types of social housing tenancies that will be on offer within Darlington. Registered Providers will now have to have regard to this policy when producing their own tenancy policy. This development comes at the same time that Housing Authorities have been given new powers with Allocations through changes to statutory guidance that provide the opportunity for greater flexibility in the operation of the waiting list. Both of these changes are designed to help address unmet housing needs by making the best use of existing housing stock.

Although the council is the single largest landlord in the borough the Registered Providers also play an important role in meeting general and specialist housing needs. We work closely to ensure that that we make the best possible match between available housing and needs and that includes making full use of nomination rights.

#### **Multi-agency partners e.g. health, probation**

To maintain strong and effective relationships that benefit our tenants and the wider community: Working together to respond to major changes in Government policy and legislation e.g. Welfare Reform.

#### **3rd Sector Organisations & Charities**

Maintain strong relationships and links with organisations providing accommodation to homeless people. Robust information sharing and partnership working to respond to major changes e.g. Welfare Reform.

#### **Former Tenants**

Effective pre-tenancy termination management; minimising all housing related debts, ensuring properties are left clean and in good condition.

### Section 3 – Current Performance

Following the Government’s changes to the collection of data across the public sector and service areas, robust analysis and comparison of trend data is difficult. There are some proxy measures which give a ‘best fit’ comparison allowing for the national changes. The determination of locally obtained survey information following the cessation of the Place Survey and Darlington’s decision not to participate in the North East Perception Survey in 2012, will result in developing our own suite of questions to gather the views of the population across a range of key service areas. This results will feed into the analysis of performance to improve services.

From 2013 comparison and analysis of trends will be contained in this section of the service plan.

The following table shows the trend information which is currently available for the key performance measures identified through Outcome Based Accounting workshops and agreed by the Senior Leadership Team in January 2012.

#### Key Performance Measures and Trends

Number	Indicator Description	Year End	Year End	Year End	Latest
		2008/09	2009/10	2010/11	2011/12
NI 156	Number of households living in temporary accommodation. (Housing Services)	0	1	4	0
NI 160	Local Authority tenants’ satisfaction with landlord services. (Housing Quality Network) / (Housing Services)	84.22%	Not carried out	88.20%	Not carried out
LI 2118	% Urgent repairs completed on time (Government time limits) (Housing Quality Network) / (Tenants Board website) / (Building Services)	No info	No info	71.07%	82.28% (02/2012)
LI 2120	% repairs completed on first visit. (Tenants Board website) / (Building Services)	No info	No info	No info	87.02% (02/2012)
LI 2125	% of dwellings Gas Serviced within 12 months. (Housing Quality Network) / (Tenants Board website) / (Building Services)	No info	No info	98.74%	99.50% (02/2012)
LI 2128	% Tenants satisfied with condition of new home. (Tenants Board website) / (Housing Services)	No info	No info	No info	33.00% (02/2012)
Ex BV 212	Average number of days to re-let dwellings. (Housing Quality Network) / (Housing Services) New for 12/13				

Number	Indicator Description	Year End	Year End	Year End	Latest
		2008/09	2009/10	2010/11	2011/12
Ex BV 066a	Rent collected as a % of rent roll. (Housing Quality Network) / (Housing Services)		97.64%	99.90%	98.22%
New	% of tenants coming off Supporting People Tenancy Scheme maintaining a successful tenancy for 12 months (Housing Services)New for 12/13				

## **Section 4 – Action Planning**

The priorities for housing cut across all customer groups.

- Council Tenants/Leaseholders
- Recipients of Housing Options Advice
- Registered Applicants for Housing
- Registered Providers
- Multi-agency Partners e.g. Health, Probation
- 3rd Sector Organisations & Charities
- Former Tenants

### **Housing Strategy**

- Implement the remodelling plans for Cockerton
- Prepare and agree plans for the regeneration of Red Hall
- Prepare and adopt a Supported Accommodation Strategy
- Prepare and adopt a Homelessness Strategy
- Implement the Asset Management Strategy
- Options for the future development of council housing

### **Asset Management**

- Improve Energy Efficiency of housing stock
- Respond to outcome of Strategic Options for Place Services in respect of capital and revenue maintenance

### **Reforms affecting housing**

- Respond to Welfare Reforms
- Respond to Localism Act
- Respond to CSR 2010
- Developing the Tenancy Strategy (Tees Valley wide) and Tenancy Policy for Darlington BC Housing.
- Respond to Enhanced Right to Buy arrangements

### **Maximise Income:**

- Review tenancy termination process / void standard
- Identify 'vulnerable' CBL applicants and tenants , to maximise benefit payments direct to landlord
- Address under occupation of social housing
- Capture and analyse tenant profile data
- Review Direct Debit payment arrangements
- Develop welfare benefits knowledge

## Action Plan

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Formal Tenants
<b>PRIORITY :</b>	Implement the remodelling plans for Cockerton
<b>Key Performance Measures:</b>	Clearance of properties identified for demolition
	Completion of environmental works
<b>Link to Risk (if applicable):</b> 2 Slippage in the programme	

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
77 LA properties decanted ready to be demolished and cleared.	Hazel Neasham	Decant areas 1-4 Decant area 5	January 2013	Within existing resources
Work with partners to promote community cohesion	Hazel Neasham	Joint promotion of regeneration improvements, Through out project	March 2014	Within existing resources
Completion of Internal Planned Maintenance	Chris Harris	On going monitoring	March 2013	Within existing resources
Environmental Improvements	Chris Harris	Develop and agree specification with partners and tenants	March 2014	Within existing resources

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Former Tenants
<b>PRIORITY :</b>	Prepare and agree plans for the regeneration of Red Hall
<b>Key Performance Measures:</b>	Agree regeneration plan with Tenants and Stakeholders
	Identification of suitable financial mode and delivery model
<b>Link to Risk (if applicable):</b>	

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Future funding options for regeneration considered	Pauline Mitchell	Host workshop with key partners to consider future funding options and development vehicles June 2012	July 2012	Within existing resources
Demand and supply for differing types of housing within the local market analysed	Pauline Mitchell	Conduct detailed needs and supply analysis	March 2013	Within existing resources including resources from Place
Options appraisal for the future of Red Hall developed	Pauline Mitchell	Bring together financial options and market analysis to develop options appraisal	September 2013	Within existing resources
Local community consulted	Hazel Neasham	Consult with tenants and other residents of Red Hall concerning options	To be informed by above	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Development proposal produced	Pauline Mitchell	Identify suitable development partners and agree development plan for approval	June 2014	Within existing resources

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Formal Tenants
<b>PRIORITY :</b>	Prepare and adopt a Supported Accommodation Strategy
<b>Key Performance Measures:</b>	Produce strategy
	Complete consultation for final draft
<b>Link to Risk (if applicable):</b>	4 Reduced choice and availability of affordable housing

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review role of sheltered housing and Extra Care in the context of meeting wider community needs	Ken Davies	Set up internal working group	June 2012	Within existing resources
Consider the appropriateness of current provision of supported accommodation in the context of strategic objectives	Ken Davies	Set up steering Group	June 2012	Within existing resources
Consider the implications of the Welfare Reforms on Supported Accommodation and in particular on "Move on availability".	Ken Davies	Gather information on corporate response and housing services response	July 2012	Within existing resources
Establish the strategic direction of commissioning of support to influence strategy	Ken Davies	Complete interviews	July 2012	Within existing resources
Consult with Tenants Board	Ken Davies	Meet with Review group	July 2012	Within existing resources



<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Equalities Impact Assessment completed	Ken Davies	Following Review Group	July 2012	Within existing resources
Consultation on draft strategy	Ken Davies	Produce full draft for consultation in July	August 2012	Within existing resources
Produce Final draft for Scrutiny Committee	Ken Davies	Complete amendments from consultation	September 2012	Within existing resources
Cabinet	Ken Davies	Final edit including comments from scrutiny	October 2012	Within existing resources
Review	Ken Davies	Conduct annual review of delivery plan and full review of strategy at 3 years	Annual	Within existing resources

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Formal Tenants
<b>PRIORITY :</b>	Prepare and adopt a Homelessness Strategy
<b>Key Performance Measures:</b>	Produce strategy
	Complete consultation for final draft
<b>Link to Risk (if applicable):</b>	6 Increased homelessness

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Review changes to the delivery of Homelessness services since 2009	Ken Davies	Set up internal working group	June 2012	Within existing resources
Consider the appropriateness of current service provision in the context of strategic objectives	Ken Davies	Set up steering Group	June 2012	Within existing resources
Consider the implications of the Welfare Reforms on the delivery of homelessness services and access to suitable accommodation	Ken Davies	Gather information on corporate response and housing services response	July 2012	Within existing resources
Establish the strategic direction of commissioning of support to influence strategy	Ken Davies	Complete interviews	July 2012	Within existing resources
Equalities Impact Assessment completed	Ken Davies	Following Review Group	July 2012	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Consultation on draft strategy	Ken Davies	Produce full draft for consultation in July	August 2012	Within existing resources
Produce Final draft for Scrutiny Committee	Ken Davies	Complete amendments from consultation	September 2012	Within existing resources
Cabinet	Ken Davies	Final edit including comments from scrutiny	October 2012	Within existing resources
Review	Ken Davies	Conduct annual review of delivery plan and full review of strategy at 3 years	Annual	Within existing resources

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Formal Tenants
<b>PRIORITY :</b>	Implement the Asset Management Strategy
<b>Key Performance Measures:</b>	Manage implications of strategic review of Place while continuing to deliver satisfactory service
<b>Link to Risk (if applicable):</b>	1 Strategic Options for Place

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Address impact of Strategic Review of place	Pauline Mitchell	To be determined when the results are known	To be determined when the results are known	To be determined when the results are known
Undertake an annual review of the current programme to ensure it reflects recent demands for repairs and maintenance	Chris Harris	Review "Just in Time" and other delivery approaches	Subject to results of Strategic Review of Place	May need additional resource or rebalance of within existing resources
Continue to monitor the balance of repairs between reactive and planned	Chris Harris	Review as part of the delivery model options	Annual	Within existing resources
Implement revised void procedures and standards approved by Building Services and Tenant Board	Chris Harris/ Veruta Barlow	Review after 12 months	May 2012	Within existing resources
Develop a programme of stock condition surveys	Chris Harris	10% each year	On going	IT development

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Deliver 2012/13 Housing capital improvement programme	Chris Harris	Monitor progress	March 2013	Within existing resources
Develop "Green strategy" to form part of Asset Management strategy	Chris Harris	Link into corporate approach	December 2012	Within existing resources
		Consult with Tenants Board		

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Former Tenants
<b>PRIORITY :</b>	Prepare and adopt a Tenancy Strategy and a Tenancy Policy
<b>Key Performance Measures:</b>	Tees Valley Tenancy Strategy produced with any amendments specific to Darlington for approval September 2012
	Develop DBC Housing Tenancy Policy August 2012
<b>Link to Risk (if applicable):</b>	4 Reduced choice and availability of affordable housing

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Consultation with all Registered Providers via Tees Valley	Ken Davies	Produce 1 <sup>st</sup> Draft	May 12	Within existing resources
Consultation with all Stakeholders in Darlington	Ken Davies	Provide draft for Compass Website Circulate to stakeholders	May 12	Within existing resources
Equalities Impact Assessment completed	Ken Davies	Following Review Group	July 2012	Within existing resources
Public consultation on draft strategy	Ken Davies	Produce full draft for consultation in July	August 2012	Within existing resources
Produce Final draft for Scrutiny Committee	Ken Davies	Complete amendments from consultation	September 2012	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Cabinet	Ken Davies	Final edit including comments from scrutiny	October 2012	Within existing resources
Review	Hazel Neasham	With Tees Valley partners consider changes that have taken place in the housing market	October 2013	Within existing resources

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Former Tenants
<b>PRIORITY :</b>	Increase the number of council houses
<b>Key Performance Measures:</b>	Understand the financial implications of national policy changes on HRA
<b>Link to Risk (if applicable):</b>	5 Significant level of uncertainty and change within the housing sector

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Address the challenges of under and over occupation	Hazel Neasham	Under occupation policy	Ongoing	Within existing resources
Identify need for additional council housing by location	Hazel Neasham	Assessment of housing management information	April 2013	Within existing resources
Assess the impacts of the Welfare reforms and Right to Buy on the Housing Revenue Account	Heather McQuade	Monitor loss of income	June 2013	Within existing resources
Consider alternative delivery models and funding mechanisms	Pauline Mitchell	Options delivery workshop	December 2013	Within existing resources



<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Formal Tenants
<b>PRIORITY :</b>	Continue to effectively manage and invest in the Council's retained stock
<b>Key Performance Measures:</b>	Maintain or reduce current levels of rent arrears
	Reduce levels of under occupation
<b>Link to Risk (if applicable):</b>	Reduced choice and availability of affordable housing

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Consider the housing pressures in local areas and the need for local allocations policies to address these needs	Hazel Neasham	Consider how systematic information gathering at a local level can be efficiently achieved	Ongoing	Within existing resources
Consider the future role of sheltered housing in the light of the Supported Housing Strategy published in 2012	Hazel Neasham	Introduce changes to allocations criteria	April 2014	Within existing resources

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Formers Tenants
<b>PRIORITY :</b>	Respond to Welfare Reforms
<b>Key Performance Measures:</b>	Level of rent arrears
<b>Link to Risk (if applicable):</b>	3 Reduction in rental income

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Develop Action plan for Housing	Hazel Neasham	Relate to corporate response	August 2012	May have staff implications-to be determined
Develop communications plan	Ken Davies	Link to corporate information	August 2012	Within existing resources
Review rent collection systems, rent recovery and prevention of rent arrears mechanisms as a result of the Welfare Reforms	Hazel Neasham	Understand the implications of changes to direct payments	December 2012	May have staff implications-to be determined There will also be IT implications
		There will be a need for on going development as Welfare changes continue to be introduced		
Consider housing options for those whose benefits are affected by under occupation	Hazel Neasham	Work with other Landlords to increase choices of alternative accommodation	December 2012	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Consider housing options for those whose benefits are affected by under occupation	Hazel Neasham	There will be a need for on going development as Welfare changes continue to be introduced	December 2012	Within within existing resources
Develop on going staff training programme	Hazel Neasham/HR	Dependant on the above actions	March 2015	Within existing resources
Review impact and future reforms	Hazel Neasham	6 months before date of next changes update implementation plan	Annual	Within existing resources

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Formers Tenants
<b>PRIORITY :</b>	***Respond to Localism Act
<b>Key Performance Measures:</b>	Increased tenant scrutiny of performance
<b>Link to Risk (if applicable):</b>	5. Significant level of uncertainty and change within the housing sector

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Develop an enhanced Scrutiny Strategy to meet the challenges of the Localism Act and changed regulatory standards	Valerie Rutherford	Consider an enhanced role for the Tenants Board	October 2012	Within existing resources
		Consider what effective mechanisms are required including enhanced role for focus groups		
		Bench marking against good practice		
Develop enhanced Appeals mechanism to meet national requirements	Lee Downey	Development of Democratic filter	April 2013	Within existing resources
Develop Tenant Inspection Team	Valerie Rutherford	Develop procedure with view to implementation during 2013	April 2013	Within existing resources
Increase the number of "Mystery Shoppers" to monitor performance	Valerie Rutherford	Increase to 20	Cyclical programme	Within existing resources

Actions needed to deliver improvement	Lead Officer	Milestones	Date for Completion	Resources (Finance & staff)
Review of the Local Offer	Valerie Rutherford	Consultation with Tenants	Annual	Within existing resources

**\*\*\* NB: The above action plan is not within the management and control of Housing Services.**

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Formal Tenants
<b>PRIORITY :</b>	Respond to Enhanced Right to Buy arrangements
<b>Key Performance Measures:</b>	% reduction in rental income as a result of enhanced RTB
<b>Link to Risk (if applicable):</b>	3 Reduction in rental income

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Decision will need to be made about signing up to Governments' "replacement housing" agreement	Pauline Mitchell		July 2012	Will have implication in 30 year Housing business Plan
Evaluate the impact of increased sales on available housing to feed into the annual review of strategy	Hazel Neasham	Dependant on Government's publicity for the scheme	Annual starting April 2013	Within existing resources
Evaluate the impact of increased sales on 30 year business plan	Heather McQuade	Preparation for annual HRA budget	Annual starting December 2012	Within existing resources

<b>Customer Group</b>	Council Tenants/Leaseholders/Recipients of Housing Options Advice/Registered Applicants for Housing/Registered Providers/Multi-agency Partners e.g. Health, Probation/3rd Sector Organisations & Charities/Formal Tenants
<b>PRIORITY :</b>	Respond to Comprehensive Spending Review 2010
<b>Key Performance Measures:</b>	
<b>Link to Risk (if applicable):</b>	5 Significant level of uncertainty and change within the housing sector

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Be aware of the impact assessment of reductions in services/facilities related to housing and link to staff training programme	Hazel Neasham	Make use of housing related information emerging from "talking together events" to monitor the impact of reductions in associated services that impact on tenants quality of life	On going	Within existing resources
Consider opportunities to offer the facilities' in sheltered housing/Extra Care to replace some facilities that have been lost	Ken Davies	Identify opportunities in Supported Housing Strategy	September 2012	Within existing resources
Collaborate with Adult Social Services in review of Discharge Policy to support early discharge from hospital for people living in or requiring Council accommodation	Jill Walton/ Jeanette McMain	In collaboration develop a protocol for discharge	April 2013	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Respond to the reduction in Supporting People Grant	Hazel Neasham	Produce proposals for a realignment of services	On going review	Within existing resources



## Section 5: Risks

### Risks Identified

Through the service planning process, risks are identified and assessed in terms of probability and potential consequence. Arrangements are made to manage risks within acceptable levels with the aims of minimising losses and maximising opportunities for the Council.

