

# Public Document Pack



## TRAFFORD COUNCIL

### AGENDA PAPERS FOR EXECUTIVE MEETING

Date: Monday, 26 October 2015

Time: 6.30 pm

Place: **ALTRINCHAM TOWN HALL (Council Chamber), Market Street,  
Altrincham, WA14 1PG**

AGENDA	PART I	Pages
1. ATTENDANCES		
To note attendances, including officers, and any apologies for absence.		
2. DECLARATIONS OF INTEREST		
Members to give notice of any interest and the nature of that interest relating to any item on the agenda in accordance with the adopted Code of Conduct.		
3. MINUTES		1 - 2
To receive and, if so determined, to approve as a correct record the Minutes of the meeting held on 21 <sup>st</sup> September 2015.		
4. MATTERS FROM COUNCIL OR OVERVIEW AND SCRUTINY COMMITTEES (IF ANY)		
To consider any matters referred by the Council or by the Overview and Scrutiny Committees.		
(a) Report of the Scrutiny Task & Finish Group - Home to School Transport		3 - 20
To consider a report of the Scrutiny Committee.		
5. CHILDREN'S SAFEGUARDING BOARD ANNUAL REPORT		
To receive a presentation from the Board's Chairman. The Annual Report itself is available on the Safeguarding Board's website, and can be found at: <a href="http://www.tscb.co.uk/search-results.aspx?search_keywords=annual+report">http://www.tscb.co.uk/search-results.aspx?search_keywords=annual+report</a> .		

## **Executive - Monday, 26 October 2015**

6. **S.75 AGREEMENT - BETTER CARE FUND** 21 - 26
- To consider a report of the Executive Member Adult Social Services and Community Wellbeing.
7. **TRAFFORD STATEMENT OF COMMUNITY INVOLVEMENT - APPROVAL FOR ADOPTION** 27 - 64
- To consider a report of the Executive Member for Economic Growth and Planning.
8. **REVENUE BUDGET MONITORING 2015/16 - PERIOD 5 (APRIL - AUGUST 2015)** 65 - 122
- To consider a report of the Executive Member for Finance and Director of Finance.
9. **AGMA COMBINED AUTHORITY / EXECUTIVE BOARD: FORWARD PLANS AND DECISIONS**
- To receive and note the following:
- (a) GMCA Forward Plan October 2015 - January 2016 123 - 128
- (b) Joint GMCA / AGMA Forward Plan October 2015 - January 2016 129 - 134
10. **URGENT BUSINESS (IF ANY)**
- Any other item or items which by reason of:-
- (a) Regulation 11 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, the Chairman of the meeting, with the agreement of the relevant Overview and Scrutiny Committee Chairman, is of the opinion should be considered at this meeting as a matter of urgency as it relates to a key decision; or
- (b) special circumstances (to be specified) the Chairman of the meeting is of the opinion should be considered at this meeting as a matter of urgency.
11. **EXCLUSION RESOLUTION**
- Motion (Which may be amended as Members think fit):
- That the public be excluded from this meeting during consideration of the remaining items on the agenda, because of the likelihood of disclosure of "exempt information" which falls within one or more descriptive category or categories of the Local Government Act 1972, Schedule 12A, as amended by The Local Government (Access to Information) (Variation) Order 2006, and specified on the agenda item or report relating to each such item respectively.

## **Executive - Monday, 26 October 2015**

### **THERESA GRANT**

Chief Executive

#### Membership of the Committee

Councillors S.B. Anstee (Chairman), Mrs. L. Evans, M. Hyman, J. Lamb, P. Myers, J.R. Reilly, A. Williams and M. Young (Vice-Chairman)

#### Further Information

For help, advice and information about this meeting please contact:

Jo Maloney,

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This agenda was issued on Thursday 15<sup>th</sup> October 2015 by the Legal and Democratic Services Section, Trafford Council, Trafford Town Hall, Talbot Road, Stretford M32 0TH.

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## EXECUTIVE

**21 SEPTEMBER 2015**

## PRESENT

Executive Member for Economic Growth and Planning (Councillor M. Young) (in the Chair),  
Executive Member for Adult Social Services and Community Wellbeing (Councillor A. Williams),  
Executive Member for Children's Services (Councillor M. Hyman),  
Executive Member for Communities and Partnerships (Councillor J. Lamb),  
Executive Member for Environment and Operations (Councillor J.R. Reilly),  
Executive Member for Finance (Councillor P. Myers),  
Executive Member for Transformation and Resources (Councillor Mrs. L. Evans).

Also present: Councillors Adshead, Bowker, Cornes, Coupe, Fishwick, Hynes, Procter and Ross.

### In attendance:

Chief Executive (Ms. T. Grant),  
Acting Corporate Director, Children, Families and Wellbeing (Mr. J. Pearce),  
Acting Corporate Director, Transformation and Resources (Ms. J. Hyde),  
Director of Finance (Mr. I. Duncan),  
Director of Legal and Democratic Services (Ms. J. Le Fevre),  
Director of Growth and Regulatory Services (Mr. R. Roe),  
Democratic and Scrutiny Officer (Mr. J.M.J. Maloney).

## APOLOGIES

Apologies for absence were received from Councillor S.B. Anstee.

## 30. DECLARATIONS OF INTEREST

No declarations were made by Executive Members.

## 31. MATTERS FROM COUNCIL OR OVERVIEW AND SCRUTINY COMMITTEES (IF ANY)

There were no issues to be reported to this meeting.

## 32. MINUTES

RESOLVED – That the Minutes of the meeting held on 27<sup>th</sup> July 2015 be approved as a correct record.

**33. REVENUE BUDGET MONITORING 2015/16 - PERIOD 4 (APRIL TO JULY 2015)**

The Executive Member for Finance and Director of Finance submitted a report which set out for Members' information details of the outcomes of the latest monitoring of the Council's revenue budget. An opportunity was provided for Members to ask questions on the report's content, and in discussion further information was provided on the membership of the Board of the Leisure Services Community Interest Company.

RESOLVED -That the latest forecast and planned actions be noted and agreed.

**34. ANNUAL DELIVERY PLAN 2015/16 - QUARTER 1 PERFORMANCE REPORT**

The Acting Corporate Director, Transformation and Resources submitted a report providing a summary of performance against the Council's Annual Delivery Plan 2015/16 for the period 1<sup>st</sup> April 2015 to 30<sup>th</sup> June 2015 (Quarter 1). An opportunity was provided for Members to ask questions on the content of the report.

RESOLVED – That the content of the report be noted.

**35. AGMA COMBINED AUTHORITY / EXECUTIVE BOARD: FORWARD PLANS AND DECISIONS**

The Executive received for information details of decisions taken by the GMCA on 28/8/15, and of the GMCA Forward Plan covering September to December 2015 and joint GMCA / AGMA Forward Plan covering August to November 2015.

RESOLVED – That the content of the decision summary and forward plans be noted.

The meeting commenced at 6.30 pm and finished at 6.51 pm.

## TRAFFORD COUNCIL

**Report to:** Executive  
**Date:** 26 October 2015  
**Report for:** Consideration  
**Report of:** Scrutiny Committee

### Report Title

Home to School Transport – Task and Finish Group

### Purpose

Scrutiny of Home to School Transport was instigated as a result of difficulties encountered in late summer 2014 as a result of a reorganisation and changed procurement arrangements.

Following an initial report on 26 November, 2014, the Vice-Chairman wanted to revisit the topic to see if the situation had improved. This report shows the findings from a visit to Pictor School on 23 June, 2015.

The report was considered by the Scrutiny Committee on 1 October 2015, and it was agreed that the report would be referred to the Executive for a response.

### Recommendations

- (1) That the contents of the report be noted.
- (2) That the relevant Executive Member responds accordingly to the following recommendations made by the Scrutiny Committee:

**Recommendation 1 – Journey times impacted by buses queuing at schools**  
The executive member should look at the broad financial impact of contractors extending the journey time through long waits at schools and additionally, work with schools and parents/carers to explore reducing such occurrences where there are not valid logistical reasons.

**Recommendation 2 – Releasing Information at Tender**  
Scrutiny felt that there was scope for exploring with Trafford Parents Forum the potential for a protocol to be devised that protected the child's details, but allowed the parent/carer to permit release, where they felt those details were important to the tender process. It was felt to be an issue upon which there could be co-production with Trafford Parents Forum.

**Recommendation 3 – Clarifying DBS responsibility**  
Since Scrutiny has found ambiguity in the statutory guidance, and has learned through the press of a nearby council recording DBS checks of drivers, it

recommends obtaining definitive guidance from the DFE on this point.

#### Recommendation 4 – Safeguarding Information to Parents

Scrutiny endorses the point made by Trafford Parent's Forum that parents and carers should be informed of the responsible person for safeguarding within the operator's organisation.

#### Recommendation 5 – Risk Assessment

Scrutiny has seen Birmingham City Council's generic risk assessment for Home to School Transport and believes overall that such a risk assessment enhances the assurance parents/carers feel in using the service and recommends a similar model is used in Trafford.

#### Recommendation 6 – Training

It is therefore recommended that the training requirements be revisited to ensure consistency within the delivery of this, e.g. clarity within written materials etc., and checking that all aspects defined within the statutory guidance are covered and delivered appropriately.

#### Recommendation 7

Trafford explores the feasibility of co-production of policy with Trafford Parents Forum.

#### Recommendation 8

The most consistent call was for improved communications with parent/carers – early notice of changes. There had also been times at Trafford when there'd been a lack of empathy when the call was first answered, for the parent/carer's predicament.

Contact person for access to background papers and further information:

Name: Chris Gaffey

Phone x2019



### TERMS OF REFERENCE

The Scrutiny Topic Group was triggered as a consequence of changes to organisation of tendering/contracting arrangements within the overall aim of sharpening the efficiency of the contracted school runs.

The changes had meant substantial upheaval immediately before the beginning of Autumn Term 2014 and a degree of negative publicity as the changes bedded in. It was therefore felt appropriate for a Scrutiny Topic group to look into this area of work to consider:

#### **Value for Money**

Including 'right first time' contracting - economies of scale – compliance with statutory guidance on eligibility)

#### **Safeguarding Issues**

DBS checks (Disclosing and Barring Service), Risk assessments, but could also include 'softer' issues such as taking into account special needs of individual children - avoiding excessive transportation times - we might also want to look at the extent to which Data protection will allow for special requirements to be specified in the contract and how that can be mitigated.

#### **Reviewing and Monitoring**

Financial Monitoring, Client Satisfaction. We might also want to look at the recording and communications within this. If there are blank forms these would be helpful in our review.

## FOREWARD FROM TASK GROUP CHAIR – COUNCILLOR MIKE CORDINGLEY

Scrutiny of Home to School Transport was instigated as a result of difficulties encountered in late summer 2014 as a result of a reorganisation and changed procurement arrangements. One of the first conclusions of the topic group was to endorse the fact that those changes were needed. In fact there has been an acceptance from all those we've taken evidence from that the old arrangements were inefficient and difficult for parents/carers to navigate.

The position in 2015 in comparison as far as we can tell in the first week of term, seems much more stable.

That said, the task and finish group has been worthwhile. It has underlined the importance of an efficient and responsive service, for parents/carers, for schools, and most of all for the children and young people. We've made eight recommendations, some of which, if they can be adopted would reduce the chance of contracts being awarded inappropriately to an operator who couldn't meet the requirements of the children being taken to school. Another clarifies safeguarding responsibilities, and another highlights the issue of buses queuing at their destination.

Lastly, I want to highlight the input of Trafford Parent's Forum – based at Oakland House, Justine and her colleagues have proved yet again, that the best way of getting the service

right is to work with the users of the service. I know that the Trafford Parent's Forum are keen to 'co-produce' with the council, policies and procedures. I can only wish that endeavour well as it's my experience, you get better outcomes that way.

Many thanks to the councillors on this sub-group – particularly Councillor Pam Dixon as well as our scrutiny officer Chris Gaffey.

Rollcall of Councillors:

Councillors Karina Carter, Mike Cordingley, Mrs Pamela Dixon and Mrs Laura Evans (2014/15).

## BACKGROUND

The provision of Home to School Transport is a statutory requirement for distinct categories of pupil.

### **Local authorities' statutory duties:**

In order to comply with their home to school transport duties local authorities must:

- Promote the use of sustainable travel and transport
- Make transport arrangements for all eligible children of statutory school age (5 years and above)

(Home to school travel and transport guidance- Statutory guidance for local authorities-Dept. of Education July 2014)

### **In Respect of Special Educational Needs, a Disability or Mobility Problems Eligibility, the Local Authority is Required to:**

Make transport arrangements for all children who cannot reasonably be expected to walk to school because of their mobility problems or because of associated health and safety issues related to their special educational needs (SEN) or disability.

Eligibility, for such children should be assessed on an individual basis to identify their particular transport requirements. Usual transport requirements (e.g. the statutory walking distances) should not be considered when assessing the transport needs of children eligible due to SEN and/or disability.

### **Journey times**

Best practice suggests that the maximum each way length of journey for a child of primary school age to be 45 minutes and for secondary school age 75 minutes, but these should be regarded as the maximum. For children with SEN and/or disabilities, journeys may be more complex and a shorter journey time, although desirable, may not always be possible.

### **Safeguarding requirements**

It is the responsibility of the individual local authority to ensure the suitability of its employees and any contractors or their employees by undertaking the required safeguarding checks on those whose work or other involvement will bring them into contact with children, or more widely, vulnerable adults. This should include bus drivers, taxi drivers and escorts, as necessary. The Criminal Records Bureau (CRB) and the Independent Safeguarding Authority (ISA) have merged to become the Disclosure and Barring Service (DBS). CRB checks are now called DBS checks. Please see Further information.

## **Training and equalities**

All local authorities should ensure that all drivers and escorts taking pupils to and from school and related services have undertaken appropriate training, and that this is kept up to date. It is also considered good practice for those responsible for planning and managing school transport to have undertaken appropriate equality training. This training could consist of (but is not restricted to):

- an awareness of different types of disability including hidden disabilities;
- an awareness of what constitutes discrimination;
- training in the necessary skills to recognise, support and manage pupils with different types of disabilities, including hidden disabilities and certain behaviour that may be associated with such disabilities;
- training in the skills necessary to communicate appropriately with pupils with all types of different disabilities, including the hidden disabilities; and
- training in the implementation of health care protocols to cover emergency procedures.

### **Poor behaviour on school buses/other modes of transport**

The department expects each school to promote appropriate standards of behaviour by pupils on their journey to and from school through rewarding positive behaviour and using sanctions to address poor behaviour. The EIA 2006 empowers headteachers to take action to address unacceptable behaviour even when this takes place outside the school premises and when pupils are not under the legal control of the school, but when it is reasonable to do so. In the department's view, this would include behaviour on school buses, or otherwise on the route to and from school, whether or not the pupils are in school uniform.

A number of local authorities have adopted a policy of withdrawing transport, either for a temporary period, or permanently for more serious or repeated cases of misbehaviour. Equally, the behaviour of pupils outside school can be considered as grounds for exclusion. This will be a matter of judgment for the Headteacher. Local authorities might also consider that escorts are necessary to ensure safety of pupils on buses and can stipulate the provision of suitable escorts in their tender documents.

## **TRAFFORD'S ORGANISATION**

### **Reasons for Change**

Responsibilities for SEN transport provision were previously split across two Directorates;

- Eligibility and assessment of need – SEN assessment team in CFW (Community Families and
- Transport co-ordination - Trafford Transport Provider in EGEI

A number of problems had been raised by parents, schools, contractors and professionals about the way in which the service was operating and it was also clear that the Council was not getting value for money from it.

As a result a review of the arrangements was undertaken which highlighted a number of challenges created by the organisation and delivery of the service. Implementation of the findings from the review then built on the issues identified. These included;

- Split accountability creating problems relating to decision making and budgetary responsibility.
- Information systems that were not fit for purpose to ensure appropriate decision making and planning. This impacted on meeting children's needs and financial planning and monitoring.
- Lack of capacity to manage and co-ordinate the service effectively
- A need to improve the management and training of Passenger Assistants and reduce the increased reliance on temporary staff which was impacting on stability for children and escalating staffing costs.
- Requirement to improve training of Passenger Assistants to support and safeguard children
- Route planning and allocation of Passenger Assistants required review to ensure best value for money was being ensured for the LA as well as meeting children's needs
- Culture in relation to expectation and flexibility of service that was not sustainable or subject to appropriate decision making.
- Procurement required strengthening in line with the Council's Standing Orders.

The timeline for the changes has been very challenging in order to make substantial changes in time for the start of the new academic year. This was a key date to ensure there was not ongoing disruption to journeys through the year. It is important to note that the changes implemented on 2<sup>nd</sup> September were to the operational organisation of transport and did not involve any LA policy change. Any policy change would have been subject to consultation.

In order to drive through the changes required a new transport team was established in CFW in mid-July bringing together all staff involved in the process.

A procurement process had previously been undertaken in May 2014 to put in place a new framework of providers from September 2014. However this process had failed to establish a new framework as only a small number of providers had been able to meet the standards set out in the specification. Existing providers continued therefore to operate routes up until the end of the summer term and runs were all retendered during August to contractors already registered with the Chest. This procurement exercise is on-going and will be a dynamic process as changes are required.

## FINDINGS

### VALUE FOR MONEY

The service provides good value for money. The integration of the home-to-school transport function into a single entity has improved the co-ordination and management of the service. Procurement efficiency has improved. The difficulties arising from the changes in September 2014 have not been repeated and the service has bedded in well.

Members were intrigued that Passenger Assistants were paid from pick-up at their home addresses prior to picking up the first child but were assured that this is national custom and practice.

It was witnessed that the buses queue for quite considerable times in some instances at Pictor School before the children alight. Clearly, some allowance has to be made for traffic conditions and allowing for variations in settling children onto the bus at pick-up, but we were sceptical that so much spare time was needed. Scrutiny understand that the Dunham Trust are proposing staggering the arrival of pupils from buses in drawing up plans for the proposed special school in the north of the borough. It will be interesting to see whether this provides a more efficient system, or whether the buses continue to queue. Trafford Parents Forum also had concerns about the time the children were on the buses before alighting.

#### Recommendation 1 – Journey times impacted by buses queuing at schools

The executive member should look at the broad financial impact of contractors extending the journey time through long waits at schools and additionally, work with schools and parents/carers to explore reducing such occurrences where there are not valid logistical reasons.

#### Right First Time Contracting

Scrutiny members endorsed the new arrangements for procuring. However, they were frustrated that potential tenderers could not be informed of specific requirements ahead of the contract due to Data Protection restrictions. This left open the possibility that contracts could be awarded where the adaptations on the contractors vehicle were insufficient for transporting a particular child. This had happened in Autumn 2014 and compensation had had to be paid to the operator for contract cancellation.

#### Recommendation 2 – Releasing Information at Tender

Scrutiny felt that there was scope for exploring with Trafford Parents Forum the potential for a protocol to be devised that protected the child's details, but allowed the parent/carer to permit release, where they felt those details were important to the tender process. It was felt to be an issue upon which there could be co-production with Trafford Parents Forum.

## SAFEGUARDING ISSUES

Scrutiny has heard the technical assertion that direct responsibility for DBS checks lies with the operator in the obligations of the contract. However, they felt that the council would still be subject to public criticism if there had not been proper checks made. That the statutory guidance states that it is the responsibility of the local authority to ensure the suitability of contractors and their employees by undertaking DBS checks would lead most people to interpret this as the council doing it.

Scrutiny also noted the Manchester Evening News report of 30<sup>th</sup> June 2015 on Salford's scheme, highlighting a number of drivers without DBS checks being recorded by that council.

### Recommendation 3 – Clarifying DBS responsibility

Since Scrutiny has found ambiguity in the statutory guidance, and has learned through the press of a nearby council recording DBS checks of drivers, it recommends obtaining definitive guidance from the DFE on this point.

### Recommendation 4 – Safeguarding Information to Parents

Scrutiny endorses the point made by Trafford Parent's Forum that parents and carers should be informed of the responsible person for safeguarding within the operator's organisation.

### Recommendation 5 – Risk Assessment

Scrutiny has seen Birmingham City Council's generic risk assessment for Home to School Transport and believes overall that such a risk assessment enhances the assurance parents/carers feel in using the service and recommends a similar model is used in Trafford.

Training for drivers and PAs is included in the statutory guidance. Scrutiny heard from Pictor School - praise for both PAs and drivers, but it was also suggested that there were differences of interpretation from the drivers as to what the role was.

### Recommendation 6 – Training

It is therefore recommended that the training requirements be revisited to ensure consistency within the delivery of this, e.g. clarity within written materials etc., and checking that all aspects defined within the statutory guidance are covered and delivered appropriately.

## REVIEWING AND MONITORING

Scrutiny has learned that Trafford's policy is being updated. We received the clear message from the Trafford Parents Forum that they would like to be involved from early on in the policy renewal; in fact their ambition is for co-production.

### Recommendation 7

Trafford explores the feasibility of co-production of policy with Trafford Parents Forum.

### Recommendation 8

The most consistent call was for improved communications with parent/carers – early notice of changes. There had also been times at Trafford when there'd been a lack of empathy when the call was first answered, for the parent/carer's predicament.

## OTHER MATTERS

Home to School Transport for under-fives.

Although this issue is outside the agreed remit of this Task and Finish Group, it did come up a number of times, particularly at Pictor School. Scrutiny was persuaded that a comparatively small number of children are losing out educationally through not being able to attend special schools until the age of five. In some instances the child was remaining in a mainstream cohort when this wasn't the most appropriate setting for them. The effect was delaying the benefits that specialist provision can bring.

Scrutiny does not wish to make a recommendation on this, other than to suggest that it's an issue that could benefit from working with the parents forum and with the specialist schools, particularly in exploring any alternative funding possibilities or within Trafford's itself, given the anecdotal evidence that it was affecting educational progress.

Similarly the issue of post 16 provision was raised, but we weren't able to look at it in depth.



## Appendix 1

### Scrutiny Committee - Pictor School Visit Regarding Home to School Transport

23 June, 2015. 8:30am.

In Attendance – Cllrs Mike Cordingley & Mrs Pamela Dixon, Headmistress Beverly Owens and Deputy Head, Jackie Weeble

Also in attendance – Chris Gaffey, Democratic & Scrutiny Officer

#### Meeting Notes

- There are currently 13 buses running children to Pictor School.
- 1 child is coming by private taxi due to his/her behavioural problems. The school made the observation that it would be better to have an individual Passenger Assistant (PA) to accompany the child on the bus, which would be more cost effective than taxis.
- Currently no children from out of the Borough but they are accepted at the school.
- The buses are now picking up children and PAs from their local areas – no longer an issue where buses were traveling large distances to pick up PAs from other areas.
- The school praised Paul Reed, the Officer who is the school's main contact at Trafford, who has been very helpful since the issues have started last September and assisted with any queries that the school had.
- The school understands that during a time where there are financial constraints that changes need to be made.
- The main issue at the start of the academic year was that a change in the contracts without informing the parents meant that new drivers and PAs were assigned to pick up children who had a longstanding relationship with the previous drivers / PAs.
- There is a huge importance on good relationships and continuity for the children at Pictor school to ensure that the transition from home to school is smooth and enjoyable. A disruptive journey affects the child's ability to have a good day at school.
- This has a knock on effect on parents. Parents are not confident in handing their child to a new driver / PA, and need to know their children will be safe and looked after.
- It is understood that the contracts are to be reapplied for by 24 July.
- The worry is that if contracts are won solely on price and a contract changes to a new provider, drivers and PAs will change again causing the same disruption as last year.
- The school confirmed that they had no involvement in the contract changes and have had no contact as of yet with regards to any changes that might happen this year.
- The school are also unaware of what kind of training the drivers receive from Trafford. They advised that some drivers only drive and don't feel they should take on any other responsibility, while others are happy to get involved in other ways.
- The school have had occasions where they have had to report drivers for their poor performance, with one driver being dismissed.
- At this point, the school confirmed they are generally happy with the drivers, but the worry is that they will all change again once the contracts are renewed.
- The school and the parents were unaware of which children would be on which buses until the first day of term at the start of this academic year. This was not well

received and generated a high volume of phone calls which the school could not handle, as well as a large volume of calls coming into Trafford Council.

- Another issue the school has is the 'no transport for under 5s' policy now adopted by Trafford – this is seen as a huge barrier to entry.
- The school confirmed they have won some appeals against this, but there are still a lot who are either late in joining Pictor School, or don't come at all due to the issues this causes.
- There are many examples of parents having to bring young, SEN children to the school via public transport. Some have to travel over an hour with several changes (buses, trams etc.).
- There was one example of a parent almost being asked to leave the tram due to the child's behaviour.
- It is believed that many children are missing out and are staying in mainstream education due to the difficulties in finding transport to Pictor School.
- It was discussed that the costs attached to having a one to one carer for an SEN child at a mainstream school would outweigh the cost of supplying the transport for the child to Pictor School – comparing these costs was highlighted as a possible exercise that could be carried out.
- Public transport links are not very comprehensive to get to the school.
- Early intervention is essential in many of these cases, and this is not happening for all due to this barrier.
- The number of part time children currently in nursery and reception is 10, where this could / should be at 22. Low numbers are due to lack of transport.
- In the view of the school, the policy of not funding transport for children under 5 years old is affecting disadvantaged parents the most. Many of these families do not have a car or cannot afford public transport.
- "The idea is that the children who need to be here are here from when they are 3 years old, not when they are 5...."
- Parent forums were discussed – there are many types of groups (social media etc.), but the worry is that all parents are not being reached, and are not engaging with these forums or services.
- The school have discussed the possibility of starting their own transport initiative, but ongoing / future budget constraints means this would not be possible.

## Summary

In conclusion, here are the main issues relating to Home to School Transport (at Pictor School):

1. Change of contracts brings a change of drivers / PAs. This affects the children's ability to cope and reduces the confidence of parents. More consistency needed.
2. Poor communication – school and parents don't know who is assigned to which bus until the first day of term. Cannot plan ahead to discuss changes with parents / children.
3. 'No transport for under 5s' rule means children that should be pupils at the school are either late, or don't come at all. This is a huge barrier to entry for these families, especially families that are less well off (no car / can't afford public transport etc.)