Where risks are assessed as being above acceptable levels, action plans are put in place to reduce exposure by either reducing the likelihood of an event occurring or lessening the impact. Each action plan is assigned to and managed by a senior officer. All Service Areas are required to monitor their risks and review the action plans required for risks above the 'appetite line' through existing management arrangements ensuring that the ranking of the risk is reviewed and revised where it is appropriate to do so and a clear audit trail of these actions maintained through minutes/action logs from Senior Management Teams (SMT) i.e. DMT/SLT meetings of Directors/Assistant Directors.

<b>AC Risk Ref*</b>	<b>Risk No.</b>	<b>Risk</b>	<b>Risk Category</b>	<b>Responsible Person</b>
	HOU1	Strategic Options for Place	<b>C/II</b>	Pauline Mitchell
	HOU2	Slippage in the Cockerton regeneration programme	D/II	Hazel Neasham
	HOU3	Reduction in rental income	<b>C/II</b>	Hazel Neasham
	HOU4	Reduced choice and availability of affordable housing	<b>C/II</b>	Hazel Neasham
	HOU5	Significant level of uncertainty and change within the housing sector	<b>C/II</b>	Ken Davies
	HOU6	Increased homelessness	<b>B/II</b>	Hazel Neasham

\*AC Risk Ref – Audit Committee Risk Reference

## Plotting the Risks

The above risks are plotted on the Risk Matrix below. This shows the status of the risks in relation to our 'risk appetite'. 'Above the Line' risks – those plotted within the shaded part of the matrix – require specific action to bring them within acceptable limits; 'Below the Line' risks, plotted in the un-shaded area, are already deemed to have satisfactory management controls in place.

<b>LIKELIHOOD</b>	A				
	Very High				
	B			<b>6</b>	
	High				
	C			<b>1, 3, 4, 5</b>	
	Significant				
	D			<b>2</b>	
	Low				
	E				
	Very Low				
F					
		IV Negligible	III Marginal	II Critical	I Catastrophic
		<b>IMPACT</b>			

The potential for controlling risks identified as above the line is addressed through management action plans. Most risks are capable of being managed – either by managing down the likelihood or impact or both. Relatively few risks have to be avoided or transferred. Action plans identify the resources required to deliver the improvements, key deadline date and critical success factors/ Key Performance Measures.

## Risk Scenarios

### Risk 1 – Strategic Options for Place

Vulnerability	Trigger	Consequence
Review of Building Services can have an impact on delivery of housing programmes	Changes to the structure and pattern of service delivery	Drop in service quality while changes are implemented
<b>Controls in place</b> Develop action plan once results of are known		

### Risk 2 – Slippage in Cockerton regeneration programme

Vulnerability	Trigger	Consequence
Phased development with a number differing programmes of work can be vulnerable to delays	Delays in decanting tenants which would delay overall programme	Delays are likely to have serious financial consequences
<b>Controls in place</b> Strong project management Frequent contact with tenants		

### Risk 3 – Reduction in rental income

Vulnerability	Trigger	Consequence
Significant numbers of tenants are suffering from the economic down turn	Changes to Welfare Benefits will see further reductions in income	Increases in rent arrears and recovery costs.
		Increase in administration cost
		Increase in prevention costs
<b>Controls in place</b> Develop an action plan and responses Early identification those affected in order to provide targeted advice		

**Risk 4 – Reduced choice and availability of affordable housing**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Housing Stock does not meet current and future needs	Difficulties in purchasing housing for 1 <sup>st</sup> time buyers  Welfare reforms  Enhances Right to Buy  Increasing population  Changes in funding of social housing	Increase in over-crowding    People living in unsuitable housing conditions for longer with related social and health consequences Risk of increased homelessness
<p><b>Controls in place</b>            Review of Allocations policy introduces more flexibility            Introduction of Tenancy Strategy allows flexibility to introduce different types of tenancy            Review of housing development options to find ways to stimulate housing growth</p>		

**Risk 5 – Significant level of uncertainty and change within the housing sector**

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Unpredictability of changes within the housing market	Increasing shortages of all types of housing while a significant number of people are unable to sustain their existing tenancy	Increasing expenditure on rent recovery while income is reducing will put pressure on the housing business plan
<p><b>Controls in place</b>            Analysis of scale of challenges in order to target preventative actions            Develop action and communications plan            Highlight corporate implications to ensure collective action            Form partnerships with other housing providers to increase flexibility of approach to housing supply            Factor implications into the 30 year housing business plan</p>		

## Risk 6 – Increased homelessness

Vulnerability	Trigger	Consequence
There has been a successful drive to prevent homelessness and this has resulted in a reduced need for specialist provision. However the economic decline has started to see an increase in homeless applications	Financial down turn has seen more people becoming at risk of loosing their homes  Shortages of suitable housing  Impact of Welfare Reforms will limit housing choices and may result in increased evictions	Increase in all types of homelessness and cost directly to the council in the short and longer term for housing and other related services, for example, Education and Adult Social Care
<p><b>Controls in place</b>            A new Homelessness Strategy is being produce that will address these issues            A response to the Welfare Reforms is being developed            Work is on going with Private sector landlords to further open the private rented Market</p>		

### Risks Classified as Priorities for Improvement (those above the risk appetite line)

Risk No.	Risk	Current Risk Score	Target Risk Score
HOU1	Strategic Options for Place	C/II	D/III
HOU3	Reduction in rental income	C/II	D/II
HOU4	Reduced choice and availability of affordable housing	C/II	D/II
HOU5	Significant level of uncertainty and change within the housing sector	C/II	D/III
HOU6	Increased homelessness	B/II	C/II

## Risk Management Action Plans

### Risk 1: Strategic Options for Place

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Evaluate impact of proposed changes on service delivery	Chris Harris	Maintain service delivery and meet targets	Oct 2012	
Develop Action Place once results of Strategic Options for Place are known	Chris Harris	Maintain service delivery and meet targets	April 2013	

### Risk 2: Slippage in Cockerton regeneration programme

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Plan Decanting	Hazel Neasham	All properties empty when requires	January 2013	Monthly
Complete Environmental works	Chris Harris	Works complete	March 2014	Monthly

**Risk 3:** Reduction in rental income

<b>Required Management Action/ Control</b>	<b>Responsibility for Action</b>	<b>Critical Success Factors and KPIs</b>	<b>Key Dates</b>	<b>Review Frequency</b>
Review rent collection systems, rent recovery and prevention of rent arrears mechanisms as a result of the Welfare Reforms	Hazel Neasham	Maintain service delivery and meet targets	December 2012	Annual
Map rent loss associated with enhanced Right to Buy	Heather McQuade	Identify annual income loss	December 2012	Annual

**Risk 4:** Reduced choice and availability of affordable housing

<b>Required Management Action/ Control</b>	<b>Responsibility for Action</b>	<b>Critical Success Factors and KPIs</b>	<b>Key Dates</b>	<b>Review Frequency</b>
Review of Allocations policy introduces more flexibility	Hazel Neasham	Maintain service delivery and meet targets	March 2013	Annual
Tenancy Strategy allows flexibility to introduce different types of tenancy	Ken Davies	Maintain service delivery and meet targets	September 2012	Annual
Review of housing development options to find ways to stimulate housing growth	Pauline Mitchell	Increased supply of social housing	March 2013	Annual

**Risk 5:** Significant level of uncertainty and change within the housing sector

<b>Required Management Action/ Control</b>	<b>Responsibility for Action</b>	<b>Critical Success Factors and KPIs</b>	<b>Key Dates</b>	<b>Review Frequency</b>
Analysis of scale of challenges in order to target preventative actions	Ken Davies	New Housing Strategy	July 2012	Annual
	Ken Davies	Homelessness Strategy	September 2012	Annual
		Supported Housing Strategy	September 2012	Annual
Highlight corporate implications to ensure collective action	Ken Davies	New Housing Strategy	July 2012	Annual
	Ken Davies	Homelessness Strategy	Sept 2012	Annual
	Ken Davies	Supported Housing Strategy	Sept 2012	Annual
	Hazel Neasham	Tenancy Strategy	Sept 2012	Annual
		Welfare Reforms	August 2012	Annual
Form partnerships with other housing providers to increase flexibility of approach to housing supply	Hazel Neasham	Agreement on flexibility in use of housing		Annual
Factor implications into the 30 year housing business plan	Heather McQuade	Development of HRA 2013/14	Dec 2012	Annual



**Risk 6:** Increased homelessness

<b>Required Management Action/ Control</b>	<b>Responsibility for Action</b>	<b>Critical Success Factors and KPIs</b>	<b>Key Dates</b>	<b>Review Frequency</b>
Homelessness Strategy is produced	Ken Davies	Strategy is published	September 2012	Annual
A response to the Welfare Reforms is being developed	Hazel Neasham	Action plan	August 2012	Six months before introduction of new raft of Welfare Reforms
Work is on going with Private sector landlords to further open the private rented Market	David Burrell	Increase in landlords making property available	March 2013	Annual

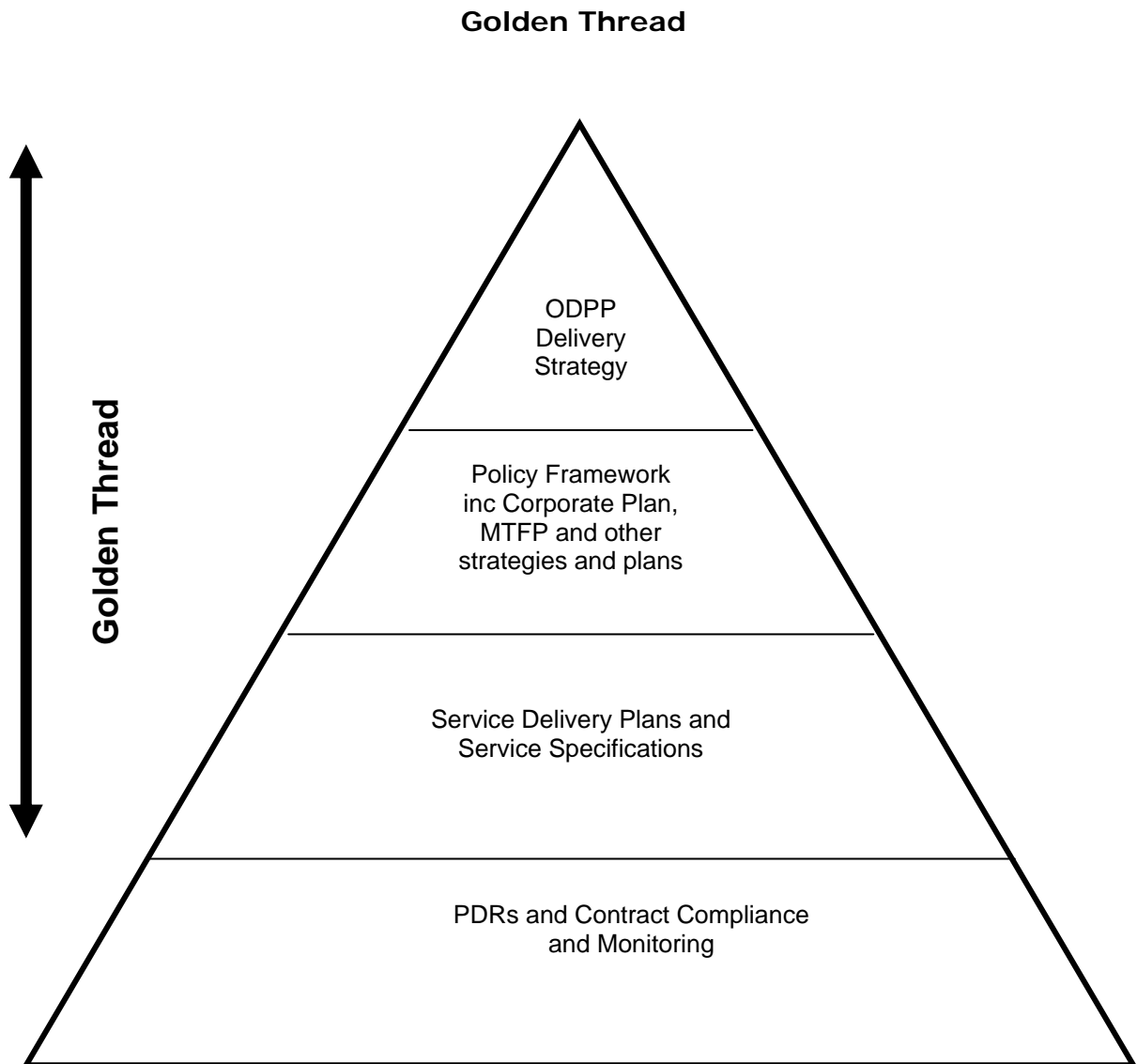


# **Policy & Regeneration**

## **Service Delivery Plan 2012 – 2015**

## Purpose of this Plan

This Service Delivery Plan sets out the activities that the Policy and Regeneration Division Service will deliver over the next three years to improve outcomes for our customers. The Service Delivery Plan forms part of the Council's 'golden thread' which ties together all of the key strategies, from the Area-wide Strategy and our two priorities **One Darlington: Perfectly Placed** down to individual staff PDRs and/or delivery of contracts. The diagram below illustrates the model.



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## Section 1 – Overview of the Service and Customers

### Overview

The Policy and Regeneration Division form part of the Services for Place Department of Darlington Borough Council.

### Who are our customers?

The Division interacts with a wide range of customers and stakeholders across its teams. Often the same bodies or groups may be customers, partners or stakeholders in relation to different projects and proposals, but for simplicity are listed only once in their predominant role.

Customers/Service Users	Partners	Other Stakeholders
<ul style="list-style-type: none"> <li>• Residents as users of services</li> <li>• Developers/agents</li> <li>• Development neighbours</li> <li>• People who are workless</li> <li>• People who want to up-skill and improve their employment prospects, including self employment</li> <li>• Employers wanting to up-skill their workforces</li> <li>• Businesses and investors in business</li> <li>• Town centre businesses</li> <li>• Town centre users</li> <li>• Transport users – bus and rail passengers, drivers, cyclists and pedestrians</li> <li>• Transport providers</li> <li>• Children living in households in receipt of key benefits</li> </ul>	<ul style="list-style-type: none"> <li>• Jobcentre Plus</li> <li>• Education/skills providers</li> <li>• Darlington College and Teesside University</li> <li>• eVOLution and other third sector bodies</li> <li>• DBC services – particularly Children’s Services, HR, Highways, Technical Services</li> <li>• 16-19 Trust</li> <li>• Tees Valley Unlimited and other Tees Valley local authorities</li> <li>• Funding bodies</li> <li>• Primary Care Trust</li> <li>• Employers and schools – travel planning</li> <li>• Private Sector Landlords</li> <li>• Distinct Darlington BID Board</li> <li>• Darlington Partnership</li> </ul>	<ul style="list-style-type: none"> <li>• The whole borough population</li> <li>• Members</li> <li>• Parish Councils</li> <li>• Government – particularly DWP, DCLG, DfT</li> <li>• Interest bodies and campaign groups – DAD, Cycling Campaign, HBF, English Heritage, FoE, etc</li> </ul>

## **Core Functions of the service?**

The overall service is made up of several sections or teams with the following core functions:

### **Strategy and Commissioning**

The Service is responsible for the commissioning and development of policies and strategies impacting on Darlington as a place that will deliver the priority outcomes for One Darlington: Perfectly Placed.

The Service as a whole is responsible for all policy analysis and strategy development impacting on place and includes:

- Economy - Local Economic Assessment; Economic Strategy and Investment Plan
- Planning and Land use - Local Development Framework (Core Strategy, Making Places, Accommodating Growth Development Plan)
- Transportation - Local Transport Plan, and Parking Strategy, and supported bus policy.
- Housing - Private Sector Housing Renewal Strategy, Empty Property Strategy, Private Rented Strategy and Tenancy Strategy
- Culture and Leisure - Darlington Arts Strategy, Open space Strategy
- Built and Natural Environment - integrated design of urban and natural environments, Green Infrastructure Strategy.

The Service is also responsible for the development of the Council's performance management and business planning processes that impact on Darlington as a Place.

### **Programmes and Projects**

Programmes and Projects are responsible for the implementation and delivery of programmes and projects across the Place and People Directorates and providing invaluable assistance and advice to the Third and Private sectors to deliver key strategic priorities identified by One Darlington: Perfectly Placed.

Broadly, Programmes and Projects will be responsible for the delivery of;

- The Local Transport Plan
- The Annual Housing Investment Programme (major regeneration improvements)
- The Homes and Communities Agency's National Affordable Homes Programme (NAHP)
- Climate Change Action Plan
- External European funded initiatives
- Tees Valley sub-regional programmes
- Cultural and Leisure projects
- Economic and regeneration programmes

## **Economic Regeneration**

The team provide a range of business support services to attract new businesses, encourage business start up, promote workforce development, help existing businesses to expand, and promote with partners, Darlington as a business location.