## Appendix 2

### SCRUTINY – HOME TO SCHOOL TRANSPORT – TASK AND FINISH GROUP

#### Meeting 26<sup>th</sup> November 2014

Scrutiny Members Present: Cllr Laura Evans, Cllr Pam Dixon, Cllr Karina Carter, Cllr Mike Cordingley

Apology due to Traffic Delays : Patricia Goodstadt

Presenting for CFW: John Pearce

#### TERMS OF REFERENCE

The Scrutiny Topic Group had been triggered as a consequence of changes to organisation of tendering/contracting arrangements within the overall aim of sharpening the efficiency of the contracted school runs.

The changes had meant substantial upheaval immediately before the beginning of Autumn Term and a degree of negative publicity as the changes bedded in. It was therefore felt appropriate for a Scrutiny Topic group to look into this area of work to consider:

##### **Value for Money**

Including 'right first time' contracting - economies of scale – compliance with statutory guidance on eligibility)

##### **Safeguarding Issues**

DBS checks (Disclosing and Barring Service), Risk assessments, but could also include 'softer' issues such as taking into account special needs of individual children - avoiding excessive transportation times - we might also want to look at the extent to which Data protection will allow for special requirements to be specified in the contract and how that can be mitigated.

##### **Reviewing and Monitoring**

Financial Monitoring, Client Satisfaction. We might also want to look at the recording and communications within this. If there are blank forms these would be helpful in our review.

#### BACKGROUND

The provision of Home to School Transport is a statutory requirement for distinct categories of pupil.

Local authorities' statutory duties:

In order to comply with their home to school transport duties local authorities must:

- Promote the use of sustainable travel and transport
- Make transport arrangements for all eligible children *of statutory school age (5 years and above)*

(Home to school travel and transport guidance- Statutory guidance for local authorities-Dept. of Education July 2014)

**In respect of Special educational needs, a disability or mobility problems eligibility, the local authority is required to:**

Make transport arrangements for all children who cannot reasonably be expected to walk to school because of their mobility problems or because of associated health and safety issues related to their special educational needs (SEN) or disability

Eligibility, for such children should be assessed on an individual basis to identify their particular transport requirements. Usual transport requirements (e.g. the statutory walking distances) should not be considered when assessing the transport needs of children eligible due to SEN and/or disability.

## JOURNEY TIMES

Best practice suggests that the maximum each way length of journey for a child of primary school age to be 45 minutes and for secondary school age 75 minutes, but these should be regarded as the maximum. For children with SEN and/or disabilities, journeys may be more complex and a shorter journey time, although desirable, may not always be possible.

## SAFEGUARDING REQUIREMENTS

It is the responsibility of the individual local authority to ensure the suitability of its employees and any contractors or their employees by undertaking the required safeguarding checks on those whose work or other involvement will bring them into contact with children, or more widely, vulnerable adults. This should include bus drivers, taxi drivers and escorts, as necessary. The Criminal Records Bureau (CRB) and the Independent Safeguarding Authority (ISA) have merged to become the Disclosure and Barring Service (DBS). CRB checks are now called DBS checks. Please see Further information.

## TRAINING AND EQUALITIES

All local authorities should ensure that all drivers and escorts taking pupils to and from school and related services have undertaken appropriate training, and that this is kept up to date. It is also considered good practice for those responsible for planning and managing school transport to have undertaken appropriate equality training. This training could consist of (but is not restricted to):

- an awareness of different types of disability including hidden disabilities;
- an awareness of what constitutes discrimination;
- training in the necessary skills to recognise, support and manage pupils with different types of disabilities, including hidden disabilities and certain behaviour that may be associated with such disabilities;
- training in the skills necessary to communicate appropriately with pupils with all types of different disabilities, including the hidden disabilities; and
- training in the implementation of health care protocols to cover emergency procedures.

## POOR BEHAVIOUR ON SCHOOL BUSES/OTHER MODES OF TRANSPORT

The department expects each school to promote appropriate standards of behaviour by pupils on their journey to and from school through rewarding positive behaviour and using sanctions to address poor behaviour. The EIA 2006 empowers headteachers to take action to address unacceptable behaviour even when this takes place outside the school premises and when pupils are not under the legal control of the school, but when it is reasonable to do so. In the department's view, this would include behaviour on school buses, or otherwise on the route to and from school, whether or not the pupils are in school uniform.

A number of local authorities have adopted a policy of withdrawing transport, either for a temporary period, or permanently for more serious or repeated cases of misbehaviour. Equally, the behaviour of pupils outside school can be considered as grounds for exclusion. This will be a matter of judgment for the Headteacher. Local authorities might also consider that escorts are necessary to ensure safety of pupils on buses and can stipulate the provision of suitable escorts in their tender documents.

Background Continued.

## TRAFFORD'S ORGANISATION

### Reasons for Change

Responsibilities for SEN transport provision were previously split across two Directorates;

- Eligibility and assessment of need – SEN assessment team in CFW (Community Families and
- Transport co-ordination - Trafford Transport Provider in EGEI

A number of problems had been raised by parents, schools, contractors and professionals about the way in which the service was operating and it was also clear that the Council was not getting value for money from it.

As a result a review of the arrangements was undertaken which highlighted a number of challenges created by the organisation and delivery of the service. Implementation of the findings from the review then built on the issues identified. These included;

- Split accountability creating problems relating to decision making and budgetary responsibility.
- Information systems that were not fit for purpose to ensure appropriate decision making and planning. This impacted on meeting children's needs and financial planning and monitoring.
- Lack of capacity to manage and co-ordinate the service effectively
- A need to improve the management and training of Passenger Assistants and reduce the increased reliance on temporary staff which was impacting on stability for children and escalating staffing costs.
- Requirement to improve training of Passenger Assistants to support and safeguard children
- Route planning and allocation of Passenger Assistants required review to ensure best value for money was being ensured for the LA as well as meeting children's needs
- Culture in relation to expectation and flexibility of service that was not sustainable or subject to appropriate decision making.
- Procurement required strengthening in line with the Council's Standing Orders.

The timeline for the changes has been very challenging in order to make substantial changes in time for the start of the new academic year. This was a key date to ensure there was not ongoing disruption to journeys through the year. It is important to note that the changes implemented on 2<sup>nd</sup> September were to the operational organisation of transport and did not involve any LA policy change. Any policy change would have been subject to consultation.

In order to drive through the changes required a new transport team was established in CFW in mid-July bringing together all staff involved in the process.

A procurement process had previously been undertaken in May 2014 to put in place a new framework of providers from September 2014. However this process had failed to establish a new framework as only a small number of providers had been able to meet the standards set out in the specification. Existing providers continued therefore to operate routes up until the end of the summer term and runs were all retendered during August to contractors already registered with the Chest. This procurement exercise is on-going and will be a dynamic process as changes are required.

John Pearce

Director Service Development – Children, Family and Education  
Children, Families and Wellbeing Directorate

## ELIGIBILITY

How do we assess entitlement?

Entitlement was granted to pupils with a statement of Special Educational Needs (SEN) or Education, Health and Care (EHC) plan to children of statutory school age. Children under 5 would not normally be entitled but the authority was able to apply discretion in extreme cases. There was sometimes pressure to provide for siblings but a better understanding of the costs associated with the transport provision meant that this was not going to be granted in future. Trafford did not provide for a system of cost recovery from a parent who wanted transport provision for a non-eligible child. This could be frustrating for the parent who saw an empty seat on the minibus, but you couldn't guarantee that the empty seat would be unused indefinitely.

The eligibility was for transport from home to school and back at the end of the school day. Where schools were providing reduced school days for a period of transition, Trafford could not provide for modified starts or ends to the school day.

## ROUTE PLANNING PRIOR TO LETTING CONTRACTS

Trafford used 'Trapeze' software to plan the runs being put to contract. The 'run' had to include not just the children's addresses but the pick-up of the Passenger Assistant from their home address. Historically, Trafford had been less economical with its route planning and had sometimes assigned Passenger Assistants from one part of town to a route at the other end of the borough. A tightening up the allocation of Passenger Assistants to routes was one of the measures introduced to provide a more prudent provision. This may have led to some changes to the PAs at the start of term.

Scrutiny Councillors were surprised that the contracts included the picking up of the PA from their home address, which in some cases could be 'out of borough'. Although the response was that this was custom and practice nationally, it raises questions of equal opportunity and financial planning. What would happen if a PA changed their address to the other side of Greater Manchester?

The Travel-Time of the runs had been critically looked at in route planning. Most were within the 45 mins statutory guidance recommendation although where the school was outside the borough this could not always be accommodated. **DQ: Scrutiny probably require comprehensive data on this** Equally, parental preferences for an earlier pickup (for employment reasons) would not be granted.

The amount of children on a run has been typically increased to an average of 4.2 per run through better planning. There have been concerns raised about the sensitivity and behavioural issues of children in with more. These concerns are taken seriously but the directorate was also aware that behaviour expectations at the schools were more stringent than we were imposing on our transport.

Scrutiny Councillors have expressed a desire to visit heads at one or two receiving schools to better understand the behavioural and logistical complexities that schools have faced under the new practices.

## TENDERING SPECIFICATIONS

Have September's difficulties been addressed?

The directorate acknowledges that the timeframe was challenging. This was as a consequence of contractors being unable to meet the original tender specification when it was put out in May 2014. Following procurement and legal advice it was agreed to take a dynamic purchasing approach to tender runs on an individual basis to all contractors registered with the Council. This has expanded the pool of companies given the opportunity to tender and clearly it has impacted on the level of business some of the existing providers have been successful in winning.

There were some instances of contractors being unable to fulfil their contracts. One was because the mini-bus provided had face to face seating which was inappropriate to the needs of the children. This was not anticipated. Another contract was cancelled due to the minibus having insufficient storage for wheelchairs.

The team also reviewed from half term some of the routes. For example two runs going to Pictor School have been split into three runs.

The directorate acknowledges that some contractors are unhappy with the changes but believes that they will produce significant savings to the council whilst still fulfilling the council's statutory obligations.

Scrutiny Councillors would like more data on the savings that have been realised. We appreciate that Passenger Assistant costs were £0.9m (including temp replacement staff) and the overall costs were in excess of £3m but it would be of assistance if we could monitor the costs and forecasts in relation to the new practices.

## RISK ASSESSMENT AND SAFEGUARDING REQUIREMENTS

It was a contractual requirement for Disclosing Barring Service (DBS) checks to be made on drivers employed on the contracts. The council did not actually get to see these checks. In fact it would be inappropriate for them to see. This wasn't because Trafford was in any way lax, it was a matter of how these checks work. Any contractor found not to applied the appropriate checks would find they were not able to bid for contracts.

Scrutiny may come back to this issue after meeting heads of schools

The Birmingham City Council Generic Risk Assessment was floated by scrutiny members. John was not entirely convinced that this risk assessment added anything to what was already in place in terms of safeguarding procedures but was happy to reconsider.

## MONITORING AND CLIENT SATISFACTION

Scrutiny were content that dynamic reviewing was taking place. The changes in September had caused problems and anxieties. We will want to revisit this subject after visiting a school or two.

## **Appendix 3**

**manchestereveningnews.co.uk 30<sup>th</sup> June 2015**

### **Cabbies in Salford taking special needs children to school lack 'safeguarding' training and background check records**

Todd Fitzgerald

Taxi drivers paid by a council to take children with special needs to school are not being given safeguarding training - and background checks are not recorded for every driver.

Salford council provides home-to-school transport for more than 800 pupils. Some 81 taxi companies are contracted, taking youngsters to 77 schools or specialist centres.

An independent audit report - labelled 'confidential' - states some taxi drivers ferrying children to school are not given safeguarding training and that Disclosure and Barring Service checks are not recorded properly for every driver. The DBS replaced Criminal Records Bureau checks, 'preventing unsuitable people from working with vulnerable groups, including children'. The issues raised in the report were deemed 'medium priority'.

'High priority' concerns were raised about the process of tendering for the services.

Auditors said the contract for ad hoc and emergency journeys was not awarded through the appropriate procurement channels.

The report states: "The results of this review enable us to provide a limited level of assurance with regard to the adequacy and operating effectiveness of the controls in place at the time of our audit."

In 2013/14, the total cost of the service was £2.7m.

A council spokesman said: "All drivers have a police check and all passenger assistants have the necessary safeguarding training before they start working for the council. "We are now planning to invite all drivers to safeguarding training and from 2016 a working knowledge of safeguarding will be an essential requirement."

The council says findings regarding DBS records have been 'rectified', adding: "This was a recording issue as all drivers are required to have DBS to apply for the contracts." The concerns come ahead of a move to 'train' some children with special needs currently provided with assisted transport to travel alone to school. It could save the town hall £120,000.

Council bosses insist only children capable of travelling alone on public transport will be 'taught' to do so when it is considered the 'right thing for them'. The city's Conservative group opposed the cut when it was announced earlier this year, removing it from its alternative budget.



## TRAFFORD COUNCIL

**Report to:** Executive  
**Date:** 26<sup>th</sup> October 2015  
**Report for:** Approval  
**Report of:** Executive Member Adult Social Services and Community Wellbeing and the Acting Corporate Director for Children, Families and Wellbeing

### Report Title

Section 75 Agreement – Better Care Fund

### Summary

Under the national guidance relating to the Better Care Fund the Council and Trafford Clinical Commissioning Group are required to formalise the funding associated with the Better Care Fund under a s75 agreement. Discussions have been taking place at the Better Care Fund Steering Group and the agreement has been finalised for approval.

The agreement identifies proposed use of funding of £15.544m for 2015-16.

### Recommendation(s)

That the Executive:

- 1) Approve the s75 agreement for the Better Care Fund for 2015-16 and the risk share included in the agreement
- 2) Agree that the Trafford Clinical Commissioning Group will host the s75 agreement

Contact person for access to background papers and further information:

Name: Paul Stevenson  
Extension: 4321

Background Papers:

Template s75 agreement prepared by Bevan Brittan on behalf of the national BCF Programme Office available at: <http://www.england.nhs.uk/ourwork/part-rel/transformation-fund/bcf-plan/risk-sharing/>

Section 75 agreement - FRAMEWORK PARTNERSHIP AGREEMENT RELATING TO THE COMMISSIONING OF HEALTH AND SOCIAL CARE SERVICES RELATING TO THE BETTER CARE FUND - TRAFFORD COUNCIL and NHS TRAFFORD CLINICAL COMMISSIONING GROUP, Version 10, July 2015

Relationship to Policy Framework/Corporate Priorities	Improving health and wellbeing of residents Value for money and low Council Tax
Financial	The financial implications are set out in Section 3 and 4 of this report.
Legal Implications:	The proposed agreement is based on a model produced nationally by Bevan Brittan.
Equality/Diversity Implications	N/A
Sustainability Implications	N/A
Resource Implications e.g. Staffing / ICT / Assets	None.
Risk Management Implications	The agreement includes a risk share schedule, which sets out risk share arrangements in the event of an overspend on the fund.
Health & Wellbeing Implications	The Better Care Fund is predicated on improving the overall Health & Wellbeing of residents of the borough.
Health and Safety Implications	N/A

## 1.0 Background

- 1.1 The Better Care Fund was introduced by the Government from 1<sup>st</sup> April 2015 consolidating a number of previous funding streams into one single funding stream. The expectations of the Government of having a Better Care Fund are to promote better integration of health and social services for individuals and deliver cost benefits across the whole system. All Councils are required to have a Section 75 agreement in place for the transfer of the funding and the associated monitoring of the Better Care Fund.
- 1.2 A model legal agreement for the Better Care Fund developed by lawyers, Bevan Brittan was made available nationally and this has been used as the basis for the agreement referred to in this report.
- 1.3 The agreement is between the Council and Trafford CCG and identifies proposed use of funding of £15.544m. The Council's share of funding under the agreement is £5.546m.

## 2.0 Proposed Section 75 agreement

- 2.1 The proposed Section 75 agreement is a detailed legal document and is available on request. This is based on the Bevan Brittan model and has been produced jointly by representatives the Better Care Fund Steering Group from Trafford Council and Trafford CCG.

Two particular aspects to highlight in respect of the agreement are:

1. The Better Care Fund will be hosted by Trafford CCG.
2. The agreement includes a risk share agreement (Schedule 2), under which any overspend on the fund relating to performance on reductions in non-elective admissions, will be shared on a 70% / 30% basis between the CCG and the Council respectively.

## 3.0 Financial Implications

- 3.1 No additional resources have been provided by the Government to create the BCF, instead existing funding streams, largely from the NHS, have been channelled into the Fund. Total funding paid to the Council under the BCF is £5,546,480. This comprises £3,546,480 of funding which was formerly paid as s256 funding and £2,000,000 for Protecting Social Care. The planned use of funding in the 2015-16 Financial Year is identified below.

<b>Service Area</b>	<b>Amount (£)</b>
Community equipment and adaptations	150,000
Telecare	
Integrated crisis and rapid response services	324,000
Maintaining eligibility criteria	407,000
Reablement services	400,000
Bed-based intermediate care services( Ascot)	783,000
Early supported hospital discharge schemes	440,480
Joint health and care teams/working	342,000

Other social care residential and nursing placements	700,000
<b>Sub-total</b>	<b>3,546,480</b>
Protecting Social Care	2,000,000
<b>Total</b>	<b>5,546,480</b>

3.2 In addition to the revenue expenditure outlined in the table in section 3.1 the Council directly received a total of £1,441,000 capital grant funding in 2015-16. £914,000 for Disabled Facility grants and a further £527,000 capital grant to support Adult Social Care activity. This funding is part of the overall funding incorporated into the Better Care Fund agreement and reported on through the governance arrangements described in Section 5.

#### **4.0 Risk**

4.1 The main risk around the Better Care Fund and the s75 agreement arises in relation to the savings assumed in the Better Care Fund, which are expected to arise from the targeted 3.5% reduction in non-elective admissions. If this reduction is not achieved the funding relating to this (£1.319m) needs to be paid to the Acute Sector, rather than being used for BCF purposes. Under the risk share agreement the Council will be responsible for 30% of this risk i.e. circa £400,000. As a prudent step the Council has set aside £400,000 in an earmarked reserve to cover this risk in this first year of operation.

#### **5.0 Governance Arrangements**

5.1 The governance arrangements are set out in detail in schedule 1 of the agreement and the main governance will be through the Better Care Fund Steering Group, which is accountable to the Health and Wellbeing Board.

5.2 In addition there is a requirement for CCGs to report quarterly and annually to NHS England on the use of the fund.

#### **Other Options**

6.1 It is a requirement of the Better Care Fund national guidance to enter into a Section 75 agreement between the Council and the CCG. The guidance sets out the expectations of the required agreement and a national template provided on which the Trafford agreement is based. Therefore no other options were considered.

#### **Consultation**

7.0 This is a legal agreement between the Council and Trafford CCG and does not require wider consultation.

#### **Reasons for Recommendation**

8.0 The reasons for the recommendations are set out in this report and included on the cover sheet.

**Key Decision** (as defined in the Constitution): Yes

**If Key Decision, has 28-day notice been given?** Yes

Finance Officer Clearance PS  
Legal Officer Clearance HK

A handwritten signature in black ink, appearing to read 'J.M. Lane', positioned above the signature line.

**[CORPORATE] DIRECTOR'S SIGNATURE** *(electronic)*...  
To confirm that the Financial and Legal Implications have been considered and the Executive Member has cleared the report.

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## TRAFFORD COUNCIL

**Report to:** Executive  
**Date:** 26<sup>th</sup> October 2015  
**Report for:** Decision  
**Report of:** Executive Member for Economic Growth and Planning

### Report Title

**Trafford Revised Statement of Community Involvement - approval for adoption**

### Summary

This report provides a summary of the consultation responses received following a six-week consultation stage which concluded in August 2015 in respect of the production of a revised Statement of Community Involvement (SCI) for Trafford. This report seeks approval of the amendments to the SCI and its formal adoption.

### Recommendation(s)

That the Executive:

1. Note the consultation responses;
2. Endorse the proposed Council responses set out in Appendix A;
3. Adopt the revised Statement of Community Involvement as set out in Appendix B.
4. Delegate responsibility for approving any minor amendments to the wording of the document, to the Director of Growth and Regulatory Services, prior to its publication.

Contact person for access to background papers and further information:

Name: Richard Roe (Director and Growth of Regulatory Services)  
Extension: 4265

Background Papers:  
None.

*Implications:*

Relationship to Policy Framework/Corporate Priorities	The revised SCI contributes to a number of Corporate Priorities, in particular: Economic Growth and Development and Reshaping Trafford Council
Financial	The preparation of the revised SCI is funded from the Strategic Planning budget within the existing EGEI Directorate's overall budget. The guidance in the SCI has been produced following a consultation stage and comments have been considered and where appropriate changes made to the SCI.
Legal Implications:	The revised SCI has been produced in accordance with the requirements of the Planning and Compulsory Purchase Act 2004, subsequent legislation such as the Localism Act 2011 and associated Regulations such as the Development Management Procedure Order (2015). In addition, the revised SCI is consistent with the Council's Constitution and in particular, the Scheme of Delegation.
Equality/Diversity Implications	The revised SCI sets out how the Council will engage with hard-to-reach groups and encourage them to get involved in the preparation of Planning Documents and determination of planning applications. In doing this, the Council will comply with the requirements of the Equality Act 2010 and the Public Sector Equality Duty.
Sustainability Implications	The main objective of the SCI is to promote engagement in the planning system in Trafford which will help in the realisation of social sustainability objectives in particular.
Resource Implications e.g. Staffing / ICT / Assets	The revised SCI has been prepared by staff within the existing Strategic Planning Team. The adopted document will be available to view electronically via the web.
Risk Management Implications	The revised SCI supports the delivery of the Council's Policy Planning engagement and Development Management function.
Health & Wellbeing Implications	None
Health and Safety Implications	None

## 1.0 Background

- 1.1 The Statement of Community Involvement (SCI) is a key document that forms part of the Local Planning Framework. The SCI sets out how and when the community (in its widest sense) will be involved in the preparation of a Local Plan and other planning documents and how they will be consulted on planning applications. It is a statutory requirement under the Planning and Compulsory Purchase Act (2004) for the Council to prepare a SCI.



- 1.2 The Council adopted its first Statement of Community Involvement in July 2006 and this was replaced by a revised version in February 2010 which ensured that the SCI was consistent with new and emerging legislation and to ensure that it would adequately guide the production of the Council's Core Strategy, which was adopted in February 2012.
- 1.3 Since the Planning and Compulsory Purchase Act came into force in September 2004, there have been a number of amendments to accompanying planning regulations, most recently the Town and Country Planning (Local Planning) (England) Regulations 2012. The 2012 regulations consolidate the existing 2004 Regulations and the subsequent amendments made to them, whilst also making new provisions and amendments to take into account the changes made by the Localism Act 2011, including the "Duty to Co-operate". In addition, the ten Greater Manchester authorities have agreed to produce a joint Greater Manchester Spatial Framework Development Plan Document (GMSF). The GMSF will provide the overarching framework to strategically manage sustainable growth and development across the conurbation over the next twenty years or so. This SCI will also set out how the community and other stakeholders will be involved in the preparation of the GMSF.
- 1.4 Given recent changes to legislation affecting both plan making and the taking of decisions on planning applications, coupled with changing circumstances in the production of development plans for and affecting Trafford, it is considered that it is necessary to review the existing SCI and update it to ensure it remains 'fit for purpose'.
- 1.5 The opportunity has also been taken to provide additional guidance on development management procedures, in particular those aspects relating to Planning Application Publicity and Neighbour Notifications.
- 1.6 A draft SCI was produced and a six-week public consultation held which concluded in August 2015. A total of eight organisations/individuals submitted comments. A summary of comments is listed below:
  - Text setting out the community and stakeholder involvement in the Greater Manchester Spatial Framework was issued by the GM Combined Authority to ensure all GM authority SCIs are consistent;
  - Request for more engagement at the pre-consultation stage of documentation production with key stakeholders and a methodology for registering stakeholders area of interest ;
  - Seeking a change to community engagement at the pre-planning application stage;
  - A range of comments were made on the planning application neighbour consultation process. These included access to all information concerning a planning application to be more easily available.
- 1.7 The comments received and the proposed Council responses are set out in Appendix A.
- 1.8 The Revised SCI has been produced to reflect the proposed Council responses, this is set out in Appendix B.

**Other Options**

The production and adoption of a revised SCI will ensure that consultation on planning documents and planning applications in Trafford will be clear, transparent and will ensure a high level of engagement from all communities. To not progress with a revised SCI would be contrary to both government guidance and would undermine the Council’s ability to make necessary planning guidance or take decisions on planning applications. For example:

- Without a revised SCI there would be inadequate guidance for the production of the GMSF and a lack of consistency with the other GM authorities with regards to the process for community and stakeholder engagement in the GMSF; or
- The lack of transparency in some aspects of the Council’s guidance on neighbour notifications has led to criticism from the Local Government Ombudsman and the proposed revisions to the SCI will help to address this criticism.

**Consultation**

A public consultation was held for six-weeks from 29<sup>th</sup> June to 10<sup>th</sup> August 2015. Materials were made available via the website, Council Offices and libraries. All consultees registered on the Local Development Framework database were informed in writing.

**Reasons for Recommendation**

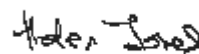
To note the comments received to the consultation on the SCI and to enable the adoption of the Revised SCI to ensure Trafford has an up to date and effective SCI.

**Key Decision Yes**

**If Key Decision, has 28-day notice been given? Yes**

**Finance Officer Clearance** (type in initials).....CK.....

**Legal Officer Clearance** (type in initials).....PC.....



**CORPORATE DIRECTOR’S SIGNATURE** (electronic)..... ..

To confirm that the Financial and Legal Implications have been considered and the Executive Member has cleared the report.