- Works with partner organisations in the Tees Valley to provide companies with a comprehensive range of support including the Falchion Fund 'soft loan' scheme, business advice, training and information to help them at every stage in their development;
- Delivers an Enterprise Coaching Service (in collaboration with Redcar & Cleveland Borough Council and funded through ERDF) and a Business Start-Up service (in conjunction with TEDCO and Jobcentre Plus);
- Delivers a Business Events and Seminars Programme with the aim of offering networking opportunities to local businesses and raising awareness of pertinent issues (e.g. finance; marketing; low carbon etc.);
- Maintains an online Darlington Business Directory and produces a monthly e-newsletter, 'Inter-Face' to raise awareness of business support initiatives and promote local businesses;
- Work in partnership with other Council departments, agencies and local authorities to develop and deliver skills and employability projects, including the Foundation for Jobs campaign and the Encouraging Engineering scheme;
- Delivers town centre initiatives in conjunction with partners, including the Distinct Darlington Business Improvement District (BID) Board and other key stakeholders to contribute to the economic vitality of town centre;
- Puts together a wide variety of publications - in printed and electronic format - to help businesses and individuals (e.g. the annual Business Information Guide and the Darlington Employment Handbook), and
- Maintains an image library of Darlington promotional imagery.

## **Regulatory Services (Priority Regulatory Outcomes)**

Regulatory Services work to national priorities set by the Local Better Regulation Office, under BIS. These are:

- Support economic growth, especially in small businesses, by ensuring a fair, responsible and competitive trading environment
- Protect the environment for future generations including tackling the threats and impacts of climate change
- Improve quality of life and wellbeing by ensuring clean and safe neighbourhoods
- Help people to live healthier lives by preventing ill health and harm and promoting public health
- Ensure a safe, healthy and sustainable food chain for the benefits of consumers and the rural economy.

## **Building Control**

- Building Regulations 2010 – ensuring building work is carried out in accordance with legislative requirements ensuring the health and safety of people in and around buildings, energy efficiency and access for all to buildings,
- Public Entertainment Safety Advisory Group – provision of advice on aspects of public entertainment events,
- Building Control - Building Regulation administration and enforcement,
- Dangerous structures – dealing with reports of potentially dangerous structures to ensure public safety,
- Dealing with demolitions, and processing applications for scaffolding and hoarding licenses
- Partner Authority Scheme – liaison with partner companies and other local authorities to ensure compliance with Building Regulations 2010
- Council Premises – inspections under Workplace Safety legislation and Disability Discrimination Act
- Darlington Football Club Safety Advisory Group – administering the safety of Sports Grounds Act 1975, carrying out inspections to ensure public safety at the football ground

## **Car Parks**

- The parking enforcement team are responsible for the regulation of parking lines and signs (including double yellow lines, loading bays, restricted parking areas etc), Council car parks; on street parking, contract parking and resident parking schemes.
- The processing and appeals team are responsible for processing all parking charge notices payments (PCNs) and dealing with appeals against the issue of PCNs

## **Development**

- The Development Management team is responsible for ensuring that new building works and changes of land use are of a high standard and respect their surroundings. Development Management involves the consideration of planning applications, the monitoring of development as it takes place, enforcement action where unacceptable breaches of control have occurred, and the provision of information and advice about general planning matters and individual proposals. Developers are encouraged to discuss their proposals with the development management team before making a planning application.

## **Environmental Health**

The section is responsible for enforcement of a wide range of environmental health legislation including:

- Air Pollution - Air Pollution - monitoring and analysis of air quality in the area, smoke control areas, radiation and asbestos. Inspection of authorised processes. Investigation of complaints such as open burning, odour nuisance etc.



- Contaminated Land - Implementation of the Council's Strategy, investigation of all sites, maintenance of historical land use register, provision of advice on developments, investigation of complaints and monitoring of closed landfill sites.
- Drinking Water – monitoring standards of mains supply, private water supplies and bottled waters
- Environmental Advice - Provision of advice to the public, on Planning applications, and respond to consultations from the Environment Agency. Provision of environmental information
- Food Safety - Inspection of all food premises for compliance with food hygiene and food standards requirements. Investigation of complaints about food and food premises and providing advice to food businesses. Conducting food sampling surveys and responding to food alerts issued by the Food Standards agency.
- Gypsy and Traveller Liaison - dealing with unauthorised encampments.
- Health & Safety at Work - Inspection of commercial premises for compliance with workplace safety. Investigation of accidents, complaints about workplace conditions and providing information and advice to business. We work in partnership with the HSE, who are the enforcing authority for industrial workplaces in the area.
- Noise - Investigation of complaints, provision of advice and monitoring.
- Modifiable Diseases – investigate cases of suspect or confirmed food poisoning.
- Pest Control - Pest Control - Investigation of complaints, treatment and enforcement action. (free treatment for rats and mice in residential accommodation)
- Public Health/Nuisance - Investigation of complaints regarding rubbish or blocked drainage associated with business premises, filthy and verminous premises, contaminated watercourses and other public nuisances.
- Smoke-free premises and Smoke-free Vehicles Legislation - investigation of complaints, advice and enforcement.

### **Private Sector Housing**

The Private Sector Housing Team is responsible for a wide range of activities in all housing tenures including:

- Regulating housing conditions across all housing tenures.
- Empty property regulation
- Reduction of empty properties
- Statutory nuisance in all housing tenures
- Blocked and damaged drains and sewers
- HMO regulation and licensing
- Landlord accreditation
- Landlord forums and training
- Developing the Empty Property and Private Rented Housing Strategy
- Supporting Housing Projects

## **Licensing**

The licensing team are responsible for

- Licensing Act 2003 - licensing of premises for sale/supply of alcohol, provision of regulated entertainment and late night refreshment. Also issue of Personal Licences and Temporary Event Notices (TENs)
- Gambling Act 2005 - licensing of premises for gambling (betting shops, bingo halls, amusement arcades, tracks). Also Gaming Machines in alcohol licensed premises, small lotteries, Temporary Use Notices (TUNs) and Occasional Use Notices (OUNs).
- Taxis - licensing of hackney carriages and private hire vehicles and drivers and also Private Hire Operators.
- General licensing - street trading consents, pavement cafes, sex shops, petroleum stores, motor salvage, caravan sites, pet shops, riding schools, animal boarding, dog breeding, skin piercing, charitable collections (street collections and house to house collections).

## **Trading Standards**

The team are responsible for:

- Consumer Safety - ensuring products supplied to consumers are safe.
- Metrology - checking weighing and measuring equipment for accuracy/misuse
- Fair Trading - investigation of unfair trading practices
- Consumer Credit - licensing, advertising agreements
- Food Safety - composition and labelling.
- Animal Health/ Welfare - control of farm animal diseases and protecting welfare during transport and sale. Rabies Plan. Licensing of animal movements
- Trade Descriptions - description of products or services
- Poisons and explosives (fireworks etc)

## **Civil Contingencies**

Under the "Civil Contingencies Act 2004" Darlington Borough Council is a Category 1 responder and has a duty to prepare for, and respond to, emergency situations which impact upon the local community and its visitors. The Council fulfils its duties by:

- Participating in risk assessment activities;
- Preparing and maintaining Emergency Plans,
- Designating officers to assume key roles during incident response and training them for their role;
- Exercising its own plans and taking part in the exercises of other partner organisations such as the emergency services;

- Responding to emergency situations in Darlington by assisting the emergency services and other partners;
- Actively participating in warning and informing activities;
- Taking responsibility for leading the recovery phase of an emergency situation (i.e. once the life-threatening phase is over);
- Ensuring sound in-house business continuity arrangements are in place;
- Promoting business continuity management to local businesses and the voluntary sector
- Being an active member of the County Durham and Darlington Local Resilience Forum (LRF), sharing information and co-operating with other member organisations.

## Section 2 – Measuring Outcomes

The following performance measures are used to tell if our customers are better off and whether we are delivering services well.

The suite of indicators is split into three tiers:

- 1) **Key performance measures** of customer outcomes (used in high level performance clinics and reviews with Directors, Chief Executive and Members);
- 2) **Additional performance measures** (performance measures in addition to the above which will be monitored at Assistant Director level and with management teams);
- 3) **Management Information** (collected for data returns and review by Heads of Service).

<b>Key Performance Measures of Customer Outcomes</b>	
<b>PI ref</b>	<b>Details</b>
NI 151	Overall employment rate
NI 152	Working age people on out of work benefits
NI 166	Average earnings of employees in the area
NI 165	Working age population qualified to at least Level 4 or higher
NI 116	Proportion of children in poverty
LI 0004	Average unemployment rate of 5 wards with highest rates compared to Average 5 wards lowest
NI 154	Net additional homes provided
NI 155	Number of affordable homes delivered (gross)
NI 178b	Bus services running on time - frequent services excess waiting time (minutes)
LI 3607	Actual income as percentage of budgeted income - car parks
LI 0200	Town Centre footfall - weekly average count of pedestrians on High Row and Northgate

<b>Additional Performance Measures</b>	
<b>PI ref</b>	<b>Details</b>
LI 0101	Percentage of applicants and those commenting on planning applications satisfied with service received
LI 3609a	Percentage of due high risk inspections completed
LI 3609b	Percentage of due medium risk inspections completed
LI 3612	Percentage of requests responded to in 1 working day - Environmental Health
LI 3613	Percentage of requests responded to in 1 working day – Licensing
LI 3614	Percentage of requests responded to in 1 working day – Pest Control

<b>Additional Performance Measures</b>	
LI 3615	Percentage of requests responded to in 1 working day - Trading Standards
NI 185	CO <sub>2</sub> reduction from Local Authority operations
NI 186	Percentage reduction Per capita CO <sub>2</sub> emissions in the Local Authority area
LI 3602	Building Control - percentage of full plans checked and response given within 21 days
LI 3604	Building Control service users rating the service as good or excellent
NI 163	Working age population qualified to at least Level 2 or higher
NI 164	Working age population qualified to at least Level 3 or higher
NI 178a	Bus services running on time - non frequent scheduled services on time

<b>Management Information</b>	
<b>PI ref</b>	<b>Details</b>
LI 0104	Percentage of pension recipients claiming pension credits
LI 3611	% excess notices successfully appealed against ECNs issued Car Parks
NI 157a	Processing of planning applications as measured against targets for 'major' applications in 13 weeks
NI 157b	Processing of planning applications as measured against targets for 'minor' and 'other' applications in 8 weeks
NI 157c	Processing of planning applications as measured against targets for 'other' applications in 8 weeks
LI 0001	Percentage of new homes built on previously developed land
LI 2204	Increase number of heat efficient homes in private sector
LI 2210	Number of LA enforcement interventions to reduce the risk to health and safety of vulnerable households living in the private sector
LI 2212	Number of new homes for rent
NI 159	Supply of ready to develop housing sites
NI 189	Flood and Coastal erosion Risk Management
LI 0300	Percentage of trips by Darlington residents made by walking
LI 0301	Percentage of trips by Darlington residents made by cycle
LI 0302	Percentage of trips by Darlington residents made by car
LI 0305	Cycle flows - (mandatory LTP PI)
LI 0306	Area wide traffic flows - (mandatory LTP PI)

### **Section 3 – Current Performance**

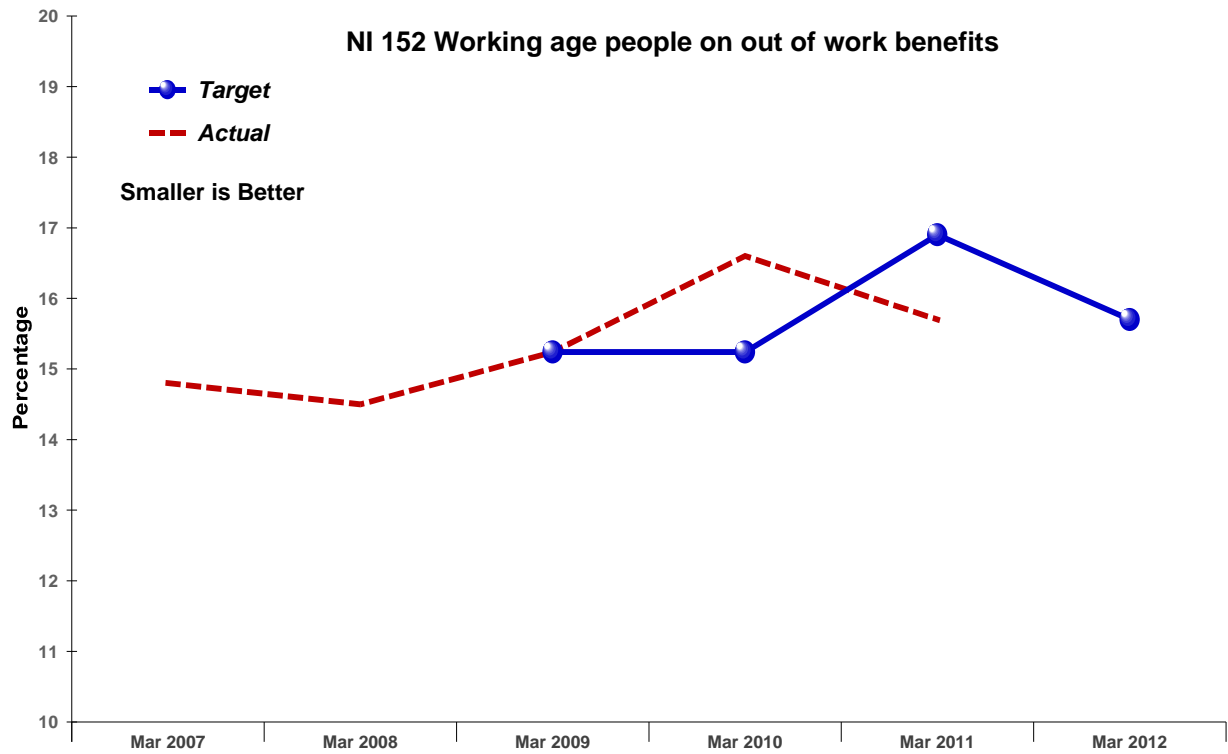
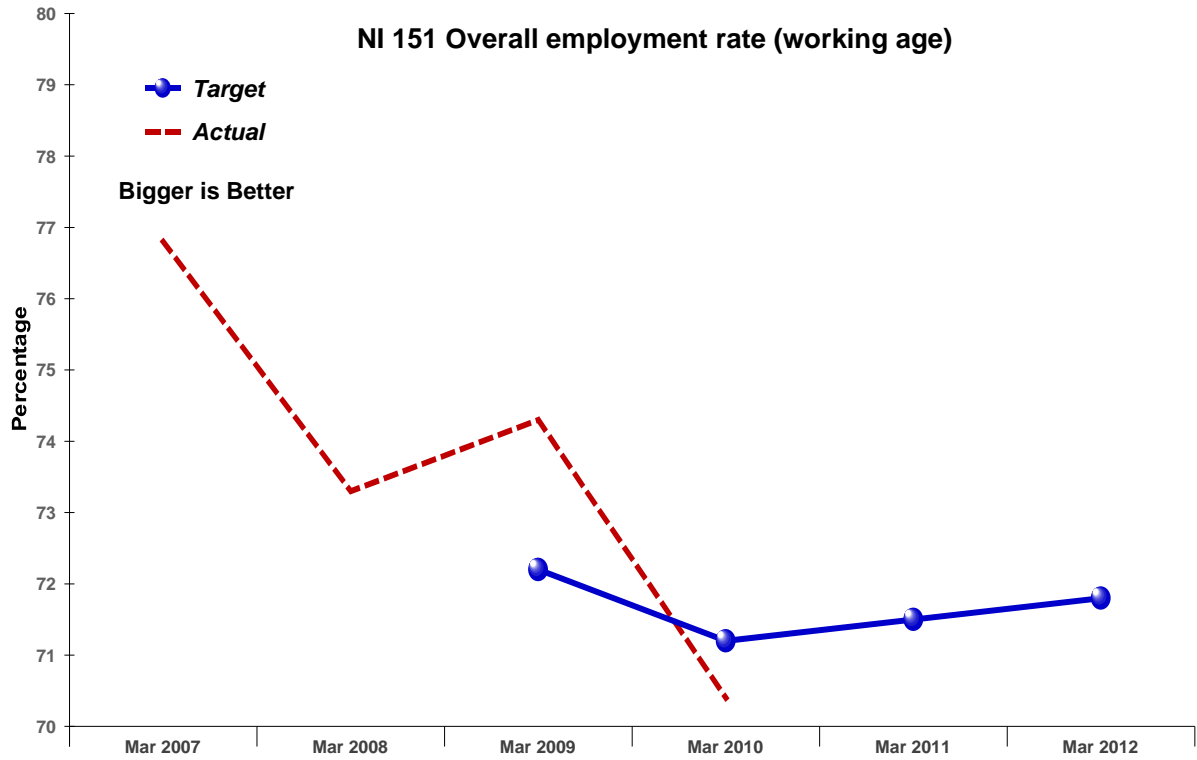
Following the Government's changes to the collection of data across the public sector and service areas robust analysis and comparison of trend data is difficult. There are some proxy measures which give a 'best fit' comparison allowing for the national changes. The determination of locally obtained survey information following the cessation of the Place Survey and Darlington's decision not to participate in the North East Perception Survey in 2012, will result in developing our own suite of questions to gather the views of the population across a range of key service areas. These results will feed into the analysis of performance to improve services.