**Appendix A – Summary of consultation comments and Council response to Trafford draft Statement of Community Involvement – consultation July 2015.**

No.	Organisation	Consultation Comment	Proposed Council Response
1038-110	Minerals and Waste Planning Unit	We are pleased to see that both the Greater Manchester Joint Waste and Minerals Plans are listed within Section 2 of the draft SCI as documents which sit within the Local Plan for Trafford.	Comment noted.
1038-111	Minerals and Waste Planning Unit	In terms of consultation procedures for planning applications, we suggest that specific reference to minerals and waste applications be included under major developments (Section 3 paragraph 3.2).	It is not considered appropriate to identify each type of planning application in the SCI.
1038-112	Minerals and Waste Planning Unit	We are pleased to see that Greater Manchester Geological Unit has been identified within 'Other Consultation Bodies' for GMSF, Local Plans, Neighbourhood Plans, Supplementary and Other Planning Documents and planning applications. However, Greater Manchester Geological Unit is now referred to as the Minerals and Waste Planning Unit. Please therefore can reference to Greater Manchester Geological Unit be removed and replaced with the Minerals and Waste Planning Unit.	Amendment made in SCI.
1051-242	National Trust	The Trust states that the Council does not fully appreciate the role of the Trust in Trafford and that the Council has failed to notify the Trust of important proposals, in particular in respect of Local Development Framework documents being prepared that directly impacted upon its interests in respect of the future development of land that it holds as "investment land". Objection to text in para 2.34 and Appendix A section A4 relating to 'Other Consultation Bodies'. Specifically object to wording "... as and when this is deemed to be appropriate by the Council in relation to the subject matter and their area of interest.	The Council appreciates the role played by the Trust and seeks to engage with it as fully as possible. However section 2.34 and Appendix A4 reflect requirements set out in legislation (Town & Country Planning Act 2012 (18), therefore it's not appropriate to change the SCI in this respect.
1051-243	National Trust	A suggestion is made of how to record consultees interests in planning documents to help achieve the ambitions sets out in para 1.1 and 1.2. It is requested that text in the SCI is amended under Appendix A section A4 to read along the lines of: "The following groups/organisations will be consulted on GMSF, Local Plan, Neighbourhood Supplementary and Other Planning Documents and Planning Applications <i>in accordance with their stated interests as ascertained by occasional e-mails surveys, and</i>	The Council registers all parties and representors who have previously made representations on planning documents as set out in para 2.39 in the revised SCI and who have made a specific request to the Council to be kept informed. These bodies are advised by email or letter of any forthcoming consultation stages based on

No.	Organisation	Consultation Comment	Proposed Council Response
		<i>where there is no such up to date response then as and when it this is deemed appropriate by the Council in relation to the subject matter and their area of interest."</i>	their previously registered interest(s). The Council reviews and updates its consultation database regularly, to ensure it is as up to date as possible. As detailed above the wording of Appendix A4 of the SCI reflects legislation in relation to how the Council should consult stakeholders.
1051-244	National Trust	Para 2.4 should refer to Historic England.	Amendment made in SCI.
1074-163	Historic England	There is a minor correction needed in paragraph 2.4 which refers to English Heritage. This change has been included in an update to the Planning Practice Guidance on Duty to Co-operate.	Amendment made in SCI.
1096-189	Environment Agency	No objections or detailed comments to make on the Revised SCI.	Comment noted.
1295-123	Barratt David Wilson Homes	We ask that the SCI is sufficiently flexible and avoids prescribing consultation requirements for Developers at pre-application stage. We find a more bespoke approach that reflects each site to serve all better.	The SCI only encourages developers/applicants to engage in pre-planning application discussions with the local community. It is considered this is a positive and flexible approach which can help speed up the process of decision making and avoid objections being made at a late stage.
1296-103	Oldham Council	No comments to make.	Comment noted.
1345-101	New Economy	The SCI needs to reflect the position of the GMSF and to ensure the Trafford SCI is consistent with all other GM SCI's.	SCI amended to be consistent with GM SCI's and incorporates new text in relation to the GMSF.
1352-101	Local resident	Comment is made on the format of the draft consultation SCI and how it differs from the adopted 2010 version and how the document needs to be written in a more simplified manner for a lay-person, if the Council wants to implement paras 1.5 and 1.6.	It is considered that the format of the revised SCI is set out logically stating the purpose of the SCI, types of engagement for both local plan making and planning applications. It is a short document with a contents page to help with navigation and a glossary included.
1352-102	Local resident	A point is raised about the format of information relating to planning applications and how they need to be presented in an accessible and uncomplicated format for the public to view and comment on.	It is considered that details in relation to planning applications are available in an accessible and in as uncomplicated format as the material will allow. However, consideration will be given to providing

No.	Organisation	Consultation Comment	Proposed Council Response
			information in alternative formats as part of the on-going Service Improvement.
1352-103	Local resident	Comments are made regarding the vision in the 2010 adopted SCI and specifically how the element of it to offer a wide range of opportunities for local residents to contribute to the development in their area is applied in practice.	Although the Vision has been removed, the general principles have been carried through to the revised SCI. With regards to planning applications and engaging with the community, the Council encourages developers to engage with the local community prior to applying for planning permission (para 3.4 to 3.6). It would be inappropriate for the Planning Authority to set out in more specific details than this to allow for individual circumstances. However, the Local Planning Authority, as part of its on-going Service Improvement, will consider ways to improve community engagement.
1352-104	Local resident	A comment is made regarding the removal of text from the 2010 adopted SCI about the provision of staffed exhibitions for major or particularly contentious schemes at pre-planning application stage.	There is no planning legislation to require applicants to host pre-planning application consultation. However, the SCI does encourage applicants to engage with the community at the pre-planning application stage, with the method of consultation to be shared, ideally, with the Planning Service. The scope of the consultation would be flexible to reflect the nature of the scheme proposed. The wording in the SCI has been amended to clarify this.
1352-105	Local resident	Comments are raised about the inability to view comments made on planning applications via the website, they can only be viewed in the office on the paper file and results in the local community not being able to obtain the full picture.	For consistency reasons all comments received on a planning application are placed on the planning application file as hard copies and are available to view as a public document at the Council Offices, therefore providing a complete set of representations including other Service/stakeholder comments.
1352-106	Local resident	Comments are made regarding the adopted 2010 SCI and the	The revised SCI 2015 para 3.13 – 3.24

No.	Organisation	Consultation Comment	Proposed Council Response
		number of methods of consultation listed and they were not offered for the planning application the representor was involved in.	updates the range of methods available for the Planning Authority to consult with the local community. The Council has introduced a Pre-Planning Application process whereby applicants are able to discuss proposals principally for major, significant or contentious schemes with Council Officers. The Council does encourage applicants prior to submitting a planning application to consult with the local community and relevant agencies. Further to this it should be noted, however, that there is no planning legislation to require applicants to host pre-planning application consultation.
1352-107	Local resident	A comment is made to the delay regarding planning application decisions being uploaded on to the website. A suggestion is made for the Planning Authority to produce a monthly update on the stage of negotiations on planning applications and upload on to the website.	Decisions to approve or refuse a planning application are uploaded to the website at the point the decision is made. However, where a decision is 'minded to grant subject to S106 agreement', the formal decision remains pending, therefore the status on the website must remain 'awaiting decision' until the section106 has been signed.. Currently the first point of contact for an update on any planning application would be the website or the Case Officer. Further consideration will be given to this as part of the on-going Service Improvement Plan.
1352-108	Local resident	The omission of the post-permission liaison group from the 2010 SCI is raised.	A post-permission liaison group is no longer considered necessary. Instead the Planning Service monitors the delivery of planning applications via a range of methods including Building Control, Strategic Planning and Planning Enforcement.
1352-109	Local resident	Comment is made regarding the formulation or guidelines for the establishment of a post-permission liaison group.	A post-permission liaison group is no longer considered necessary. Instead the Planning Service monitors the delivery of planning

No.	Organisation	Consultation Comment	Proposed Council Response
			applications via a range of methods including Building Control, Strategic Planning and Planning Enforcement.
1352-110	Local resident	A request is made for the provision of a more user-friendly format of the neighbour notification letter i.e. a flow chart setting out the type of involvement available along with links to specific guidance which will be used to assess the planning application.	The role of the SCI is not, to set out the details of the neighbour notification letter, the SCI is there to provide guidance of how and when the community will be involved in planning matters before decisions are made. The types of engagement are listed under 'How we will consult' para 3.13 to 3.24. This comment will, however, be considered as part of the on-going Service Improvement Plan.
1352-111	Local resident	A suggestion is made to improve the method for recording those members of the public who may wish to be notified about a particular planning application going to a Planning Committee Meeting i.e. any person who has made a representation should have their details logged and advised when the Planning Committee Meeting is to be held.	It is not the role of the SCI to set out how members of the public are notified about a Planning Committee Meeting. The current method is in accordance with the Council Constitution and is detailed on the neighbour notification letter.
1352-112	Local resident	A comment is made to the very tight timescale between the publication of the Officer report prior to Planning Committee Meeting and therefore no opportunity for members of the public to view the report prior to the Planning Committee Meeting. Lastly a question is raised, if any counter-checks of the Officer report are undertaken.	It is not the role of the SCI to set out the procedure for the publication of Officer Reports for Planning Committee. In accordance with the Council Constitution, the Planning Officer reports are put on the Council website five clear working days before the Planning Committee meeting. Only in exceptional circumstances are Additional information reports made available on the day of Planning Committee to ensure members of the Planning Committee are aware of the latest position to inform their discussion and decision. All reports are checked by appropriate Senior Officers to ensure consistency with Local and National policy, prior to a formal decision being made.

No.	Organisation	Consultation Comment	Proposed Council Response
1352-113	Local resident	A comment is made regarding clarification for post-permission involvement needs to be clarified .	The SCI sets out the process of community engagement on both planning applications and local plans. The Planning Service monitors the delivery of planning applications via a range of methods including Building Control, Strategic Planning and Planning Enforcement. .
1352-114	Local resident	Reference is made to the Planning Guidance review document currently out for consultation and why the SCI is not listed in the Appendix of all documents under review and therefore seems to have been overlooked for Executive Approval.	The SCI is not listed within the Planning Guidance Review as it is not a planning guidance document. The SCI will be subject to Executive approval.
1352-115	Local resident	A comment is made for the continuation of the Pledge as stated in the 2010 adopted SCI with regard to providing ready and timely access to information regarding planning applications.	The general principles of the pledge from the adopted 2010 SCI have been carried through into the revised SCI by setting out how to engage with the process of planning applications, in particular in the 'Who we will consult' para 3.9 to 3.12 and 'How we will consult' para 3.13 to 3.24.
1352-116	Local resident	A comment is made for the continuation of the Pledge as stated in the 2010 adopted SCI with regard to clarification of the promotion of a range of opportunities for people to contribute ideas and explore options.	The general principles of the pledge from the adopted 2010 SCI have been carried through into the revised SCI by setting out how to engage with the process of planning applications and development planning documents, in particular in the 'Who we will consult' and 'How we will consult' sections. In particular meetings can be arranged to discuss key matters (see para 3.19).
1352-117	Local resident	A comment is made for the continuation of the Pledge as stated in the 2010 adopted SCI with regard to enabling people to take an early, active part on developing proposals.	The general principles of the pledge from the adopted 2010 SCI have been carried through into the revised SCI by setting out how to engage with the process of planning applications and development planning documents, in particular in the 'Who we will consult' and 'How we will consult' sections. In particular the Council does encourage developer/applicants to engage with the local



No.	Organisation	Consultation Comment	Proposed Council Response
1352-118	Local resident	A comment is made regarding the Pledge as detailed in the 2010 adopted SCI which states that a variety of means by which people can make a representation on formal proposals will be provided and how it is not considered that making written comments and speaking for three minutes at Planning Committee constitutes a variety of means.	<p>community at pre-planning application stage particularly for contentious schemes (para 3.4 to 3.6).</p> <p>Para 3.23 of the SCI states all representations must be made in writing via letter, email or via the website. Text is available on the Council's website to provide guidance as to the types of comment the Planning department can consider.</p> <p>With regard to speaking at Planning Committee, the Council's Constitution allows one person to speak for and one person against a development proposal for a period of three minutes each.</p>
352-119	Local resident	A comment is made for the continuation of the Pledge as stated in the 2010 adopted SCI with regards to keeping people informed of progress and outcomes in the planning application process, including explaining how their views have been taken in to account	<p>The SCI sets out the process of community engagement on both planning applications and local plans.</p> <p>Comments submitted are taken in to account as part of the assessment of the application and the associated conclusion(s) set out in the Chief Planning Officer's report.</p> <p>With regards to improving access to Officer reports, this is to be considered as part of the Service Improvement Plan.</p>

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## **Trafford Revised Statement of Community Involvement**

### **1. Introduction**

- 1.1. Trafford Council is seeking to ensure that the planning system in the borough is as transparent, accountable, socially inclusive and participatory as possible. The Council wishes to encourage more meaningful community involvement that provides opportunities for more active participation and discussion as early in the plan preparation and planning application process as possible.
- 1.2. The Statement of Community Involvement (SCI) is a key document that forms part of the Local Planning Framework. The SCI sets out how and when the community (in its widest sense) will be involved in the preparation of a Local Plan and other planning documents and how they will be consulted on planning applications. It is a statutory requirement under the Planning and Compulsory Purchase Act (2004) for the Council to prepare a SCI.
- 1.3. Since the Planning and Compulsory Purchase Act came into force in September 2004, there have been a number of amendments to accompanying planning regulations, including the Town and Country Planning (Local Planning) (England) Regulations 2012. The 2012 regulations consolidate the existing 2004 Regulations and the subsequent amendments made to them, whilst also making new provisions and amendments to take into account the changes made by the Localism Act 2011, including the "Duty to Co-operate". In addition, the ten Greater Manchester authorities have agreed to produce a joint Greater Manchester Spatial Framework Development Plan Document (GMSF). The GMSF will provide the overarching framework to strategically manage sustainable growth and development across the conurbation over the next twenty years or so. This SCI will also set out how the community and other stakeholders will be involved in the preparation of the GMSF.

#### **The Planning System and Community Involvement**

- 1.4. The SCI is one of the planning documents which the Council is required to produce. The document will guide all community involvement on planning matters in Trafford. The SCI has been prepared to ensure that the people of Trafford know when, how and for what reason they will be able to participate in planning matters. It also makes clear the expectations required of developers with regards to community consultation.
- 1.5. In producing the SCI, it is the Council's intention to promote effective public participation in the planning system. This will make sure that all sections of the community have the opportunity to be actively and continuously involved from the very start of the planning process both in the preparation and subsequent revision of development plans and in significant decisions on planning applications.
- 1.6. The aim is that by achieving greater community engagement throughout the planning process our stakeholders and other organisations will have an active involvement in identifying and addressing the main planning issues, and in the development of planning policies and proposals. In this way it is hoped that many objections will be resolved prior to the independent examination of local plans, and prior to the determination of planning applications and there will be greater local understanding and ownership of subsequent development in the Borough.

- 1.7. When preparing planning documents or determining planning applications the Council must comply with the community engagement requirements as set out in the adopted Statement of Community Involvement. When a Local Plan is submitted to the Secretary of State a "Statement of Compliance" will be required to be submitted outlining how the community engagement requirements of the Statement of Community Involvement have been met during the process.

#### **Why the Statement of Community Involvement has been updated**

- 1.8. This document provides a revision to the SCI that was adopted in February 2010. The need to update the SCI has been primarily necessitated as a result of changes in the regulations brought about by the publication of the Town and Country Planning (Local Planning) (England) Regulations 2012 as well as changes to local development management protocols.
- 1.9. The main changes introduced by the 2012 Regulations consolidate the existing Town and Country Planning (Local Development) (England) Regulations 2004 and the subsequent amendments made to them, and make new provisions and amendments to take into account the changes made by the Localism Act 2011, including the "Duty to Co-operate".

#### **The Council and Community Involvement**

- 1.10. The Trafford Partnership is Trafford's Local Strategic Partnership which brings together local residents and organisations from across the public, private, voluntary, faith and community sectors to work together to achieve the vision; For Trafford to be a place where our residents achieve their aspirations and where our communities are thriving.
- 1.11. The Trafford Partnership's refreshed Sustainable Community Strategy (Trafford Partnership Community Strategy and Vision 2021) sets out a framework for sustaining and improving the economic, social and environmental well-being of the Borough and its residents. The Local Plan will be the main means for delivering the spatial elements of the Community Strategy, and will provide the long-term spatial context within which the Community Strategy will be implemented and reviewed.
- 1.12. The Council will, wherever possible, link consultation on Planning Documents with similar engagement exercises being undertaken by the Trafford Partnership and associated Locality Partnerships as part of the Community Strategy implementation and review process to maximise the benefits of joint consultation, take advantage of best practice, reduce the risk of consultation fatigue and avoid unnecessary duplication of effort.
- 1.13. Further details about the Trafford Partnership and Locality Partnerships can be found here: <http://www.traffordpartnership.org/>

## **2. Plan Making in Trafford**

- 2.1. The Planning Framework in Trafford sets out the principles for how spatial planning will contribute to the achievement of the Trafford Partnership Community Strategy, within the context of national planning policies. The Planning Framework in Trafford consists of the following types of documents:

- The Local Plan - This currently includes the Core Strategy, the emerging Land Allocations Plan, The GM Joint Waste Plan, the GM Joint Minerals Plan, the Revised Unitary Development Plan (UDP) and the Policies Map;
- Supplementary Planning Documents - These documents are intended to provide additional information to assist with the interpretation and implementation of policies set out within the Trafford Local Plan: Core Strategy and the "saved" Policies and Proposals of the Revised UDP;
- Neighbourhood Plans – these are small area plans produced by the local community and which form part of the local statutory development plan and are the basis for determining planning applications in that area. At present, there are no formal Neighbourhood Plans in Trafford although there are two designated Business Neighbourhood Areas at Altrincham Town Centre and Trafford Park;
- Other Plan Documents – These support the production and implementation of the Planning Framework and include the Trafford Community Infrastructure Levy, the Annual Monitoring Report, the Local Development Scheme and the Statement of Community Involvement.

### **The Duty to Cooperate**

- 2.2. The duty to co-operate is a legal requirement of the plan preparation process. It was introduced by the Localism Act and requires local authorities to consider strategic planning beyond their boundaries and provides a mechanism to address larger issues than can be dealt with by the local planning authority working alone. This may include:
- The provision for new housing across a wider housing area;
  - The provision of major retail, leisure, industrial and other economic development;
  - The provision of infrastructure such as roads, rail, energy generation, etc.; and
  - The protection and enhancement of the natural and historic environment.
- 2.3. The Government expects that local planning authorities should work collaboratively with other bodies to ensure that strategic issues are properly co-ordinated and clearly reflected in individual Local Plans.
- 2.4. In relation to the GMSF, AGMA will ensure that the duty to cooperate with neighbouring Councils and other prescribed bodies is met, as set out in law. In doing so AGMA will engage constructively, actively and on an on-going basis and have regard to their activities so far as they are relevant, in order to ensure that strategic matters are given full consideration in the preparation of the GMSF.
- 2.5. The Town and Country Planning (Local Planning) (England) Regulations 2012 usefully clarifies the public bodies which the "duty to co-operate" also covers. This includes, amongst others:
- Neighbouring Local Authorities
  - Environment Agency
  - Historic England
  - Natural England
  - Civil Aviation Authority
  - Homes and Community Agency
  - Highways England
  - Highways Authorities
  - Integrated Transport authorities
  - Local Enterprise Partnerships
- 2.6. Appendix A – Consultation Bodies sets out those specific bodies which Trafford Council will co-operate with on strategic planning matters as part of its Duty to Cooperate. Further details about the Duty to

Cooperate and what it means for the preparation of planning documents can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/duty-to-cooperate/what-is-the-duty-to-cooperate-and-what-does-it-require/>

- 2.7. **The Greater Manchester Spatial Framework** - The ten Greater Manchester authorities have agreed to produce a joint Greater Manchester Spatial Framework Development Plan Document (GMSF). The GMSF will provide the overarching framework to strategically manage sustainable growth and development across the conurbation over the next twenty years or so. Principally, the GMSF will identify the housing numbers and employment floorspace needs and associated infrastructure requirements, as well as identifying the key broad opportunity areas where this growth should be focused.
- 2.8. The ten districts have each resolved to delegate the formulation of the GMSF to the Association of Greater Manchester Authorities (AGMA). AGMA act on the ten districts' behalf on the consultations on the GMSF. This section of Trafford Council Statement of Community Involvement sets out how the community and other stakeholders will be involved in the preparation of the joint GMSF.
- 2.9. However, the Greater Manchester Agreement provides for a directly elected mayor with powers over strategic planning, including the power to create a statutory spatial framework for GM (with a unanimous vote of the Mayor's cabinet). Legislation is required to enable these changes and it is anticipated that the first city region Mayor elections will take place in early 2017. The governance of the document will transfer from a joint development plan document by the ten districts to the GMSF produced by GM Mayor/Greater Manchester Combined Authority. The consultation arrangements will need to be reviewed at this time.

#### **Who will AGMA involve?**

- 2.10. The following groups will be consulted where appropriate:
- Specific consultation bodies – organisations that AGMA are required to consult throughout the plan preparation process, including those responsible for services, utilities and infrastructure provision, Parish Councils in and adjacent to Greater Manchester, adjoining councils and government departments, where appropriate.
  - Local organisations - community and voluntary bodies with an interest in Greater Manchester.
  - Businesses – those with business interests in Greater Manchester and bodies representing the interests of businesses operating in Greater Manchester.
  - Landowners, developers and agents – those who have a direct interest in future development and have a major role to play in providing the facilities and services the district needs.
  - The general public - those who live in, work in or visit Greater Manchester as well as those who have expressed an interest in the subject matter.

#### **When will AGMA involve you?**

- During preparation, as appropriate, inviting representations on what the GMSF should contain, when AGMA is gathering evidence, identifying the issues and developing the options for addressing the issues. Representations will also be invited on a draft document

during a specified time period. Comments that are submitted will be considered prior to the next stage.

- At the publication stage, when the proposed submission version of the GMSF (the draft GMSF we want to adopt) is published to allow formal representations to be made for a period of at least 6 weeks on the soundness of the plan and whether it complies with legal requirements. Significantly, only representations made at this stage can be considered at the public examination.
- At the submission stage the GMSF and associated documents, including all the representations made at the publication stage, will be submitted to the Government (this is not an opportunity to submit additional comments). Following submission an independent inspector will be appointed to undertake a public examination. People who made representations at the Publication stage can appear at the examination.

### GMSF Preparation Stages



#### How will AGMA involve you?

- AGMA will contact appropriate organisations and individuals directly, by email or by post.
- AGMA will publicise consultations by methods such as the AGMA website and each of the ten districts' web sites, press releases, social media, meetings and workshops.
- AGMA will make consultation documents available on the AGMA website and each of the ten districts' websites, at the principal office of each of the ten districts and at selected public libraries.
- AGMA will publish comments received, or a summary of them, as soon as possible and explain how they have been taken into account in preparing the plan.<sup>1</sup>

2.11. If you wish to register your interest in being informed of future GMSF consultations please contact [gmsf@agma.gov.uk](mailto:gmsf@agma.gov.uk). Further information about the GMSF is available on the AGMA website: [www.agma.gov.uk](http://www.agma.gov.uk).

#### Trafford Local Plan Documents – The Process

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<sup>1</sup> The exceptions to this general principle occur at the 'publication' stage of the plan when representations are passed to the independent inspector to consider at the public examination and following the examination when the inspector may consult on proposed modifications to the plan. At these stages we are not therefore in a position to explain how comments have been taken into account.

- 2.12. All local authorities are required to produce a Local Plan with the aim of providing a more flexible planning system that adapts to changing priorities and which seeks to secure sustainable development. Local Plan Documents are planning documents that have been subject to independent testing and once adopted form part of the Statutory Development Plan. These are the documents against which planning applications are assessed. Planning decisions must be made in accordance with these documents unless material considerations outweigh the need to stick to their policies.
- 2.13. The Council will consult widely during the preparation of Local Plan documents, inviting representations on what they should contain, the supporting evidence, the key issues and the options for addressing the issues. Representations will also be invited on a draft document during a specified time period. Comments that are submitted will be considered prior to the next stage.
- 2.14. At the publication stage, when the proposed submission version of the document is published, the Council will allow formal representations to be made for a period of at least 6 weeks on the soundness of the plan and whether it complies with legal requirements. Following submission an independent inspector will be appointed to undertake a public examination. People who made representations at the Publication stage may be able to appear at the examination, at the Plan Inspector's discretion.
- 2.15. The Local Plan sets out how we will plan the future of development in Trafford. It will guide new developments to appropriate locations, while protecting our natural environment and built heritage, and provides guidance to developers on submitting planning applications.
- 2.16. The Local Plan is shaped by the National Planning Policy Framework - the top tier of planning policy. The Framework provides guidance to local authorities and other agencies on planning policy and the operation of the planning system. It covers issues such as housing, green belts, economic growth, heritage, sustainable development, biodiversity, transport, minerals, open space, sport and recreation.
- 2.17. Further details on the Trafford Local Plan and the documents that make it up, can be found here: <http://www.trafford.gov.uk/planning/strategic-planning/local-development-framework/local-plan.aspx>. Further details about local plan preparation and the statutory process that needs to be followed can be found here: [http://planningguidance.planningportal.gov.uk/blog/policy/achieving-sustainable-development/plan-making/#paragraph\\_150](http://planningguidance.planningportal.gov.uk/blog/policy/achieving-sustainable-development/plan-making/#paragraph_150)  
<http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/local-plans-key-issues/>.
- 2.18. A list of consultation bodies who would be involved in the preparation of the Trafford Local Plan can be found in Appendix A.

#### **Supplementary Planning Documents**

- 2.19. Supplementary Planning Documents are non-statutory planning documents prepared by the Council in consultation with the local community. These documents are intended to provide additional information to assist with the interpretation and implementation of policies set out within the Trafford Local Plan: Core Strategy and those Policies and Proposals of the Revised UDP which have not been replaced by the Core Strategy.
- 2.20. SPDs will be taken into account as a material consideration when the Council makes its decision on the many planning applications that are submitted. The weight given to Trafford's SPDs is considerable, as they are prepared in consultation with the public, revised and then approved for development control purposes by the Council. The process for adopting SPDs is similar to that for Local Plan documents in that there is a preparation/scoping phase, and a formal consultation prior to adoption. Unlike, Local



Plan documents, however, SPDs are normally much shorter in length and go through a less involved production process with no formal Submission or formal examination by an independent planning inspector.