From 2013 comparison and analysis of trends will be contained in this section of the service plan.

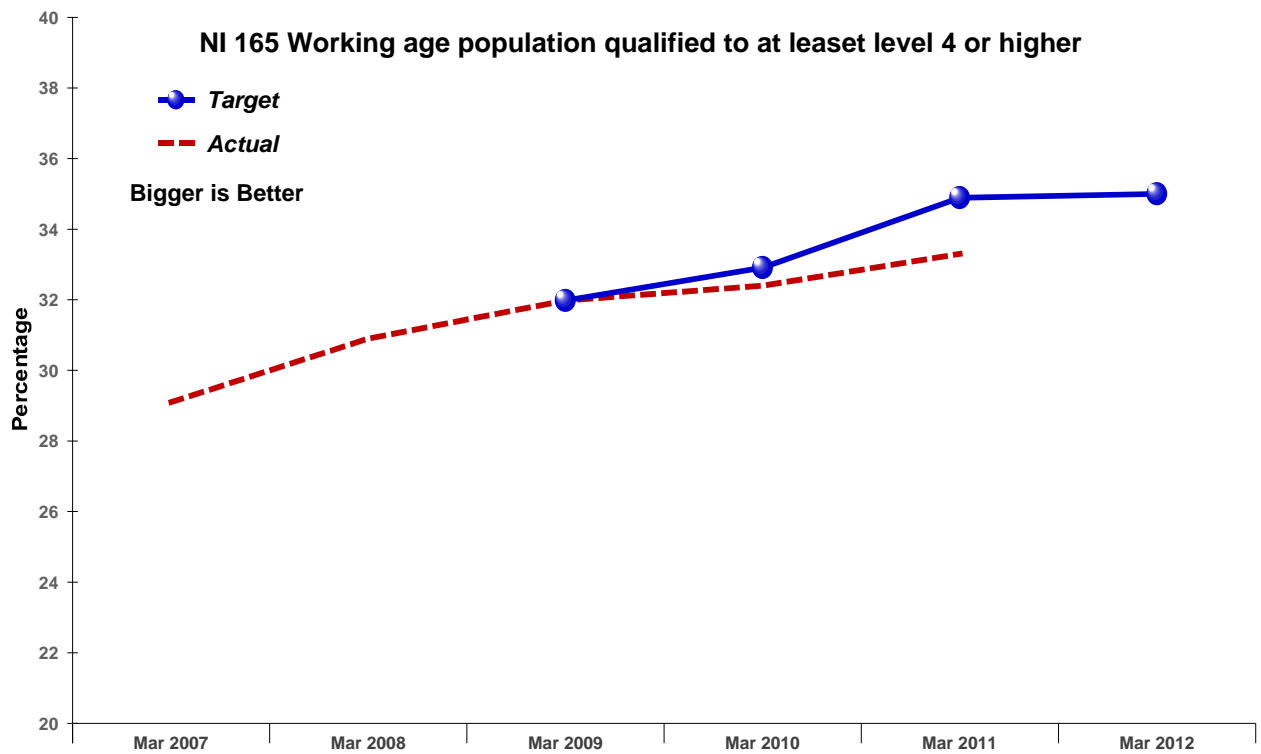
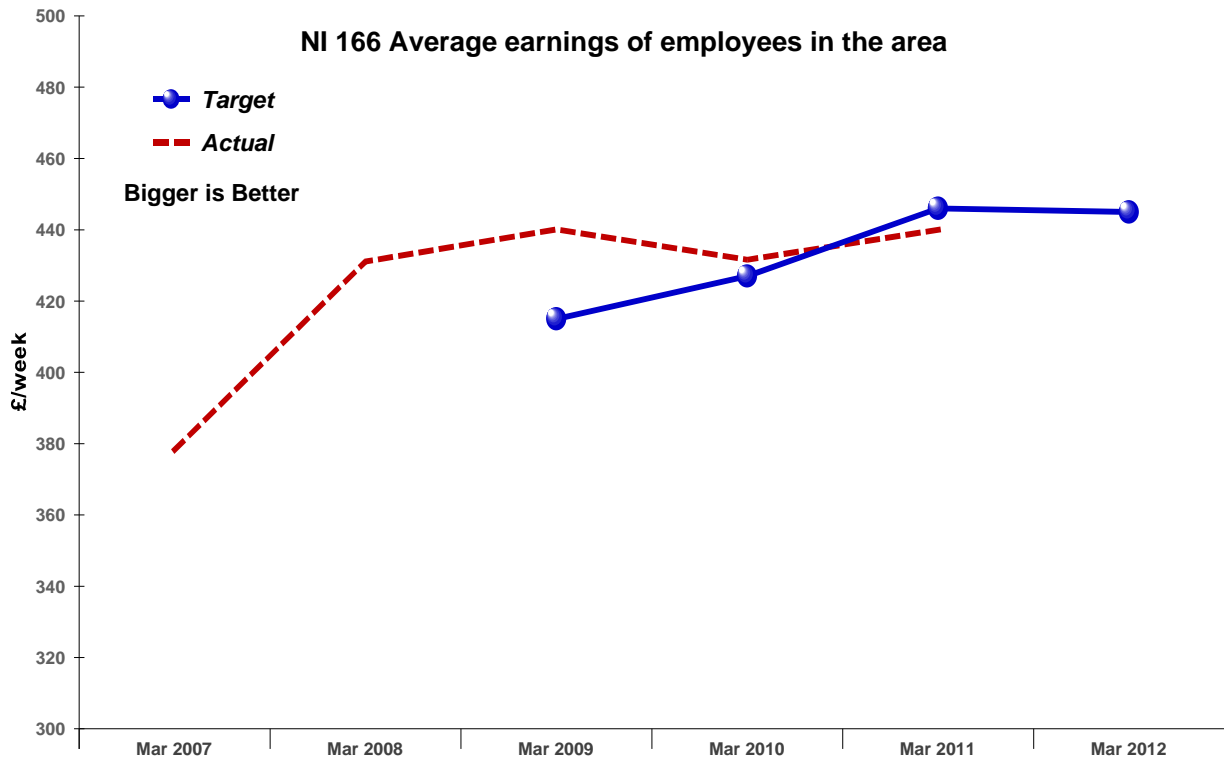
The following table shows the trend information which is currently available for the key performance measures identified through OBA workshops and agreed by the Senior Leadership Teams.

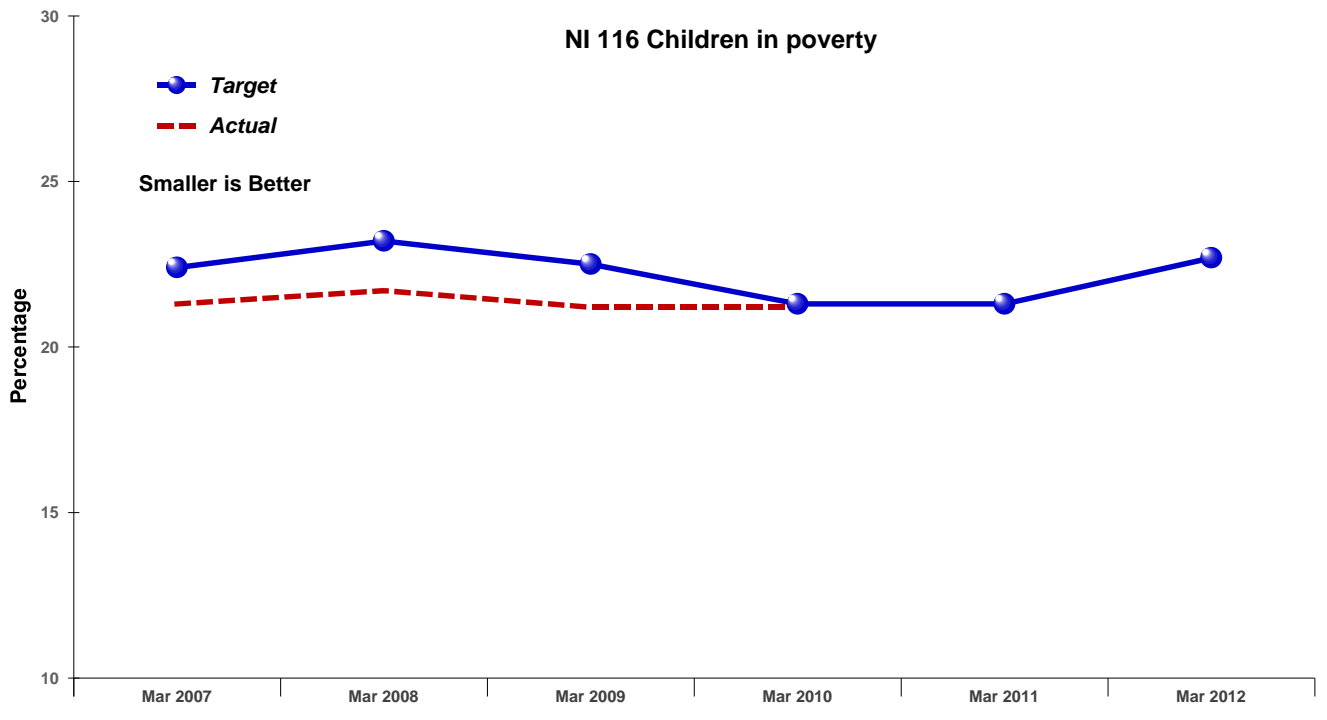
Baselines and analysis on the above key measures

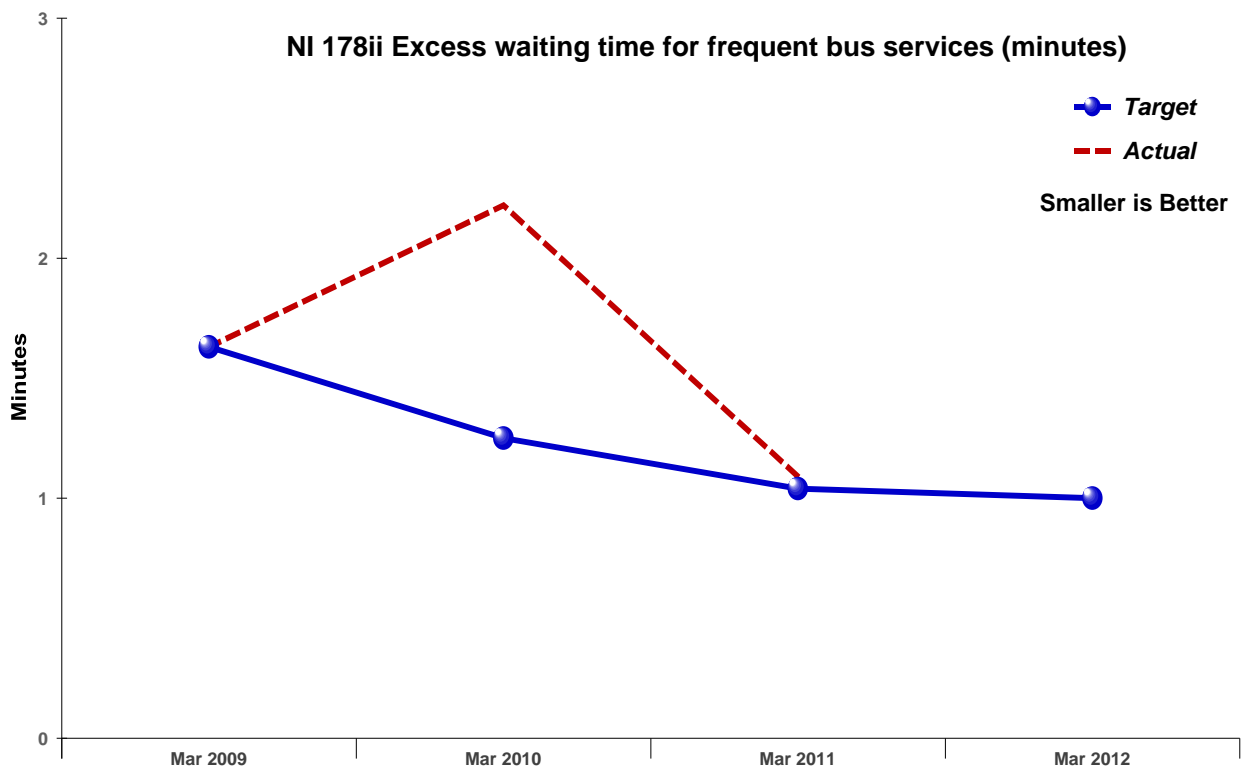
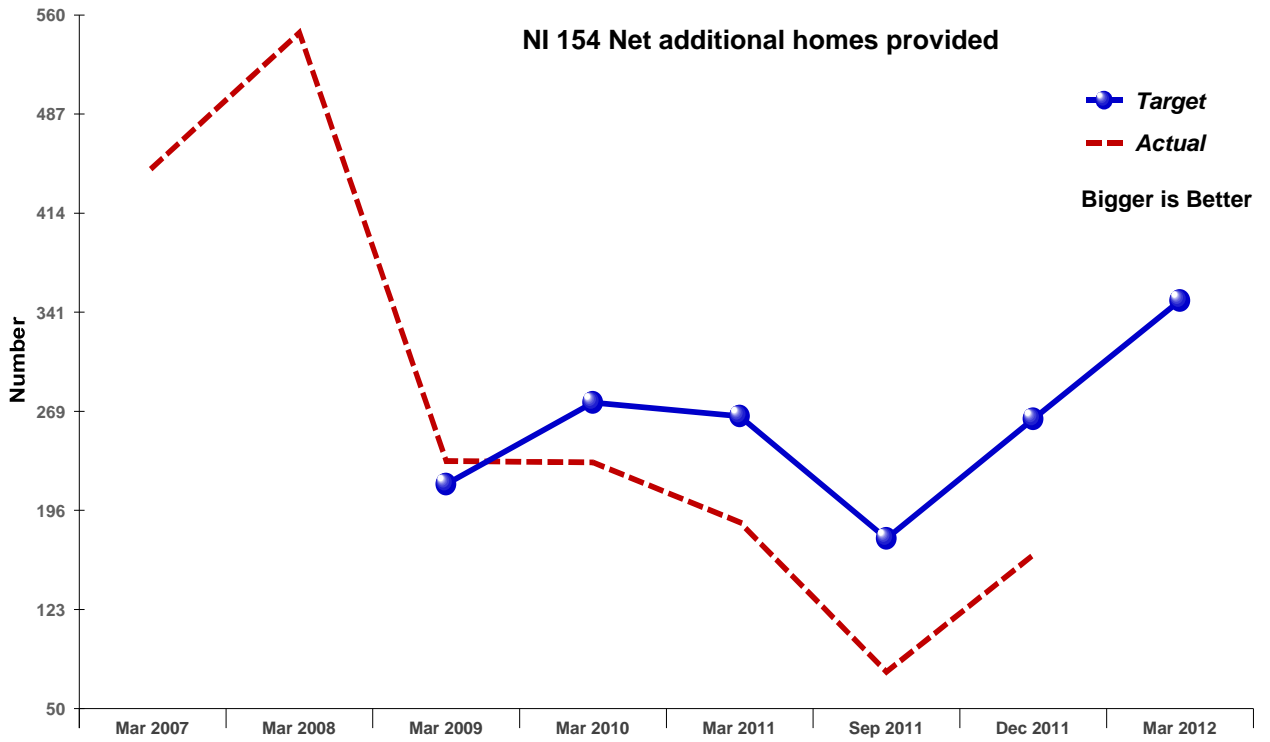
Key Performance Indicator	Baseline	Current Performance	Current Trend	Turning the Curve Goal
NI 151 - Overall employment rate	76.80% (2006/07)	71.50% (2010/11)	Declining	Increase
NI 152 - Working age people on out of work benefits	14.80% (2006/07)	15.90% (2010/11)	Declining	Reduce
NI 166 - Average earnings of employees in the area	£378.30 (2006/07)	£440 (2010/11)	Improving	Increase
NI 165 - Working age population qualified to at least Level 4 or higher	29.10% (2006/07)	33.30% (2010/11)	Improving	Increase
NI 116 - Proportion of children in poverty	21.30% (2006/07)	21.20% (2009/10)	Improving	Reduce
LI 0004 - Average unemployment rate of 5 wards with highest rates compared to Average 5 wards lowest	5.04% (2005/06)	6.80% (2010/11)	Declining	Reduce
NI 154 - Net additional homes provided	448 (2006/07)	187 (2010/11)	Declining	Increase
NI 155 - Number of affordable homes delivered (gross)	70 (2006/07)	60 (2010/11)	Declining	Increase
NI 178b - Bus services running on time - frequent services excess waiting time (minutes)	1.63 mins (2008/09)	1.09 mins (2010/11)	Improving	Reduce
LI 3607 - Actual income as percentage of budgeted income - car parks	88% (2008/09)	100.09% (2010/11)	Improving	Increase
LI 0200 - Town Centre footfall - weekly average count of pedestrians on High Row and Northgate	87,331 (2008/09)	89,271.20 (2011/12)	Improving	Increase

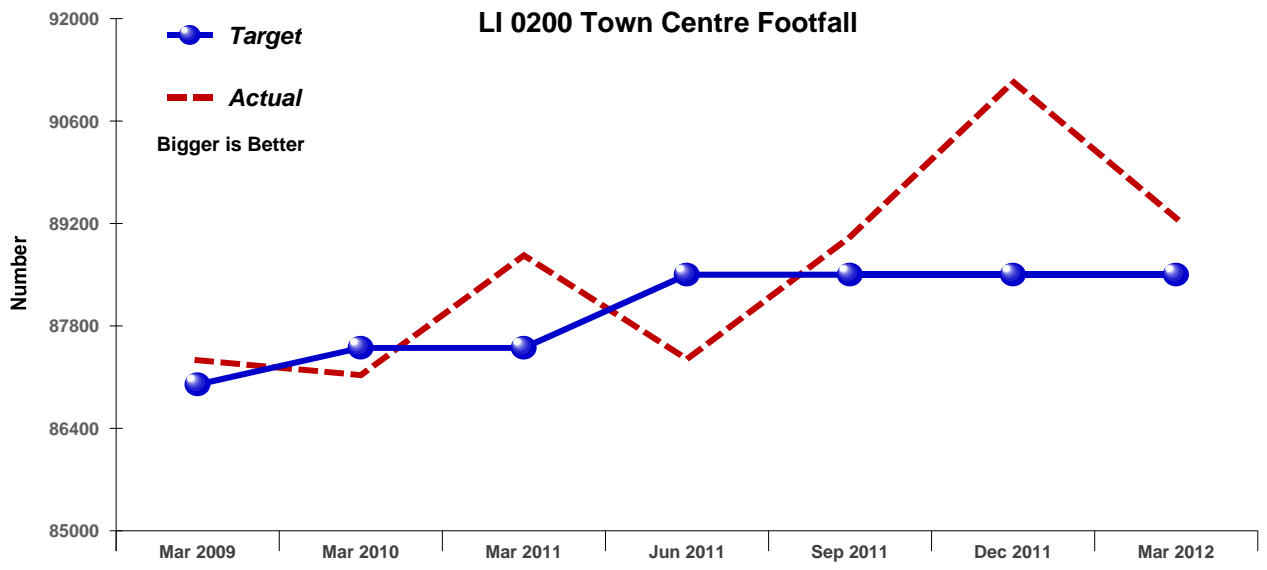












## **Section 4 – Action Planning**

### **Overarching Priorities and Action Plans**

1. Roles, functions and expectations
2. Partnership working
3. Effective ICT systems
4. Commissioning functions

### **Operational Priorities and Action Plans:**

#### **Strategy and Commissioning**

5. Local Plan Preparation: a) National Planning Policy Framework, b) Making Places Accommodating Growth, c) Planning Obligations/ Community Infrastructure Levy
6. Town Centre Fringe (Masterplan to Implementation)
7. Strategy Development: a) Economic, b) Housing, c) Car Parking
8. Commissioning Planning: a) Leisure, b) Street Scene

#### **Programmes and Projects**

9. Major Projects and Capital Schemes
10. Employment Sites Programme Development
11. Local Sustainable Transport Fund
12. Tees Valley Bus Network Improvements
13. Carbon Management Plan

#### **Economic Regeneration**

14. Business Improvement District (BID)
15. Business Engagement Strategy
16. Business Start Up Service
17. Unemployment/ Labour Market Needs

#### **Regulatory Services**

18. Dealing with Empty Homes
19. Development Control
20. Flood and Water Management Act Responsibilities
21. Closed Circuit Television Function
22. Business Continuity Planning
23. Build Capacity To Respond To Emergencies
24. Trading Standards Service
25. Environmental Health Service

**Action Plan 1:**

<b>PRIORITY: PR1</b>	<b>Roles, functions and expectations</b>
<b>Key Performance Measures:</b>	-----
<b>Link to Risk (if applicable):</b>	1

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Update Intranet details to clarify 'who does what'	Team Leaders [Co-ordinated by Alan Glew]	Ensure all teams have up to date content (and programmed refresh)	By end of June 2012	Within existing resources
Clarify roles of other teams and what they can do for us - Insight Team - Darlington Together - (other?)	Heads of Service [Co-ordinated by Steve Petch]	Programme Developed  Two to four briefing sessions held/ facilitated	By end of June 2012  By end of March 2013	Within existing resources
Ensure clear feedback from COB/ COE particularly on actions/ decisions	John Anderson	Regular (weekly) debrief	Introduced June 2012	Within existing resources
Clarify protocol of what goes to COB or COE or both	John Anderson	Protocol agreed with Richard Alty/ Corporate Group	By end of July 2012	
Understand who does what in teams and avoid duplication of tasks	Heads of Service [Co-ordinated by Nik Grewer]	Bespoke sessions with two or more teams on agreed themes i.e. split between transport commissioning and projects, or economic regeneration and projects. Possible use of structure charts and staff photos for simple handout	Facilitated discussions: July 2012 Sept 2012 Nov 2012 Feb 2013	Within existing resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Avoid double handling of tasks by Policy and Implementation teams	Heads of Service [Co-ordinated by Bill Westland]	Bespoke session(s) between Development Control and Planning Policy [and others if appropriate]	Facilitated discussions: July 2012 Sept 2012	Within existing resources
Understand existing skills, capabilities and interest of staff and identify gaps  Set realistic expectations of staff	John Anderson [with Heads of Service]	Task and finish audit  Divisional Work Plan refreshed at least monthly with priorities agreed	By end of Sept 2012  Commencing June 2012	Within existing resources
Review and agree culture and expectation re Members requests, and their commitment to training	John Anderson [with Heads of Service]	AD to act as gatekeeper to allocate and monitor requests/ involvement  Staff empowered to negotiate reasonable response times	Commencing June 2012	Within existing resources

**Action Plan 2:**

<b>PRIORITY: PR2</b>	<b>Partnership working</b>
<b>Key Performance Measures:</b>	----
<b>Link to Risk (if applicable):</b>	2

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
<p>Ensure better understanding of LSP role and contribution teams can make to achieving outcomes:</p> <ul style="list-style-type: none"> <li>- Ensure feedback from Public Sector Planning Group</li> <li>- Embed LSP outcomes into work of the Division</li> <li>- Contribute to Area Wide Delivery Plan</li> </ul>	John Anderson/ Steve Petch	<p>Regular debrief</p> <p>Reflected in Corporate &amp; Service Plan</p> <p>Represent views of Place Services (drawing on input of colleagues as appropriate)</p>	<p>Commencing June 2012</p> <p>June 2012</p> <p>By end of Nov 2012</p>	<p>Within existing resources</p> <p>Within existing resources</p> <p>Within existing resources</p>
<p>Need to contribute to and influence work on LSP priorities:</p> <p>Establish themed meetings/ discussions with partners around LSP priorities</p>	Steve Petch	Two or more round table discussions to be convened (to rebuild networks, share knowledge and understanding)	By end of March 2013	Within existing resources



**Action Plan 3:**

<b>PRIORITY: PR3</b>	<b>Effective ICT systems</b>
<b>Key Performance Measures:</b>	----
<b>Link to Risk (if applicable):</b>	4

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Quick stock take of real and perceived problems with operational teams	Bill Westland	Focus group type discussions with teams	By end of July 2012	Within existing resources  [Potential project management support from Strategy and Performance Team]
Develop a small task and finish project team: - Disseminate best practice on self help/ quick fix maintenance tips [short term] - Work up investment requirements/ options – a business case for [medium term] improvements -	Bill Westland	Quad of Aims  Practical advice developed/ implemented  Realistic recommendation(s) worked up	By end of July 2012 By end of Sept 2012  By end of Nov 2012	
Present options and business case to SLT	John Anderson/ Bill Westland	Workable proposal agreed/ adopted for implementation	By end of February 2013	

**Action Plan 4:**

<b>PRIORITY: PR4</b>	<b>Commissioning Functions</b>
<b>Key Performance Measures:</b>	-----
<b>Link to Risk (if applicable):</b>	1 & 2

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Commissioning Review 2012	John Bosson/ Steve Petch	Paper to SLT and agreed next steps	May 2012	Within existing resources
Appraisal as to likely future workload (fresh commissions for Leisure and Street Scene etc.)	Steve Petch	Review with Heads of Service and SLT	By end of July 2012	Within existing resources
Assessment as to capacity/ skills and training needs of staff	Steve Petch	Review with Heads of Service and SLT	By end of July 2012	Within existing resources
Regular liaison with People Services and Corporate Services to ensure consistency	Steve Petch/ John Bosson	Programme of meetings during 2012/13	Commencing June 2013	Within existing resources

**Action Plan 5:**

<b>PRIORITY: SC1</b>	<b>Local Plan Preparation: a) National Planning Policy Framework, b) Making Places Accommodating Growth, c) Planning Obligations/ Community Infrastructure Levy (CIL)</b>
<b>Key Performance Measures:</b>	NI 151, NI 166, NI 154, NI 155, LI 0200
<b>Link to Risk (if applicable):</b>	1

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
<b>a) National Planning Policy Framework (NPPF)</b> Assess Core Strategy and Saved Policies against NPPF to understand weight accorded to Local Plan	Valerie Adams	Internal briefing / workshop  May 2012	May 2012	Existing resources
Discuss and agree approach to implementing policy with Development Management and Urban Design	Valerie Adams/ Roy Merrett/ Tim Crawshaw	June 2012	June 2012	Existing resources
Roll out new approach with Development Management and Urban Design	VA/ RM /TC	July 2012	July 2012	Existing resources
Members Training (Planning Committee)	VA/ RM /TC	July 2012	July 2012	Existing resources
Review approach	VA/ RM /TC	October 2012	October 2012	Existing resources
Review Local Development Scheme	VA	Cabinet/Council September 2012	September 2012	Existing Resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
<b>b) Making Places Accommodating Growth</b> Update 5 year housing supply evidence	Valerie Adams/ DA	June 2012	June 2012	Existing Resources
Complete evidence base and analysis of issues	Policy Team	TBC in LDS	TBC in LDS	Existing Resources
Generate options	Policy Team	TBC in LDS	TBC in LDS	Existing Resources
Consult on comprehensive Draft Local Plan	Policy Team	Spring 2013	Spring 2013	Existing Resources
<b>c) Planning Obligations / CIL</b> Agree Draft for consultation at cabinet	Karen Johnson	June 2012	June 2012	Existing Resources
Members Briefing / Place Scrutiny	Karen Johnson	June 2012	June 2012	Existing Resources
Consultation with key stakeholders	Karen Johnson	June – July/August 2012	August 2012	Existing Resources
Analyse responses and finalise SPD for adoption	Karen Johnson	Sept / Oct 2012 Cabinet and Council	October 2012	Existing Resources
Issue Adoption Notice	Karen Johnson	October 2012	October 2012	Existing Resources

**Action Plan 6:**

<b>PRIORITY: SC2</b>	<b>Town Centre Fringe (Masterplan to Implementation)</b>
<b>Key Performance Measures:</b>	NI 151, LI 3607, LI 0200
<b>Link to Risk (if applicable):</b>	1

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Consultation on Masterplan	Tim Crawshaw	May to June 2012	June 2012	Existing Resources
Analyse consultation responses and report to Place Scrutiny	Tim Crawshaw	July 2012	July 2012	Existing Resources
Redraft Masterplan and report to Cabinet	Tim Crawshaw	September 2012	Sept 2012	Existing Resources
Cabinet approval to adopt	Tim Crawshaw	October 2012	Oct 2012	Existing Resources
Identify and agree for delivery 3 Key projects	Tim Crawshaw	March 2013	March 2013	Existing Resources
Ensure links to related strategic projects e.g. Project Vane, Feethams	Tim Crawshaw	Ongoing		Existing Resources

**Action Plan 7:**

<b>PRIORITY: SC3</b>	<b>Strategy Development</b>
<b>Key Performance Measures:</b>	NI 116, NI 151, NI 152, NI 165, NI 166, LI 1004, NI 154, NI 155, LI 3607
<b>Link to Risk (if applicable):</b>	1

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
<b>a) <u>Economic Strategy</u></b> Consultation on Draft Strategy	Sue White	June – July 2012	July 2012	Existing Resources
Draft agreed by Economic Strategy Board/Partnership Board	Sue White	June – July 2012	July 2012	Existing Resources
Cabinet recommend strategy adoption	Sue White	September 2012	September 2012	Existing Resources
Economic Strategy Event	Sue White	October 2012	October 2012	Existing Resources
Implement Action Plan	Sue White	Ongoing from October 2012	Ongoing	Existing Resources
Development of supporting strategies	Sue White	Ongoing from October 2012	Ongoing	Existing resources
<b>b) <u>Housing Strategy</u></b> Consultation on Draft Strategy	Bryan Huntley	April – May 2012	May 2012	Existing Resources
Amended Draft agreed by Steering Group	Bryan Huntley	May 2012	May 2012	Existing Resources
Cabinet recommend Strategy adoption	Bryan Huntley	July 2012	July 2012	Existing Resources
Strategy adopted by Council	Bryan Huntley	July 2012	July 2012	Existing Resources
Implement Action Plan	----	Ongoing from July	Ongoing	Existing Resources

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
<b>c) <u>Car Parking Strategy</u></b> Baseline review and user consultation	Greg McDougall	April - May 2012	17 May2012	Existing Resources
Projection of travel and parking demand	Greg McDougall	April - May 2012	May 2012	Existing Resources
Formulation of delivery strategy	Greg McDougall	May 2012	May 2012	Existing Resources
Costing of options	Greg McDougall	May 2012	May 2012	Existing Resources
Risk Assessment	Greg McDougall	June 2012	June 2012	Existing Resources
Final Report	Greg McDougall	July 2012	July 2012	Existing Resources

**Action Plan 8:**

<b>PRIORITY: SC8</b>	<b>Commissioning Plans</b>
<b>Key Performance Measures:</b>	----
<b>Link to Risk (if applicable):</b>	1

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
<b>a) <u>Leisure Commissioning Plan</u></b> Quad of Aims agreed by Transformation Board	TBC	June 2012	June 2012	Existing Resources
Detailed project to be worked up	TBC	Refer to project plan		Existing Resources
<b>b) <u>Environmental Management Commissioning plan</u></b> Quad of Aims agreed by Transformation Board	TBC	June 2012	June 2012	Existing Resources
Detailed project to be worked up	TBC	Refer to project plan		Existing Resources



## Action Plan 9

<b>PRIORITY : PP1</b>		<b>Major Projects and Capital Schemes</b>		
<b>Key Performance Measures:</b>		NI 151, NI 154, NI 155		
<b>Link to Risk (if applicable):</b>		1 & 3		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Central Park – Master Planning	Alan Glew	New masterplan by spring 2012	Spring 2012	
		Obtain new planning permissions required due to revised timetables	July 2012	
Town Centre Fringe – Economic Appraisal/Phase 1 development	John Simpson / Glen Hart	Spatial cost benefit analysis	May 2012	
Bank Top Station Improvements	John Simpson	Network Rail to produce a Communication Strategy	April 2012	
		Establish Stakeholder Group	May 2012	
Blackwell Meadows	Jill Thwaite	Appraise against other possible development sites e.g. Eastbourne sports complex	October 2012	
Dinsdale Station – upgrade	Sue Dobson	Contractor appointment process	June 2012	METRO funding
		Landscaping on Bridge deck to be agreed	September 2012	
		Contractor on site	October 2012	
Cattle Mart	John Simpson	Possible RGF bid submission	June 2012	
		Develop Project Plan	May 2012	

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
North Road Station improvements	Sue Dobson	Produce Options and business case needs	October 2012	
Cockerton Regeneration	Alan Glew	Formal agreement of Licence Agreement, Development Agreement, Financial Model and detail of Plan	July 2012	
		Submit Cabinet report seeking approval for the Development Agreement and Business Case with ESH Group	September 2012	
		Deliver 60 new affordable homes	March 2015	

## Action Plan 10

<b>PRIORITY : PP2</b>		<b>Employment Sites Programme Development</b>		
<b>Key Performance Measures:</b>		NI 151, NI 166		
<b>Link to Risk (if applicable):</b>		5 & 1		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Employment Sites Programme Development	Jill Thwaite/ Vacant Post	Site by site review	October 2012	Within existing resources
		Identify specific infrastructure requirements	November 2012	Within existing resources
		Outline feasibility and costings. Site by site appraisal	February 2013	Within existing resources
		Review land and property portfolio in line with emerging Economic Strategy	March 2013	Within existing resources
		Liaison with Shak Asghar from Economic Regeneration Team around online Vacant Sites and Premises Register	Ongoing	Within existing resources
	Sue White/ Valerie Adams/ (Lucy Mo)	Joint commission consultants to carry out a refresh of the 2009 Employment Land Review and related work required for the Economic Strategy	----	Within existing resources