- 2.21. Further details on the Council's Supplementary Planning Documents can be found here: <http://www.trafford.gov.uk/planning/strategic-planning/local-development-framework/supplementary-planning-documents.aspx>. Further details about the preparation of Supplementary Planning Documents can be found here: [http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/adoption-monitoring-and-supplementary-planning-documents/#paragraph\\_028](http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/adoption-monitoring-and-supplementary-planning-documents/#paragraph_028)
- 2.22. A list of consultation bodies who would be involved in the preparation of Supplementary Planning Documents in Trafford can be found in Appendix A.

### **Neighbourhood Plans**

- 2.23. Neighbourhood planning is a new right for communities introduced through the Localism Act 2011. For the first time, local people can have a major statutory say in helping to shape development in the areas in which they live. It empowers communities to shape the development and growth of a local area through the production of a neighbourhood plan. Plans will become part of the local statutory development plan and will form the basis for determining planning applications in that area.
- 2.24. Communities will be in the driving seat of neighbourhood planning. The local parish or town council will lead the work. In areas without a parish council, Neighbourhood Forums will need to be established and take the lead. In areas which are predominately commercial (such as a high street or town centre), a Business Neighbourhood Plan should be produced by a Business Neighbourhood Forum.
- 2.25. The local planning authority must provide support and make the necessary decisions at key stages, for example, it will organise an independent examination and, as the responsible authority for running elections in the area, the neighbourhood referendum at the end of the process. The referendum ensures that the local community has the final say on whether a neighbourhood development plan comes into force in their area. For a Business Neighbourhood Plan, there are two referenda – one for residents and one for non-domestic rate payers. This need for a local vote on whether to adopt a Neighbourhood Plan or not is a unique feature and distinguishes it from Local Plans in terms of the procedures involved.
- 2.26. Further details on the Neighbourhood Plans in Trafford can be found here: <http://www.trafford.gov.uk/planning/strategic-planning/local-development-framework/neighbourhood-planning.aspx>. Further advice on Neighbourhood Planning and details of the process of preparing and adopting Neighbourhood Plans can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/neighbourhood-planning/>
- 2.27. A list of consultation bodies who would be involved in the preparation of Neighbourhood Plans in Trafford can be found in Appendix A.

### **Other Planning Documents**

- 2.28. The **Community Infrastructure Levy** (also known as CIL) allows Local Authorities in England and Wales to set a financial levy on developments to provide for essential infrastructure to support planned growth. CIL charges will be based on the size, type and location of the development proposed. The levy will be applied as a charge on each square metre of new building, and most developments in Trafford will be liable for it. The Trafford CIL Charging Schedule came into effect on 07 July 2014. Further details on the Council's CIL regime can be found here: <http://www.trafford.gov.uk/planning/strategic-planning/local-development-framework/community-infrastructure-levy.aspx>. Full details on the process involved in the preparation and review of Community Infrastructure Levies can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/community-infrastructure-levy/>
- 2.29. The Council's programme for the preparation of development plans can be found in the **Local Development Scheme** (also known as the LDS). The Local Development Scheme is a public statement which sets out the Council's project plan for the production and review of Planning documents, including a description and timetable for each individual document. The LDS is available on the Council's website <http://www.trafford.gov.uk/planning/strategic-planning/local-development-framework/local-development-scheme.aspx>. More information about Local Development Schemes can be found here: [http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/preparing-a-local-plan/#paragraph\\_009](http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/preparing-a-local-plan/#paragraph_009)
- 2.30. The **Statement of Community Involvement** (SCI) sets out how we involve people in preparing planning policies and on planning applications. It includes details about who will be involved, consulted with and how and when this will be done. Further details of the Council's current SCI can be found here: <http://www.trafford.gov.uk/planning/strategic-planning/local-development-framework/statement-of-community-involvement.aspx>. Further guidance on Statements of Community Involvement can be found here: [http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/preparing-a-local-plan/#paragraph\\_017](http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/preparing-a-local-plan/#paragraph_017)
- 2.31. An integral part of the planning system is the requirement for the Council to prepare an **Authority Monitoring Report** (AMR) each year. This report contains information on the implementation of the Local Development Scheme and the extent to which planning policies are achieving their purpose. The most up-to-date and previous Authority Monitoring Reports are available on the Council's website: <http://www.trafford.gov.uk/planning/strategic-planning/local-development-framework/authority-monitoring-report.aspx> and more guidance about Authority Monitoring Reports can be found here: [http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/adoption-monitoring-and-supplementary-planning-documents/#paragraph\\_027](http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/adoption-monitoring-and-supplementary-planning-documents/#paragraph_027)
- 2.32. The Council has to maintain up to date information from survey and evidence gathering in order to underpin the preparation of its planning policies and proposals. The monitoring of this **Evidence Base** is one of the key indicators of a need to prepare or review a Local Plan Document and covers a wide range of issues including housing and employment land, retail development, open space, flood risk, school provision, etc. Where possible and appropriate, the Council will seek the involvement of relevant groups and organisations in the development of this information base with a view to ensuring reliable and robust evidence which is widely accepted as common ground. Groups and organisations will be selected from the list of specific and general consultees listed in Appendix A as appropriate. Further details of the Council's current Evidence Base can be found here: <http://www.trafford.gov.uk/planning/strategic-planning/local-development-framework/evidence-base-and-monitoring.aspx> . Further guidance on the use of an Evidence Base in the preparation of

planning documents can be found here:  
[http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/preparing-a-local-plan/#paragraph\\_014](http://planningguidance.planningportal.gov.uk/blog/guidance/local-plans/preparing-a-local-plan/#paragraph_014)

- 2.33. **Sustainability Appraisal (SA)** is a key part of developing good planning documents in Trafford. It has to be carried out at all stages of Plan preparation to ensure the documents are assessed against social, environmental and economic objectives and are as sustainable as possible. Further details about sustainability appraisal and the specific requirements for the appraisal of Local and Neighbourhood Plans can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/strategic-environmental-assessment-and-sustainability-appraisal/>
- 2.34. A list of consultation bodies who would be involved in the preparation of Other Planning Documents can be found in Appendix A.

#### **Trafford Local Plan - Who Will We Consult?**

- 2.35. It is important to consult a broad range of groups at various stages in the preparation of Local Plan Documents and Supplementary Planning Documents. The key groups are listed below:
- The general public;
  - Other Council Services;
  - Neighbouring Local Planning Authorities – e.g. Manchester City Council, Cheshire East, etc.;
  - Town & Parish Councils – e.g. Partington Town Council, Warburton Parish Council, etc.;
  - Resident/ Community Groups;
  - Businesses/ representative bodies e.g. Altrincham and Sale Chamber of Commerce;
  - The Trafford Partnership & Locality Partnerships (Local Strategic Partnership Members);
  - Central Government Departments and Agencies;
  - Statutory Bodies;
  - Interest Groups/ representative bodies;
  - Hard to Reach Groups/ representative bodies including the young; the elderly and the disabled;
  - Minority groups/ representative bodies including religious racial, ethnic or national groups
- 2.36. In preparing or revising Local Plan Documents, the Council is required by legislation to consult formally a number of specific bodies to the extent that it considers the proposed subject matter of the document affects them. Legislation and Government guidance also identifies a range of general bodies and other consultees. The Council must consult each of these as it considers appropriate. A full list of Consultees is set out in Appendix A.
- 2.37. The Council has a formal requirement to fulfil the "Duty to Co-operate" and therefore the Council will undertake a proactive and collaborative approach with adjoining authorities and other public organisations, where necessary, when completing the various stages of Plan preparation.
- 2.38. The Council maintains a database of individuals who have expressed an interest in the Development Planning Framework. This enables the community to register to be involved throughout the planning process.

#### **Trafford Local Plan - How Will We Consult?**

*Website:*

- 2.39. The Council's website ([www.trafford.gov.uk](http://www.trafford.gov.uk)) is used to display all the latest Council publications and consultation documents, together with associated explanatory information, response forms and contact details.
- 2.40. All consultation documents will be contained on our consultations webpage (<http://www.trafford.gov.uk/planning/strategic-planning/local-development-framework/local-plan-consultations.aspx>) to allow businesses and residents to obtain council proposals and documents and allow everyone to be kept fully informed of progress and future consultation events whilst also viewing responses that others have made. All correspondence will include direction to the web address. The website will be used extensively for all elements of the Planning Framework evidence base and at all stages of document preparation.

*Social Media:*

- 2.41. The Council will use any all or all of the @TraffordCouncil, @TMBCPlanning, @TPAction and @TraffordBiz Twitter accounts to publicise consultations on planning documents.

*Publicity Materials:*

- 2.42. Depending on the type of document being produced, the Council may choose to produce publicity material giving details of the consultation process such as a public notice or advert in a local newspaper.

*Availability of Documents:*

- 2.43. During the consultation period documents will be made available for inspection during normal opening hours for a minimum of 6 weeks at:
- Trafford Town Hall, Talbot Road, Stretford, Manchester M32 0TH;
  - Sale Waterside Offices: Waterside House, Sale, M33 7ZF
  - And the following libraries: Altrincham Library; Coppice Library; Hale Library; Lostock Library; Old Trafford Library; Partington Library and Wellbeing Centre; Sale Library; Stretford Library; Timperley Library; Urmston Library; Woodsend Library. For more information about location and opening hours go to <http://www.trafford.gov.uk/leisureandculture/libraries/librariesintrafford/>
- 2.44. Following adoption, documents will be retained at those locations in accordance with statutory requirements.

*Availability of Officers:*

- 2.45. A planning officer will be available to deal with enquiries about the documents over the telephone or face to face at Trafford Town Hall, during normal office hours. The Planning Service has a central email address [strategic.planning@trafford.gov.uk](mailto:strategic.planning@trafford.gov.uk) and phone number 0161-912-3149 through which enquiries can be made.

*Meetings:*

- 2.46. Where a specific issue is raised, consideration will be given to requests for meetings with groups, organisations, individuals, and communities.

*Stakeholder Workshops:*

- 2.47. The Council has made extensive use of Stakeholder Workshops in the past to enable interested bodies to discuss planning issues in a detailed and supportive forum. This will continue in the future and will be particularly used at the early stages of plan preparation. A record will be kept of Stakeholder Workshop proceedings.

*Meetings with Partnerships and Communities:*

- 2.48. The Council will inform and consult Town & Parish Councils, Neighbourhood Forums, Neighbourhood Partnerships, Town Centre Partnerships, Locality Partnerships, Ward Members and other groups on a regular basis during the production of Local Plan Documents.

*Hard to Reach Groups:*

- 2.49. The Council will make every effort to engage with these groups directly and/or through representative organisations, whether local or national, and encourage them to get involved in the preparation of Planning Documents. In Trafford, hard to reach groups are considered to be:
- Young People
  - Frail Elderly
  - People with disabilities - mobility impaired, visually impaired and hearing impaired
  - Black Minority and Ethnic Groups
  - Gypsies and Travellers and Travelling Showpeople
- 2.50. Documents can be made available in large type, Braille, in audio format and in other languages upon request. Opportunities to involve hard to reach groups through other Council services (e.g. Public Health, Services for Children, Young People and Families) will be explored. In preparing Local Planning Framework Documents the Council will comply with the requirements of the Equality Act 2010 and the Public Sector Equality Duty.

**Trafford Local Plan - How Will We Make Decisions?**

- 2.51. Based on the Local Authorities (Functions and Responsibilities) (Amendment) (No. 2) (England) Regulations 2004 and recognising the Council Constitution and Schemes of Delegation for the Council, the levels of political responsibility for the production of Local Planning Framework documents are as follows.
- 2.52. For each Trafford Local Plan Document and the Trafford Community Infrastructure Charging Schedule:
- The approval of documents for the purposes of consultation will be undertaken by the Council's Executive.
  - Full Council Resolution is required for submission and adoption stages following consideration by the Executive.
- 2.53. For each Supplementary Planning Document, the Authority Monitoring report, Local Development Scheme, Statement of Community Involvement and other documents:
- The approval of documents for the purposes of consultation on Supplementary Planning Documents and the Statement of Community Involvement will be undertaken by the Council's Executive Member for Economic Growth and Planning.
  - A decision of the Council's Executive is required for adoption of Supplementary Planning Documents and the Statement of Community Involvement. The Executive will also be required to approve the Authority Monitoring Report and the Local Development Scheme. Such decisions are likely to be "Key Decisions" as they affect communities in more than two wards and would be subject to the Council's Scrutiny Procedure Rules.

## Planning Applications

- 3.1. The Council's Planning Service is responsible for determining all planning applications submitted to the Council. The Council recognises the value of public involvement in decisions about developments in Trafford and this SCI sets out the Council's processes for involving communities in the process of dealing with planning applications.

### **Types of planning application**

- 3.2. The Council's Planning Service receives approximately 2,500 planning applications per year. These include applications for planning permission and those for Listed Building Consent, Advertisement Consent, etc. More details about the different types of planning applications can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/making-an-application/types-of-application/>
- 3.3. Development proposals fall into different categories of application type which include major, minor and other types of application and this can influence the level of community involvement that may be undertaken. Almost 55-60% of applications in Trafford are from householders for extensions and alterations to dwellings, and 2-3% for major developments such as large housing or retail schemes.