## Action Plan 11

<b>PRIORITY : PP3</b>		<b>Local Sustainable Transport Fund</b>		
<b>Key Performance Measures:</b>		NI 178a & b, LI 0300, LI 0301, LI 0302, LI0305, LI 0306		
<b>Link to Risk (if applicable):</b>		1,2 & 3		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
LSTF - Package 1- Year 2 -Inter-urban trips a) workplace	Sue Dobson/Nick Butler	Launch Workplace Travel Plan package	June 2012	LSTF
		SAFED training pilot	May 2012	
LSTF - Package 1- Year 2 -Inter-urban trips b) bus	Gill Hutchinson	Hybrid busses for service 1	March 2013	
		Next stop system on service 1	March 2013	
		Driver Training	March 2013	
LSTF - Package 1- Year 2 - Inter-urban trips c) rail	Bob Whitehouse	North Road Station Improvements – Develop into a set of possible options following opening of new road	October 2012	
		Provide Real Time displays as part of Network Rail LLPA project	June 2013	
LSTF - Package 1- Year 2 - Inter-urban trips d) cycling	Louise Neale	Complete North Road cycle route	July 2012	
LSTF - Package 2 - Year 2- Short trips a) schools	Nick Butler	Teaser campaign for Mega Motion	June 2012	
		Launch of Mega Motion	September 2012	
		Modeshift programme in schools - ongoing	Submission deadline 30 June 2012	

		Transition programme	29-31 May 2012	
		Walking/ cycling route to university	March 2013	
LSTF - Package 2 - Year 2 - Short trips b) community	Nick Butler/Louise Neale	Launch of Bike Stop	April – June 2012	
		Expansion of Cycle in Darlington with health cycling initiatives	Ongoing	
		Two community audits to take place in ITM area – pilot evaluation followed by tender process	March 2015	
LSTF - Package 2 - Year 2 - Short trips c) disabled	Gill Hutchinson	Consultation on Accessible taxi pilot and accessible community transport	May 2012	
		Award Funding	September 2012	
		Support implementation	March 2014	
LSTF - Package 2 - Year 2 - Short trips c) rural	Sue Dobson	Dinsdale Station improvements – develop activities in rural areas – schools, cycling, ITM CT	December 2012	
LSTF - Package 3 - Year 2 -Marketing & Information a) Communication	Anne Daly	Radio, newspaper, website and bus advertising campaigns plus merchandise	Ongoing until March 2015	
		Green Fair	May 2012	
		Mega Festival	24 June 2012	
LSTF - Package 3 - Year 2 - Marketing & Information b) ITM	Louise Neale	ITM programme in Darlington and South Durham	May – October 2012	

LSTF - Package 3 - Year 2 - Marketing & Information c) Information	Anne Daly/Nick Butler	Twitter, printed material and information hubs	Ongoing until March 2015	
LSTF - Package 4 - Year 2 - Monitoring	Louise Neale	<p>Communicate AECOM Travel Behaviour Research findings to officers, Councillors and public with ongoing monitoring</p> <p>Repeat AECOM Travel Behaviour Research</p>	<p>June 2012</p> <p>Oct 2014 – March 2015</p>	

## Action Plan 12

<b>PRIORITY : PP4</b>		<b>Tees Valley Bus Network Improvements</b>		
<b>Key Performance Measures:</b>		NI 178a & b, LI 0306		
<b>Link to Risk (if applicable):</b>		None		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
TVBNI – Capital Programme	Gill Hutchinson	Three core corridors to be completed	March 2013	
		Develop framework contract for bus shelters	March 2013	
		Send tender out for vandal proof shelter pilot	May 2012	
		Tees Valley-wide bus stop flag and static information designs to be agreed to complete routes	August 2012  January 2103	
TVBNI – Marketing and Information	Chris O’Keeffe	Complete Information Strategy and Marketing Strategy	April 2012	

### Action Plan 13

<b>PRIORITY : PP5</b>		<b>Carbon Management Plan</b>		
<b>Key Performance Measures:</b>		NI 185 & NI 186		
<b>Link to Risk (if applicable):</b>		6		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Carbon Management Plan	Paula Jamieson <i>[Due to leave June 2012]</i>	Transformation Board report to be finalised and circulated	May 2012	
		Produce a register of potential "spend to save" projects and develop business cases for each in liaison with named project leads	March 2013	



## Action Plan 14

<b>PRIORITY: ER1</b>		<b>Business Improvement District (BID)</b>		
<b>Key Performance Measures:</b>		Delivery of specific elements of the BID Business Plan, Footfall Targets [LI 10200], Continued reduction in vacancy rates of town centre units, Another 'YES' vote for the continuation of the BID in 2017		
<b>Link to Risk (if applicable):</b>		7		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
"Hand holding" and support to the BID Manager and/ or BID Company	Richard Baker/ Michelle van Vlijmen	BID Company established Future needs established Governance arrangements Reporting and monitoring	TBC	Richard Baker/ Michelle van Vlijmen
Specific projects/ events	Richard Baker/ Michelle van Vlijmen	Town Centre Retail Awards	N/A	DBC contribution of £5k for awards paid in advance DBC contribution of £2.4k for footfall equipment paid in advance
Set up / Advance funding to BID company from DBC ( <i>approx. 33% of first year's income</i> )	David Grieveson	Re-imburement to DBC after first bill run in July 2012	Advancement of Set up funds - July 2012  Re-imburement TBC	c. £100,000 (TBC)
Billing software and collection / enforcement	Business Rates Team	Software install First bill run Enforcement activities	Imminent July 2012 Ongoing	£22,500 (first year) (from BID resources) £2,500 annual fee (from BID resources)
Linkages to other DBC services / departments (inline with existing Baseline Agreements)	Relevant Service Managers e.g. Street Scene, Events, Licensing, Highways, CCTV, Economic Regeneration		Ongoing	

## Action Plan 15

<b>PRIORITY: ER2</b>		<b>Business Engagement Strategy</b>		
<b>Key Performance Measures:</b>		Revised Business Engagement Strategy implemented Number of Business Engagement meetings held		
<b>Link to Risk (if applicable):</b>		7		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Roles, structure and resources and anticipate what key tasks are	Nik Grewer	Business Engagement Strategy planning meeting	May 2012	Nik Grewer and others
		Economic Strategy finalised	Sept/Oct 2012	
Business Engagement Strategy revised in line with above	Nik Grewer	See above Key employers, intelligence Business Events & Seminars Programme Business Intelligence Updates SME engagement etc	June/ July	Nik Grewer
Identify funding for future delivery (e.g. High Street Innovation Fund)	John Simpson/ Nik Grewer	Funding Bids Award of money	Ongoing	Portion of Performance Reward Grant (PRG) monies allocated for implementation of the Economic Strategy

## Action Plan 16

<b>PRIORITY: ER3</b>		<b>Business Start Up Service</b>		
<b>Key Performance Measures:</b>		Number of individuals exploring self-employment engaged with Number of new business start-ups Number of new business start-ups surviving beyond their third anniversary		
<b>Link to Risk (if applicable):</b>		None		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Funding post March 2013. RGF/ PRG/ High Street Innovation Fund	John Simpson/ Nik Grewer	Determine whether 'do able' or exit strategy	September 2012	TEDCO TVU
Business case to argue need and value	John Simpson/ Nik Grewer	Determine whether 'do able' or exit strategy  Business survival rate over three years	September 2012	

## Action Plan 17

<b>PRIORITY: ER4</b>		<b>Unemployment / Labour Market Needs</b>		
<b>Key Performance Measures:</b>		Existing PIs around unemployment [NI 151, NI 152, NI 166, NI 165, LI 1004] Foundation for Jobs targets (and effectiveness)		
<b>Link to Risk (if applicable):</b>		5 & 7		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Foundation for Jobs – Two year campaign to 31 March 2015	Owen McAteer	Number of new apprentices Number of new interns School children engaged Review at 31 March 2014	31 March 2014 (initially)	£102k core budget £40k project budget (TOTAL for period 2012 – 2014)
Post Foundation for Jobs	Nik Grewer	Possible project run-on funding? Scope for potential Tees Valley-wide equivalent project?		Owen McAteer/ Seth Pearson
Future forecasting of employment needs for Darlington/ Tees Valley/ the wider NE region – three years plus				SEMTA activities (current) NECC TVU – sector work JCP – vacancy trends Paul Richardson Prosperous Darlington theme group
Communication of above (and gearing companies to respond)	Nik Grewer	Regular communications through Northern Echo and Inter-Face		
Continued LMI to schools sector	Nik Grewer			11-19 Partnership Curriculum Deputies Group

## Action Plan 18

<b>PRIORITY: RS1</b>		<b>Dealing with Empty Homes (increasing sales in lower value properties and increase the availability of private rented accommodation)</b>		
<b>Key Performance Measures:</b>		New homes for rent		
<b>Link to Risk (if applicable):</b>		8: Funding (only 12 months guaranteed)		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Action plan in place including identifying financial sources by increasing NHB	David Burrell/ Michael Conyard	Numbers of empty homes reduced	September 2012	Within existing resources
Work with owners, interrogate Council lists for accuracy of the problem	David Burrell/ Michael Conyard	Number of homes reduced	September 2012	Within existing resources
Property investors scheme	David Burrell/ Michael Conyard	Number of investors is increased to purchase empty properties	Ongoing	Within existing resources
Identifying potential for new private landlords from outside Darlington	David Burrell/ Michael Conyard	Numbers of new landlords are increased and empty properties are reduced	Ongoing	Within existing resources
Support Five Lamps three year empty property project	David Burrell/ Michael Conyard	7 properties Year 1 10 properties Year 2 13 properties in Year 3	March 2015	Existing Year 1 Year 2 and 3 subject to funding below

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
The Empty Property Officer post is extended	David Burrell/ Michael Conyard	Report to Cabinet Dec 2012 Savings and income to fund the post will be identified via: <ul style="list-style-type: none"> <li>• Increases in Council tax collection</li> <li>• Increases in New Homes Bonus</li> <li>• Reduction in enforcement activities</li> <li>• A reduced need for temporary accommodation for homeless applicants</li> </ul>	December 2012	Budget required is £32,532 per annum (inc on-costs)

## Action Plan 19

<b>PRIORITY: RS2</b>		<b>Development Control</b>		
<b>Key Performance Measures:</b>		LI 0101, NI 157a, b &c		
<b>Link to Risk (if applicable):</b>		1 & 4		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Decentralisation of planning fees	Roy Merrett	<p>Significant preparatory work undertaken in conjunction with Finance department to create and justify a fee schedule.</p> <p>Some final adjustments needed.</p> <p>Before this can be implemented legislation is required from Government (expected soon) followed by agreement from Cabinet</p>	Subject to Government timetable	Within existing resources
Planning Customer Feedback Survey	Roy Merrett	<p>Draft Survey</p> <p>Pilot</p> <p>Finalise Survey</p> <p>Roll out</p> <p>Monitoring and review</p>	<p>May 2012</p> <p>June 2012</p> <p>June 2012</p> <p>July 2012</p> <p>Quarterly Service Reviews</p>	Within existing resources

**Action Plan 20**

<b>PRIORITY: RS3</b>		<b>Flood and Water Management Act Responsibilities</b>		
<b>Key Performance Measures:</b>		Capacity to deliver new duties contained in the Flood And Water Management Act 2010 [NI189]		
<b>Link to Risk (if applicable):</b>		None		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Establish contract with a partner LA to deliver duties	Bill Westland	Draft contract for consideration	July 2012	Annual grant to implement duties (not ring-fenced)
Contract in place	Bill Westland	Contract signed	September 2012	
Contract operating successfully	Bill Westland	Contract monitoring in place	Ongoing	



## Action Plan 21

<b>PRIORITY: RS4</b>		<b>Closed Circuit Television (CCTV) Function</b>		
<b>Key Performance Measures:</b>		To successfully transfer and manage the Council's CCTV function		
<b>Link to Risk (if applicable):</b>		None		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Complete staff consultation	Ian Thompson	Consultation complete	June 2012	Existing
Subject to consultation to appoint CCTV Manager	Bill Westland	Anticipate transfer of existing employee but potentially recruitment may be required	July 2012	
Embed CCTV within Regulatory Services and Policy and Regeneration Division	Bill Westland/ Pam Ross	CCTV service functioning satisfactorily	December 2012	

## Action Plan 22

<b>PRIORITY: RS5</b>		<b>Business Continuity Planning (BCP)</b>		
<b>Key Performance Measures:</b>		Business Continuity Plans are in place for all critical functions across the Council		
<b>Link to Risk (if applicable):</b>		None		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
BCP template, guidance and training available	Bill Westland	In place	Complete	Civil Contingencies Unit
BCPs in place for category 1 and 2 functions	Bill Westland	Target was end March 2012. 29% (16 functions) still to complete at end April 2012	July 2012	Civil Contingencies Unit
BCPs in place for category 3 functions	Bill Westland		BCPs in place by June 2013	Civil Contingencies Unit

## Action Plan 23

<b>PRIORITY: RS6</b>		<b>Build Capacity To Respond To Emergencies</b>		
<b>Key Performance Measures:</b>		The Council is capable of responding to foreseeable emergency situations		
<b>Link to Risk (if applicable):</b>		None		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Training programme in place	Bill Westland	Training programme renewed annually and reviewed quarterly	March 2013	Civil Contingencies Unit
Regular meetings of in-house responders to facilitate info exchange and provide learning	Bill Westland	Four meetings held with agendas, and well-attended. Positive feedback from attendees	March 2013	Civil Contingencies Unit
Work plan in place for CCU contract, to include development and maintenance of plans, training and exercising	Bill Westland	Work plan agreed annually and formally reviewed quarterly	March 2013	Civil Contingencies Unit
Weekly availability list of DBC staff maintained	Bill Westland	List circulated, updated and communicated every week	Weekly	PA staff

## Action Plan 24

<b>PRIORITY: RS7</b>	<b>Trading Standards Service</b>
<b>Key Performance Measures:</b>	LI 3615
<b>Link to Risk (if applicable):</b>	1 & 4

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Respond to requests for service within one working day	Nigel Green	Monitoring and review (at least quarterly)	March 2013	Within existing resources
Inspect high & medium risk businesses	Nigel Green	Monitoring and review (at least quarterly)	March 2013	Within existing resources
Enter licensed animal movements onto national system	Nigel Green	Periodic review and up to date by year end	March 2013	Within existing resources
Enforcement of age restricted products legislation	Nigel Green	Investigate complaints of underage sales	March 2013	Within existing resources
		Underage test purchase of alcohol and tobacco products		
		Deliver accredited age restricted products training to retailers		
Organise Electric Blanket Safety Testing Campaign	Nigel Green	Apply for Electrical Safety Council Grant	June 2012	Grant from Electrical Safety Council & within existing resources
		Arrange publicity	July 2012	
		Organise safety testing event	September 2012	

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Build e-crime capacity	Nigel Green	Apply for grant for IT equipment	June 2012	Grant from Trading Standards National e-crime project
		Installation of equipment	July 2012	By Xentrall
		Develop policies & procedures for use of equipment in e-crime investigations	August 2012	Within existing resources
Participate in national medical weighing scales project	Nigel Green	Contact GP & Health Centres	July 2012	Within existing resources
		Inspect weighing scales and procedures	September 2012	

## Action Plan 25

<b>PRIORITY: RS8</b>		<b>Environmental Health Service</b>		
<b>Key Performance Measures:</b>		LI 3609a&b, LI3612		
<b>Link to Risk (if applicable):</b>		1, 2 & 4		
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Publish and implement Food Safety Enforcement Plan	Barry Pearson	Monitor and review annual performance against set targets	March 2013	Within existing resources
Publish and implement Health and Safety Enforcement Plan	Barry Pearson	Monitor and review annual performance against set targets	March 2013	Within existing resources
Respond to all service requests within one day	Barry Pearson	Monitor and review quality performance against 88% target	March 2013	Within existing resources

## Section 5 – Managing the Business

### Risks

#### Risks Identified

Through the service planning process, risks are identified and assessed in terms of probability and potential consequence. Arrangements are made to manage risks within acceptable levels with the aims of minimising losses and maximising opportunities for the Council.

Where risks are assessed as being above acceptable levels, action plans are put in place to reduce exposure by either reducing the likelihood of an event occurring or lessening the impact. Each action plan is assigned to and managed by a senior officer. All Service Areas are required to monitor their risks and review the action plans required for risks above the 'appetite line' through existing management arrangements ensuring that the ranking of the risk is reviewed and revised where it is appropriate to do so and a clear audit trail of these actions maintained through minutes/action logs from Senior Management Teams (SMT) i.e. DMT/SLT meetings of Directors/Assistant Directors.

AC Risk Ref	Risk No.	Risk	Risk Category	Responsible Person
	1.	Links between teams fail to keep pace with structural changes	B/II	John Anderson & (Heads of Service)
	2.	Links with partners fail to keep pace with structural changes	B/III	Bill Westland
	3.	Member expectations exceed capacity	C/III	John Anderson
	4.	Inadequate maintenance and development of ICT systems	A/III	Bill Westland
	5	Failure to deliver a steady stream and range of employment sites	D/III	Alan Glew
	6.	Other services fail to contribute to carbon management goals	D/III	Alan Glew
	7.	Insufficient funding to deliver Business Improvement District (BID)	D/III	Nik Grewer
	8.	Empty Homes Funding comes to an end	E/III	David Burrell

\* AC Risk Ref – Audit Committee Risk REference

## Plotting the Risks

The above risks are plotted on the Risk Matrix below. This shows the status of the risks in relation to our 'risk appetite'. 'Above the Line' risks – those plotted within the shaded part of the matrix – require specific action to bring them within acceptable limits; 'Below the Line' risks, plotted in the un-shaded area, are already deemed to have satisfactory management controls in place.

<b>LIKELIHOOD</b>	A		<b>4</b>		
	Very High				
	B		<b>2</b>	<b>1</b>	
	High				
	C		<b>3</b>		
	Significant				
	D		<b>5, 6, 7</b>		
	Low				
	E		<b>8</b>		
	Very Low				
F					
	Almost Impossible				
		IV Negligible	III Marginal	II Critical	I Catastrophic
		<b>IMPACT</b>			

The potential for controlling risks identified as above the line is addressed through management action plans. Most risks are capable of being managed – either by managing down the likelihood or impact or both. Relatively few risks have to be avoided or transferred. Action plans identify the resources required to deliver the improvements, key deadline date and critical success factors/ Key Performance Measures.



## Risk Scenarios

### Risks 1 – Links between teams fail to keep pace with structural changes

Vulnerability	Trigger	Consequence
The new business model calls for substantial change in operating practices Budget reductions and re-organisation have to be implemented quickly	<ul style="list-style-type: none"> <li>• MTFP budget cuts</li> <li>• 2011/12 reorganisation</li> <li>• Implementing Strategic Options for Place (2012)</li> </ul>	<ul style="list-style-type: none"> <li>• Understanding of respective roles and what colleagues can contribute diminishes</li> <li>• Staff morale reduces</li> <li>• Officers feel and become disengaged</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>• Regular team meetings and section meetings to review All Staff Briefing(s)</li> <li>• Invitation to relevant Heads of Service/ key colleagues to brief staff and discuss connections (e.g. Transformation Programme)</li> <li>• Joint Team Leaders meeting introduced on a monthly basis across Strategy and Commissioning and Programmes and Projects</li> </ul>		

### Risks 2 – Links with partners fail to keep pace with structural changes

Vulnerability	Trigger	Consequence
Major structural changes in the NHS and other public sector bodies is leading to a breakdown in key links with DBC operational staff	<ul style="list-style-type: none"> <li>• Development of new Public Health agenda.</li> <li>• Legislative changes introducing new governance arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• Long established links with colleagues in partner agencies fail or become tested, impacting upon joint working protocols and opportunities</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>• Representation at the strategic discussions by Director, Assistant Director and relevant Heads of Service to ensure Services for Place priorities, issues and concerns are addressed</li> <li>• Direct dialogue with Director of Public Health as appropriate</li> <li>• Active involvement/ engagement in the Area Wide Strategy development workshops</li> </ul>		

### Risk 3 – Member expectations exceed capacity

Vulnerability	Trigger	Consequence
Officers are working to tight work programmes which leave little room for deviation or spare capacity	<ul style="list-style-type: none"> <li>• Ad hoc requests, from predominantly Cabinet Members, for information or briefings on non-priority topics</li> </ul>	<ul style="list-style-type: none"> <li>• Priorities become displaced</li> <li>• Tight timescales and core commitments are not met</li> <li>• Officers become frustrated/ de-motivated</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>• Regular liaison meetings between Cabinet Members and management teams</li> <li>• Assistant Director acts as a gatekeeper to allocate and monitor requests</li> <li>• Staff empowered to negotiate reasonable response times</li> </ul>		

### Risk 4 – Inadequate maintenance and development of ICT systems

Vulnerability	Trigger	Consequence
Heavy reliance on various software packages (in particular Uniform) to deliver quality services is dependent upon regular maintenance and updating which is increasingly failing to happen	<ul style="list-style-type: none"> <li>• Loss of dedicated support roles</li> <li>• Reduced support from Xentrall</li> <li>• Financial pressures removing likelihood of investment or upgrades</li> </ul>	<ul style="list-style-type: none"> <li>• Unproductive use of technical/ professional staff time in routine software maintenance and devising work arounds</li> <li>• Failure to invest in or make best use of technological advances</li> <li>• Lost opportunities around smarter ways of working</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>• Regular review at Team, Section and Heads of Service meetings</li> <li>• ICT issues is a standing agenda item at quarterly Service Reviews meetings</li> <li>• Issues escalated as appropriate and used to influence ICT Strategy</li> </ul>		

**Risk 5 – Failure to deliver a steady stream and range of employment sites**

Vulnerability	Trigger	Consequence
Lack of capacity in the Programme and Projects area to keep under review and meet market requirements	<ul style="list-style-type: none"> <li>• Emerging infrastructure requirements in programme development</li> <li>• Links to new Economic Strategy</li> <li>• Changes in land and property portfolio</li> </ul>	<ul style="list-style-type: none"> <li>• Pressure on resources</li> <li>• Staff morale affected</li> <li>• Negative impact on reputation as a council to do business with</li> </ul>
<p><b>Controls in place</b></p> <ul style="list-style-type: none"> <li>• Recruiting to vacant post to rebuild capacity</li> <li>• Aligning with Economic Strategy and Partnership priorities</li> <li>• Update mapping of sites planned</li> </ul>		

**Risk 6 – Other services fail to contribute to carbon management goals**

Vulnerability	Trigger	Consequence
Failure to get buy –in and commitment from other services to corporate carbon management goals and targets	<ul style="list-style-type: none"> <li>• Lack of any tangible activity in service plans to promote or achieve planned outcomes</li> </ul>	<ul style="list-style-type: none"> <li>• Non-achievement of targets – which costs the Council money</li> <li>• Loss of reputation</li> <li>• Invest to Save opportunities lost</li> </ul>
<p><b>Controls in place</b></p> <ul style="list-style-type: none"> <li>• Revising draft Carbon Management Plan report</li> <li>• Reviewing pending vacant post within structure and job description</li> <li>• Developing an Invest to Save framework within the Council</li> </ul>		

### Risk 7 – Insufficient funding to deliver Business Improvement District (BID)

Vulnerability	Trigger	Consequence
Funding maybe inadequate to meet all expectations. Poor collection of levy and/or poor enforcement practices in place to control this	<ul style="list-style-type: none"> <li>Failure to achieve expected level of income or secure additional external funding</li> </ul>	<ul style="list-style-type: none"> <li>Unable to secure future of staffing</li> <li>Loss of reputation</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>Continuous dialogue with external funding organisations</li> <li>Working with companies for funding solutions</li> <li>High Street Innovation Fund – developing ideas on how to spend funding</li> <li>Work ongoing with TVU – co-ordinating Tees Valley wide work programmes etc.</li> </ul>		

### Risk 8 – Empty Homes funding comes to an end

Vulnerability	Trigger	Consequence
Empty Homes Funding only guaranteed for 12 months (2012/13)	Failure to secure extension of funding	<ul style="list-style-type: none"> <li>Limited timescale in which to make an impact</li> <li>No sooner implementing than having to consider exit strategy</li> </ul>
<b>Controls in place</b> <ul style="list-style-type: none"> <li>Working to meet agreed action plan</li> <li>Prioritising quick wins to prove worth and allow longer term tackling of problem areas/ long term empty properties</li> <li>Report to Cabinet in October/ November making justification for extension of funding. Problem will be gathering enough evidence in the short timescale available</li> </ul>		

### Risks Classified as Priorities for Improvement (those above the risk appetite line)

Risk No.	Risk	Current Risk Score	Target Risk Score
1	Links between teams fail to keep pace with structural changes	B/II	C/III
4	Inadequate maintenance and development of ICT systems	A/III	B3

## Risk Management Action Plans

### Risk 1 - Links between teams fail to keep pace with structural changes

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Update Intranet details to clarify 'who does what' i.e. team specific intranet pages/ Intranet Phone Directory (specifically) and Global Outlook Address Book	Team Leaders [Co-ordinated by Alan Glew]	Number of hits  Feedback as to usefulness & suggested additions	By end of June 2012	Diarised twice annually
Clarify roles of other teams and what they can do for us <ul style="list-style-type: none"> <li>- Insight Team</li> <li>- Darlington Together</li> <li>- Darlington Partnership</li> <li>- (other?)</li> </ul>	Heads of Service to set up invitations/ joint meetings [Co-ordinated by Steve Petch]	Programme developed  Number of briefing sessions held/ facilitated	By end of June 2012  By end of March 2013	At Quarterly Service Reviews
Understand who does what in teams and avoid duplication of tasks:  Bespoke sessions with two or more teams on agreed themes, i.e. split between transport commissioning and projects or business engagement and projects	Heads of Service [Co-ordinated by Nik Grewer]	Facilitated discussion(s)  Positive feedback from staff involved	July, Sept, Nov, Feb	Quarterly at Heads of Service Meetings
Avoid double handling of tasks by Policy and Implementation teams:  Bespoke session(s) between Development Control and Planning Policy [and others if appropriate]	Heads of Service [Co-ordinated by Bill Westland]	Facilitated discussion(s)  Positive feedback from staff involved	July, Sept	Quarterly at Heads of Service Meetings

**Risk 4 - Inadequate maintenance and development of ICT systems**

<b>Required Management Action/ Control</b>	<b>Responsibility for Action</b>	<b>Critical Success Factors and KPIs</b>	<b>Key Dates</b>	<b>Review Frequency</b>
Quick stock-take of real and perceived problems with operational teams	Bill Westland	Focus group type discussions with teams	By end of July 2012	At Heads of Service Meeting
Develop a small task and finish project team: <ul style="list-style-type: none"> <li>- Disseminate best practice on self help/ quick fix maintenance tips [short term]</li> <li>- Work up investment requirements/ options – a business case for [medium term improvements]</li> </ul>	Bill Westland	Quad of Aims  Practical advice developed/ implemented  Realistic recommendations worked up	By end of July 2012  By end of Sept 2012  By end of Nov 2012	Periodic progress check via Heads of Service Meetings
Present options and business case to SLT	John Anderson/ Bill Westland	Workable proposal agreed/ adopted for implementation	By end of February 2013	At Quarterly Service Reviews

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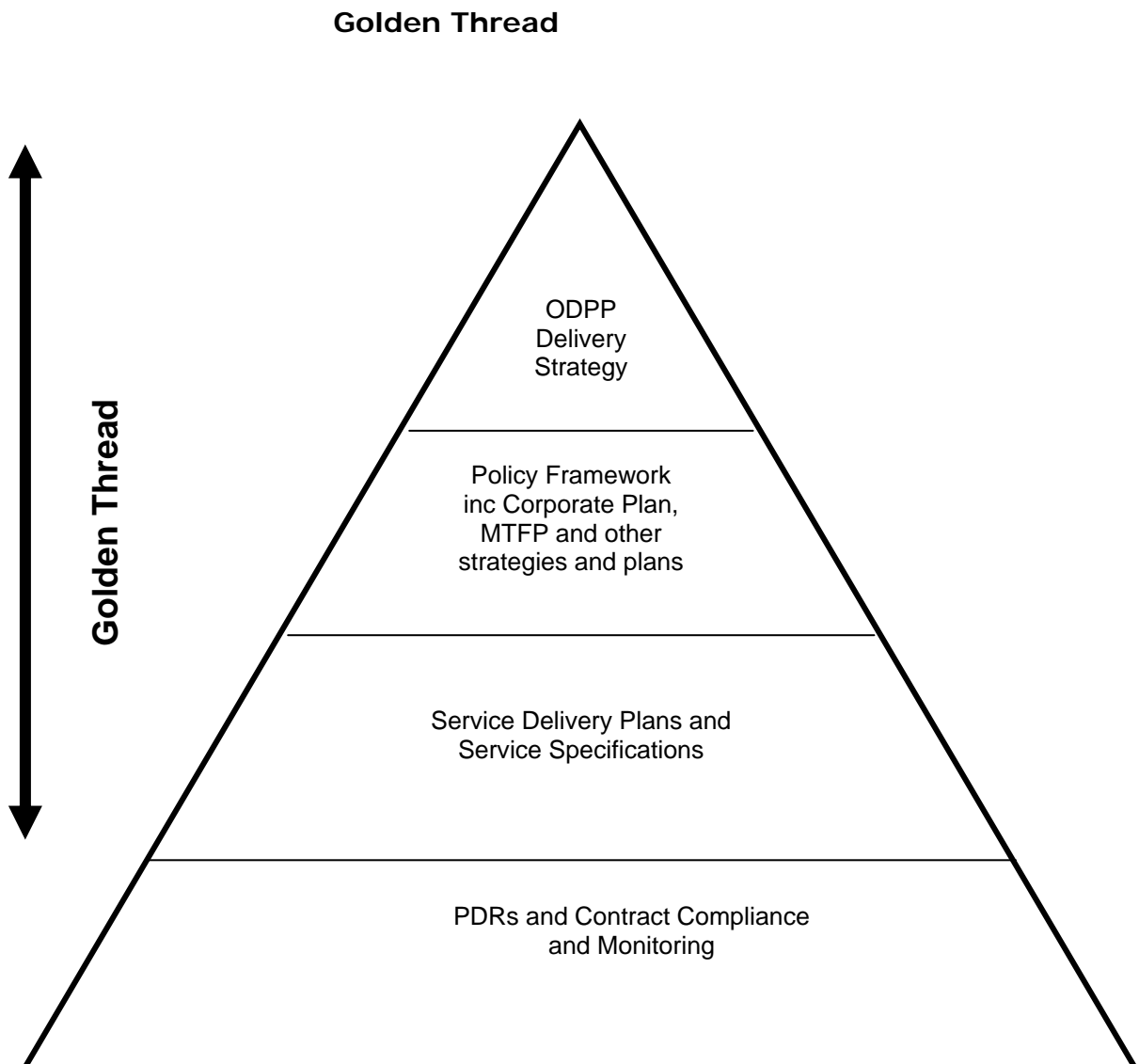
# Revenues and Benefits

## **Service Delivery Plan 2012 – 2015**



## Purpose of this Plan

This Service Delivery Plan sets out the activities that the Revenues and Benefits Service will deliver over the next three years to improve outcomes for our customers. The Service Delivery Plan forms part of the Council's 'golden thread' which ties together all of the key strategies, from the Area-wide Strategy and our two priorities **One Darlington: Perfectly Placed** down to individual staff PDRs and/or delivery of contracts. The diagram below illustrates the model.



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## **Section 1: Who are our customers?**

- Council Tax payers
- National Non-Domestic Rate payers
- All claimants of Housing Benefits and Council Tax Benefit
- All landlords in receipt of Housing Benefit

### **Core Functions of the service**

This service is made up of the following sections and teams:

#### **Revenues:**

The aim of this aspect of the service is to collect Council Tax and National Non-Domestic Rates (NNDR) from people and businesses that are liable to pay, maximising income for the Council.

The objectives of the teams are to:

- Establish liabilities for Council Tax and NNDR.
- Process Council Tax and NNDR discounts, exemptions and reliefs quickly and accurately, provide customer focussed front-line services and deal effectively with appeals and complaints.
- Bill, collect and enforce Council Tax and NNDR efficiently from liable people and businesses.
- Ensure services provide value for money by having quality assurance systems in place and effective processes for the recovery and enforcement of Council Tax and NNDR arrears and debts.

The service provides for all domestic households and non-domestic businesses throughout the borough.

The service is based in the Town Hall, but visits are also undertaken to check residency and recover and enforce arrears and debts.

The staff teams comprise of:

- Staff dealing with liability issues and processing claims for discounts, exemptions and reliefs.
- Staff dealing with face to face customer enquiries.
- Quality control staff.
- Recovery and enforcement staff.
- Staff who review discounts, exemptions and reliefs and undertake residency checks.
- ICT systems administrators.
- Clerical support staff.

**Benefits:**

The aim of this aspect of the service is to administer the Housing Benefit (HB) and Council Tax Benefit (CTB) schemes on behalf of the Department for Work and Pensions, providing financial assistance to people on low incomes with their rent and Council Tax liabilities.

The objectives of the teams are to:

- Process claims for HB and CTB quickly and accurately, reducing error and overpayments.
- Ensure the secure administration of HB and CTB by undertaking counter-fraud activities, administering sanctions and prosecuting people who commit benefit fraud.
- Undertake benefit take-up, provide customer focussed front-line services and deal effectively with appeals and complaints.
- Ensure services provide value for money by having quality assurance systems in place and effective processes for the recovery of overpaid benefit.

The service provides for both working age adults and pensioners who pay rent and/or Council Tax in properties throughout the borough, including council tenants, housing association tenants, private tenants and owner occupiers.

The service is based in the Town Hall, but an outreach service is also available to people who require assistance to claim benefit or access the service.

The staff teams comprise of;

- Benefits assessment staff dealing with claims and appeals.
- Staff dealing with face to face customer enquiries.
- A customer support officer who undertakes home visits.
- Quality control staff.
- Overpayment recovery staff.
- Fraud investigation officers.
- Staff who review claims and undertake residency checks.
- ICT systems administrators.
- Clerical support staff.

## **Section 2 – Measuring Outcomes**

### **How do we know if our customers are better off?**

Customers' perspective of whether they are better off is affected by whether they are happy that enforcement is undertaken from a tax payers view or the recipient of efficient benefit payments.

NEW: Possibility of survey – question needs to be carefully worded

LI 2306 – customer feedback collected routinely for benefits.

New HBCT 003 – arrears of Council Tax recovered as a % of arrears outstanding (data development)

New HBCT 004 – arrears of NNDR recovered as a % of arrears outstanding (data development)

### **How can we measure if we are delivering services well?**

A number of key performance measures have been identified relating to identified customers and how they are better off.

- Increase in percentage of Council Tax collected
- Reduce fraudulent claims for housing and council tax benefits
- Increased in the percentage of NNDR collected
- Reduced timescales for the processing of new claims for housing or council tax benefits.

### Section 3 – Current Performance

Following the Government’s changes to the collection of data across the public sector and service areas robust analysis and comparison of trend data is difficult. There are some proxy measures which give a ‘best fit’ comparison allowing for the national changes. The determination of locally obtained survey information following the cessation of the Place Survey and Darlington’s decision not to participate in the North East Perception Survey in 2012, will result in developing our own suite of questions to gather the views of the population across a range of key service areas. This results will feed into the analysis of performance to improve services.

From 2013 comparison and analysis of trends will be contained in this section of the service plan. The following tables show the trend information which is currently available for the key performance measures identified through OBA workshops and agreed by the Senior Leadership Team in January 2012.

<b>LI 2301 - Average number of days to process new claims for Benefit</b>				
<b>Month</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>2010-2011</b>	<b>2011-2012</b>
April	24.24	19.69	15.93	7.02
May	24.36	18.86	15.85	7.49
June	23.63	18.51	15.40	7.24
July	23.39	17.93	15.08	7.02
August	22.98	17.74	14.78	7.00
September	22.90	17.58	14.66	7.12
October	22.75	17.46	14.14	7.02
November	22.14	17.09	13.25	6.98
December	21.78	16.93	12.67	6.98
January	21.46	16.92	12.26	6.83
February	20.80	16.85	11.81	6.78
March	20.62	16.78	11.47	6.76
<b>LI 3012 - Percentage of Council Tax collected in year</b>				
<b>Month</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>2010-2011</b>	<b>2011-2012</b>
April	9.6%	10.2%	9.7%	9.6%
May	18.5%	19.0%	18.7%	18.8%
June	27.5%	28.2%	27.8%	27.8%
July	36.6%	37.2%	36.9%	36.5%
August	45.5%	46.0%	46.0%	45.5%
September	54.6%	55.1%	55.1%	54.4%
October	64.0%	64.2%	64.2%	63.5%
November	72.9%	73.3%	73.3%	72.4%
December	82.0%	82.3%	82.3%	81.3%
January	90.8%	91.0%	91.1%	90.0%
February	94.8%	94.9%	95.0%	95.7%
March	96.8%	97.0%	97.1%	96.4%

<b>LI 3013 - Percentage of National Non- domestic rates (NDR) collected in year</b>				
<b>Month</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>2010-2011</b>	<b>2011-2012</b>
April	15.5%	12.8%	16.0%	17.0%
May	24.4%	25.7%	26.4%	25.4%
June	35.9%	34.3%	35.4%	35.0%
July	44.4%	42.9%	43.6%	43.6%
August	53.8%	52.0%	53.6%	51.4%
September	61.7%	60.9%	62.2%	59.9%
October	70.8%	69.6%	73.5%	68.4%
November	79.3%	79.0%	80.1%	77.6%
December	88.1%	87.2%	88.0%	86.4%
January	96.5%	95.0%	95.0%	94.6%
February	98.8%	96.9%	97.0%	97.3%
March	98.3%	98.2%	98.8%	97.2%

<b>LI 2300 - Fraud sanctions and prosecutions per 1,000 claimants</b>				
<b>Quarter</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>2010-2011</b>	<b>2011-2012</b>
April to June	2.28	1.84	1.51	1.46
July to September	4.66	4.04	2.93	2.91
October to December	5.80	5.29	4.46	4.44
January to March	6.78	7.14	6.61	6.28

## **Section 4 – Action Planning**

Turning the curve exercise to go in here on each outcome including:

- Who are our partners that have a role to play in doing better?
- What works to do better, including no-cost and low-cost ideas?
- What do we propose to do?

**The following action plans must be completed for each priority identified and linked to the risk indicator in Section 5**

### **Priorities**

#### **Council Tax Payers**

- Increase in percentage of Council Tax collected

#### **Landlords in receipt of Housing Benefit**

- Reduce fraudulent claims for housing and council tax benefits

#### **National Non Domestic Rate Payers**

- Increased in the percentage of NNDR collected

#### **All claimants of Housing and Council Tax benefits**

- Reduced timescales for the processing of new claims for housing or council tax benefits.



## Action Plan

<b>Customer Group:</b> Council Tax Payers/ All landlords in receipt of housing benefit				
<b>Priority:</b>		<ul style="list-style-type: none"> <li>• Increase in percentage of Council Tax collected</li> <li>• Reduce fraudulent claims for housing and council tax benefits</li> </ul>		
<b>Key Performance Measure:</b> LI 2300 Number of Benefit fraud sanctions and prosecutions per 1,000 claimants				
<b>Link to Risk (if applicable):</b> (5)				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Review sanctions and prosecutions policies in light of changes introduced in the Welfare Reform Act	Anthony Sandys	Report to Cabinet	October 2012	Within existing resources
Work with the Department for Work and Pensions (DWP) to implement the Single Fraud Investigation Service	Anthony Sandys		April 2013	Within existing resources
Adopt DWP Single Fraud Investigation Service policies, procedures, practices and priorities	Anthony Sandys	Report to Cabinet	April 2013	Within existing resources
Work with the DWP to transfer the Single Fraud Investigation Service to the DWP	Anthony Sandys		April 2015	Within existing resources

<b>Customer Groups:</b> All claimants of housing and council tax benefit	
<b>Priorities</b>	<ul style="list-style-type: none"> <li>Reduced timescales for the processing of new claims for housing or council tax benefits.</li> </ul>
<b>Key Performance Measure:</b> LI 2301 Average number of days to process new claims for Benefit	
<b>Link to Risk (if applicable):</b> (1) (2) (4) (5)	

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Deliver Housing Benefit changes introduced from April 2011	Anthony Sandys	Transitional protection ends for existing claims	December 2012	Within existing resources
		Size criteria introduced for social rented sector tenants	April 2013	
		LHA rates based on the Consumer Prices Index	April 2013	
		Overall Benefits cap of £26,000 introduced	April 2013	
Design and implement a new Council Tax Support (CTS) scheme to replace Council Tax Benefit	Anthony Sandys	Report to Scrutiny Committee	May 2012	Additional resources may be provided by the Department for Communities and Local Government to implement the scheme
		Complete design of CTS scheme and scope IT changes	August 2012	Within existing resources
Design and implement a new Council Tax Support (CTS) scheme	Anthony Sandys	Undertake consultation exercises and impact	October 2012	Within existing resources

Actions needed to deliver improvement	Lead Officer	Milestones	Date for Completion	Resources (Finance & staff)
to replace Council Tax Benefit		assessments		Within existing resources  Within existing resources  Within existing resources
		Report to Cabinet for Member approval and publish CTS scheme	January 2013	
		Implement scheme and IT changes in time for annual billing	March 2013	
		CTS scheme in operation	April 2013	
Undertake work for the preparation of Universal Credit: <ul style="list-style-type: none"> <li>• reassessment of existing Housing Benefit (HB) claims to take into account Universal Credit</li> <li>• Transfer of existing HB claims to Universal Credit and Pension Credit</li> </ul>	Anthony Sandys	New claims for Universal Credit commence	October 2013	The administration grant provided by the DWP will be withdrawn as claim numbers reduce
		Housing costs included in Universal Credit – new claims for working aged HB cease	April 2014	
		Housing costs included in Pension Credit – new claims for pension aged HB cease	October 2014	
		All existing HB claims migrate to Universal Credit and Pension Credit	December 2017	

<b>Customer Groups: Council Tax Payers</b>				
<b>Priorities</b>		<ul style="list-style-type: none"> <li>• Increase in percentage of Council Tax collected</li> <li>• Reduce fraudulent claims for housing and council tax benefits</li> </ul>		
<b>Key Performance Measure: LI 3012 Percentage of Council Tax collected in year</b>				
<b>Link to Risk (if applicable): (3)</b>				
<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources (Finance &amp; staff)</b>
Review existing measures to increase the collection fund and introduce a programme of reviews for discounts and exemptions	Anthony Sandys	Programme of reviews commences	October 2012	Within existing resources
Review recovery and enforcement resources in light of the new CTS scheme	Anthony Sandys	CTS scheme in operation	April 2013	Within existing resources
Implement Council Tax reforms to discounts and exemptions	Anthony Sandys	Changes to discounts and exemptions in place	April 2013	Within existing resources

<b>Customer Groups:</b> National Non-Domestic Rate Payers	
<b>Priorities</b>	<ul style="list-style-type: none"> <li>Increased in the percentage of NNDR collected</li> </ul>
<b>Key Performance Measure:</b> LI 3013 Percentage of NNDR collected in year	
<b>Link to Risk (if applicable):</b> (6) (7) (8)	

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Implement new NNDR Enterprise Zone discount scheme	Anthony Sandys	Enterprise Zone discount scheme commences	April 2012	Additional resources may be provided via Tees Valley Unlimited
		Report to Cabinet for approval of discount scheme	July 2012	Within existing resources
		Enterprise Zone discount scheme ceases	March 2015	Within existing resources
Implement billing and recovery arrangements for the Business Improvement District (BID)	Anthony Sandys	Scope processes and IT changes for the billing and recovery of BID liabilities	April 2012	Additional resources from BID
		Implement processes and IT changes for the billing and recovery of BID liabilities	June 2012	Additional resources from BID

<b>Actions needed to deliver improvement</b>	<b>Lead Officer</b>	<b>Milestones</b>	<b>Date for Completion</b>	<b>Resources</b> (Finance & staff)
Implement billing and recovery arrangements for the Business Improvement District (BID)	Anthony Sandys	BID scheme commences	July 2012	Additional resources from BID
Implement actions in relation to the local retention of NNDR	Anthony Sandys		April 2013	Within existing resources

## Section 5: Risks

### Risks Identified

Through the service planning process, risks are identified and assessed in terms of probability and potential consequence. Arrangements are made to manage risks within acceptable levels with the aims of minimising losses and maximising opportunities for the Council.

Where risks are assessed as being above acceptable levels, action plans are put in place to reduce exposure by either reducing the likelihood of an event occurring or lessening the impact. Each action plan is assigned to and managed by a senior officer. All Service Areas are required to monitor their risks and review the action plans required for risks above the 'appetite line' through existing management arrangements ensuring that the ranking of the risk is reviewed and revised where it is appropriate to do so and a clear audit trail of these actions maintained through minutes/action logs from Senior Management Teams (SMT) i.e. DMT/SLT meetings of Directors/Assistant Directors.

AC Risk Ref	Risk No.	Risk	Risk Category	Responsible Person
	REV1	Council Tax Support scheme not published by 31 <sup>st</sup> January 2013	C/I	Anthony Sandys
	REV2	ICT changes for the Council Tax Support scheme not implemented in time for 2013/2014 annual billing	D/II	Anthony Sandys
	REV3	Decrease in Council Tax collection rates from April 2013 as a result of the introduction of the Council Tax Support scheme	A/II	Anthony Sandys
	REV4	Difficulty in managing resources to deal with a diminishing caseload, once housing costs are incorporated into Universal Credit	C/III	Anthony Sandys
	REV5	Difficulty in operating the service effectively as a result of a diminishing administration grant following the implementation of the Single Fraud Investigation Service and Universal Credit	B/III	Anthony Sandys
	REV6	Unable to implement the required ICT changes and produce bills on time for the Business Improvement District	D/II	Anthony Sandys
	REV7	Insufficient resources available to reimburse the Council for NNDR discounts awarded for the local Enterprise Zone	E/II	Anthony Sandys
	REV8	Increased risk to Council income following the retention of NNDR from April 2013, if collection rates deteriorate	E/II	Anthony Sandys

\*AC Risk Ref – Audit Committee Risk Reference

## Plotting the Risks

The above risks are plotted on the Risk Matrix below. This shows the status of the risks in relation to our 'risk appetite'. 'Above the Line' risks – those plotted within the shaded part of the matrix – require specific action to bring them within acceptable limits; 'Below the Line' risks, plotted in the un-shaded area, are already deemed to have satisfactory management controls in place.

<b>LIKELIHOOD</b>	A			<b>(3)</b>	
	Very High				
	B		<b>(5)</b>		
	High				
	C		<b>(4)</b>		<b>(1)</b>
	Significant				
	D			<b>(2) (6)</b>	
	Low				
	E			<b>(7)(8)</b>	
	Very Low				
F					
Almost Impossible					
	IV Negligible	III Marginal	II Critical	I Catastrophic	
<b>IMPACT</b>					

The potential for controlling risks identified as above the line is addressed through management action plans. Most risks are capable of being managed – either by managing down the likelihood or impact or both. Relatively few risks have to be avoided or transferred. Action plans identify the resources required to deliver the improvements, key deadline date and critical success factors/ Key Performance Measures.



## Risk Scenarios

**Risk 1** – Council Tax Support scheme not published by 31<sup>st</sup> January 2013

Vulnerability	Trigger	Consequence
Insufficient time and resources to deliver Council Tax Support scheme on time	Council Tax Support scheme replacing Council Tax Benefit	Default scheme will operate for 2013/2014 and the Council will be unable to pass the 10% reduction in funding to recipients
<b>Controls in place</b> Council Tax Support scheme implementation plan Reports to Scrutiny Committee		

**Risk 2** – ICT changes for the Council Tax Support scheme not implemented in time for 2013/2014 annual billing

Vulnerability	Trigger	Consequence
Insufficient time and resources to implement required ICT changes	Council Tax Support scheme replacing Council Tax Benefit	Default scheme will operate for 2013/2014 and the Council will be unable to pass the 10% reduction in funding to recipients
<b>Controls in place</b> Council Tax Support scheme implementation plan Meetings with ICT supplier		

**Risk 3** – Decrease in Council Tax collection rates from April 2013 as a result of the introduction of the Council Tax Support scheme

Vulnerability	Trigger	Consequence
Recovery of Council Tax from people who will not have the financial means to pay it	Council Tax Support scheme replacing Council Tax Benefit	Reduced collection rates, increased write-off of debts and reduced income for the Council
<b>Controls in place</b> Council Tax collection monitoring reports		

**Risk 4** – Difficulty in managing resources to deal with a diminishing caseload, once housing costs are incorporated into Universal Credit

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Reduced staffing resources as Housing Benefit is phased out	Housing costs included in Universal Credit	Increased processing times and delays in payments to customers
<b>Controls in place</b> Performance monitoring reports Budget monitoring reports and meetings		

**Risk 5** – Difficulty in operating the service effectively as a result of a diminishing administration grant following the implementation of the Single Fraud Investigation Service and Universal Credit

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Administration grant is reduced as service elements transfer to the DWP	Introduction of the Single Fraud Investigation Service and Universal Credit	Reduced grant and insufficient resources to undertake remaining work
<b>Controls in place</b> Budget monitoring reports and meetings		

**Risk 6** – Unable to implement the required ICT changes and produce bills on time for the Business Improvement District

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Insufficient time and resources to implement required ICT changes	Local business vote for the Business Improvement District	Bills not produced on time and reduced income for the Business Improvement District
<b>Controls in place</b> Business Improvement District implementation plan		

**Risk 7** – Insufficient resources available to reimburse the Council for NNDR discounts awarded for the local Enterprise Zone

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Insufficient income from Government funded sites to fund the discounts in the locally funded sites	Discounts claimed for local businesses in the Enterprise Zone	The Council will have to meet the cost of the NNDR discount
<b>Controls in place</b> Budget monitoring reports and meetings		

**Risk 8** – Increased risk to Council income following the retention of NNDR from April 2013, if collection rates deteriorate

<b>Vulnerability</b>	<b>Trigger</b>	<b>Consequence</b>
Decrease in NNDR collection rates	Closure or decline of local businesses	Reduced income for the Council as NNDR no longer pooled from April 2013
<b>Controls in place</b> National Non Domestic Rate (NNDR) collection monitoring reports Budget monitoring reports and meetings		

**Risks Classified as Priorities for Improvement (those above the risk appetite line)**

<b>Risk No.</b>	<b>Risk</b>	<b>Current Risk Score</b>	<b>Target Risk Score</b>
REV1	Council Tax Support scheme not published by 31 <sup>st</sup> January 2013	C/I	E/I
REV3	Decrease in Council Tax collection rates from April 2013 as a result of the introduction of the Council Tax Support scheme	A/II	B/III

## Risk Management Action Plans

**Risk 1** - Council Tax Support scheme not published by 31<sup>st</sup> January 2013

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Council Tax Support scheme implementation plan	Anthony Sandys	Council Tax Support scheme published	31 <sup>st</sup> January 2013	Monthly
Reports to Scrutiny Committee	Anthony Sandys	Council Tax Support scheme published	31 <sup>st</sup> January 2013	tba

**Risk 3** - Decrease in Council Tax collection rates from April 2013 as a result of the introduction of the Council Tax Support scheme

Required Management Action/ Control	Responsibility for Action	Critical Success Factors and KPIs	Key Dates	Review Frequency
Council Tax collection monitoring reports	Anthony Sandys	Maintain service delivery and meet targets		Monthly