### **Pre-Planning Application Discussions**

- 3.4. The aim of the process is to encourage discussion with a range of bodies including the local community before a formal application is made. It may then be possible to carry out changes to the proposal to respond to points raised by officers, stakeholders or the community, and therefore avoid objections being made at a late stage. If modifications are carried out at pre-application stage, the application is likely to be determined more quickly as the need for changes after the application has been submitted will be reduced. Small scale developments such as house extensions will generally not require pre-application community involvement but applicants are encouraged to discuss their proposal with neighbours and people who are directly affected, prior to submitting an application. Further information on the pre-application stage can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/before-submitting-an-application/>
- 3.5. Due to the commercially sensitive nature of pre-application discussions, the Council does not generally carry out wider public consultation on them. However, the Council does encourage all developers of major, significant or contentious applications to undertake consultation with the local community and relevant agencies, such as Highways England, the Environment Agency and Transport for Greater Manchester, prior to the submission of a planning application.
- 3.6. The consultation procedures should ideally be agreed with the Council prior to commencement as part of pre-application discussions with Council officers and members. Council Officers will encourage developers to engage with the local community. Staffed exhibitions, if appropriate, will be encouraged for major or particularly contentious schemes. They should be held locally to the proposed development, over a number of days and at varying times of day to ensure their accessibility to all sections of the community. Council officers will not be involved in these pre-application exhibitions.
- 3.7. A Record of Community Involvement should form part of any subsequent planning application. This should include details of all publicity carried out, including a record of all persons or bodies consulted or who attended meetings/exhibitions, a record of representations received and the developer's

response to them. A summary of the Record of Community Involvement will be included in any reports on that planning application.

- 3.8. The Council provides a comprehensive pre-application advice service for business. The service is subject to a modest fee for which applicants are entitled to a meeting with officers and a written response which will seek to provide clear guidance on the acceptability of a proposal. In addition, pre-application advice may form part of a wider Planning Performance Agreement (PPA).

#### **Planning Application - Who Will We Consult?**

- 3.9. The Council is committed to involving communities in Trafford in the planning application process and will actively seek the views of the community on all planning applications. The Council's arrangements for publicity and notification will never be less than the statutory minimum and will in most cases exceed it.
- 3.10. In addition to pre-application discussions and wider community involvement there are statutory consultees which the Council must consult on planning applications. The Town and Country Planning (Development Management Procedure) (England) Order 2015 includes a schedule of bodies that should be consulted on planning applications. Exactly which body is consulted depends on the nature of the application but includes organisations such as the Environment Agency, Historic England, Parish Councils and the Local Highway Authority. Statutory consultees have a minimum of 21 days in which to respond. Appendix A lists those consultees who may be consulted on planning applications. Further details on the statutory requirements for consulting on planning applications can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/consultation-and-pre-decision-matters/>
- 3.11. It is the Council's usual practice to inform occupants and owners, if known, of neighbouring properties that a planning application has been received on a site. The extent of neighbour consultation will depend on the nature of the proposed development. Direct neighbour notification by letter (or where appropriate by e-mail) will be undertaken on all planning applications giving the recipient a minimum of 21 days in which to comment. Full details of the Council's approach to neighbour notification can be found in Appendix B.
- 3.12. As general practice, where a new application is made within 12 months of a previous decision or date of withdrawal of an earlier application, all those previously notified will receive direct notification of the new submissions. The case officer will exercise discretion as to whether those who commented on the application will also be directly notified.

#### **Planning Application - How will we consult?**

- 3.13. The Council regards direct and indirect methods of publicity on planning applications as complementary and will use the following methods/media to publicise an application once it has been validated. It is not necessary for any person or body to have been the recipient of a notification letter in order to make valid representations prior to the determination of a planning application.

#### *Website:*

- 3.14. A list of applications received each week is displayed on the Council's website (<http://www.trafford.gov.uk/planning/planning-applications/weekly-planning-list/weekly-planning->

[lists.aspx.uk](#)). Copies of this 'weekly list' are also distributed to Borough Councillors, Parish Councils, libraries and relevant local organisations, registered parties etc.

- 3.15. There is also a public access database available on the Council's website (<http://publicaccess.trafford.gov.uk/online-applications/>) which allows planning application details to be viewed online including the planning application forms, plans and related documents.

*Social Media:*

- 3.16. The Council will use any or all of the @TraffordCouncil, @TMBCPlanning and @TraffordBiz Twitter accounts to publicise planning applications as appropriate.

*Public Notices:*

- 3.17. Site Notices will be posted for major applications, applications which do not accord with the development plan, that are accompanied by an environmental statement, that may affect a Right of Way, those that are in and adjoining Conservation Areas and for Listed Buildings. Site notices will also be used for publicising proposals wherever direct notification would be difficult to achieve, including employment development within the Main Employment Areas. Site notices will be posted on or near the application site for no less than 21 days.

*Availability of Documents*

- 3.18. Copies of all applications and appeals are available to view electronically at your nearest library or by appointment at Trafford Town Hall during normal office hours. In some major cases, plans and details will be displayed in Council offices or other public buildings to further facilitate public viewing and accessibility. Following approval, documents will be retained in accordance with statutory requirements.

*Availability of Officers*

- 3.19. Officers of the Council's Planning Service will be available by appointment during normal office hours to discuss applications or alternatively they can be contacted by telephone, e-mail or letter. The Service has a central email address [development.control@trafford.gov.uk](mailto:development.control@trafford.gov.uk) and phone number 0161-912-3149 through which enquiries can be made.

*Meetings*

- 3.20. Where a specific issue is raised, consideration will be given to requests for meetings with groups, organisations, individuals, and communities for applications where there are issues of scale and controversy, and/or which are contrary to the Development Plan for Trafford. This may be in the form of a public exhibition or a one-off open public meeting, as appropriate, and may also involve a specific press release.
- 3.21. As stated above, a minimum period of 21 days is given in which members of the community can comment on applications for development, whether publicised by site notice or neighbour notification letter and all representations received prior to the determination of the application will be taken into account.
- 3.22. When significant amendments to an application are proposed before determination the Council will re-consult neighbours, Parish Councils, statutory consultees and other interested parties, as appropriate, normally giving 10 days in which to comment. In deciding whether this is necessary, the following considerations may be relevant:



- were objections or reservations raised in the original consultation stage substantial and, in the view of the local planning authority, enough to justify further publicity?;
- are the proposed changes significant?;
- did earlier views cover the issues raised by the proposed changes?;
- are the issues raised by the proposed changes likely to be of concern to parties not previously notified?

3.23. Further guidance on reconsultation can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/consultation-and-pre-decision-matters/re-consultation-after-an-application-has-been-amended/>

3.24. All representations must be made in writing by letter, e-mail to [development.control@trafford.gov.uk](mailto:development.control@trafford.gov.uk) or through the Council's website ([www.trafford.gov.uk](http://www.trafford.gov.uk)) or. All comments we receive about an application are taken into account before a decision is made. By law, any comments you make about an application must be made available for public viewing. The Council is unable to acknowledge receipt of comments received.

3.25. When an application is to be determined by the Planning Development Control Committee, members of the public or other interested parties may address the Committee, for or against a proposal. Anyone wishing to speak at planning committee must let the Council know in writing before noon of the day before the committee meeting. At present, the Council's Constitution allows one person to speak for and one person against a development proposal for a period of 3 minutes each.

#### **Planning Application - How Will We Make Decisions?**

3.26. Views expressed by members of the community will be considered and assessed when deciding applications and any representation received will be summarised and included in reports for those applications decided under delegated powers or by the Planning Development Control Committee. Most decisions on planning applications in Trafford (approximately 92%) are delegated to officers while only around 8% of decisions are made by elected members on the Council's Planning Development Control Committee. The Officer reports can be viewed following the decision on the Council website if the decision was taken by Planning Development Control Committee or by contacting the Case Officer if the decision was made under delegated powers.

3.27. Further details about who makes a decision on a planning application can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/determining-a-planning-application/who-in-a-local-planning-authority-makes-a-planning-decision/>. The Council's scheme of delegation is contained with Part 3 of the Council's Constitution: <http://www.trafford.gov.uk/about-your-council/about-us/docs/part-3-constitution-responsibility-for-functions.pdf>.

3.28. All Trafford Councillors are notified of applications submitted to the Council and may 'call-in' any of them for decision by the Planning Committee. In addition, controversial matters (where 6 or more people from different addresses write in with views contrary to the officers' recommendation) and certain major proposals will be decided by the Committee.

3.29. For attendees of Planning Committee, guidance is set out on the reverse of the neighbour notification letter, stating clearly how and the timeline in which to notify the Council if the recipient would like to speak at the Planning Committee. Also a weblink to guidance on 'how to tell us your view when speaking at a Committee meeting' is detailed. The Council website does set out guidance for those

attending a Planning Committee meeting. For applications being determined by Committee, persons or organisations who have made representations on the application, will be notified by telephone or in writing of the Committee date where requested. Committee agendas are posted on the Council's web site five clear working days prior to the Committee meeting.

- 3.30. All planning decisions, including reasons for refusal or conditions, are published on the Council's website whether or not the decision is made by the Planning Development Control Committee or under delegated powers.
- 3.31. If an appeal is lodged against a refusal of planning permission, the Council will write to all the groups and persons notified or who have expressed an interest in the original application to advise them of the appeal. Interested parties will be notified by the Council that representations will be sent to the Planning Inspectorate with the appeal details and will be given a further opportunity to comment at that stage. A list of appeals and appeal decisions is available on the Council's website.

## 4. Making It Happen

### Monitoring

- 4.1. The success and effectiveness of the Statement of Community Involvement will be reviewed through the Authority Monitoring Report (AMR). This will ensure that the stakeholders whom the Council wishes to involve, and the techniques for community involvement engagement, remain appropriate and are achieving an effective and representative level of public involvement across all sectors.
- 4.2. Monitoring will also be built into each community involvement activity, e.g. through the Consultation Statements associated with each stage of Local Plan production and customer survey questionnaires on planning applications, in order to determine:
  - The number of people and groups participating in consultations - including the number of "hard to reach" people or groups
  - The extent to which representations effect change
  - Whether participants value their involvement in the process
  - Which techniques generate the most effective response
  - Whether participants have any suggestions for improving or enhancing community involvement.
- 4.3. The emergence of new interested or representative groups and will make additions to the consultation lists appended to the SCI as necessary.
- 4.4. These indicators will be used to review the SCI and changes will be considered where there has been a particularly low level of community involvement. Any necessary changes will be incorporated into a revised SCI. The Council will apply the process and principle of continuous monitoring and review to all consultation documents.

### Resources

- 4.5. It is important that sufficient resources are made available to implement the consultation measures set out in this statement. Community involvement for plan making and that in relation to the determination of planning applications will be overseen by Planning Services. The Council's communications team will offer support and advice on public and media relations and contact. The Council's Partnerships and Communities Service will assist in working with the Trafford Partnership.
- 4.6. At this present time it is envisaged that consultation measures can be met through in-house resources, it is not anticipated that any external expertise will be needed.

### Contact Details

- 4.7. For all matters relating to Planning Documents and to planning or other applications, or if you want to arrange a pre-application discussion please contact Planning Services:  
By Telephone: 0161-9123149  
By Email: [strategic.planning@trafford.gov.uk](mailto:strategic.planning@trafford.gov.uk) or [development.control@trafford.gov.uk](mailto:development.control@trafford.gov.uk);  
By letter: Planning Services, Trafford Town Hall, Talbot Road, Stretford, Manchester M32 0TH

## Appendix A – Consultation Bodies

These lists of consultation bodies are as complete as can be reasonably expected at the time of SCI preparation - other organisations and groups may exist, or may be formed in future or may succeed these organisations, and will not be excluded from involvement simply because they are not named here. The emergence of new groups or organisations will be kept under review by monitoring the local press, correspondence received and relevant web-site. Any other bodies who wish to be included should call or email Strategic Planning on 0161-9123149 or [strategic.planning@trafford.gov.uk](mailto:strategic.planning@trafford.gov.uk).

### A1 - Duty to Cooperate Bodies:

- Association of Greater Manchester Authorities;
- Cheshire East Council;
- Civil Aviation Authority;
- Environment Agency;
- Greater Manchester Combined Authority;
- Greater Manchester Local Enterprise Partnership;
- Greater Manchester Local Nature Partnership;
- Historic England;
- Homes and Communities Agency;
- Manchester City Council;
- Natural England;
- NHS England;
- Office of Rail Regulation;
- Salford City Council;
- Trafford Clinical Commissioning Group;
- Trafford Local Highways Authority;
- Transport for Greater Manchester;
- Warrington Council;

### A2 - Specific Consultation Bodies:

The following Specific Consultation Bodies will be consulted as a matter of course on all GMSF, Local Plan and Neighbourhood Plan documents and, where relevant, Supplementary Planning and Other Planning Documents.

*Please note this list also relates to successor bodies where re-organisations occur.*

- Agden Parish Council
- Ashley Parish Council
- Carrington Parish Council
- Cheshire East Council;
- Dunham Massey Parish Council
- Environment Agency
- Greater Manchester Combined Authority;
- GM Local Enterprise Partnership
- Highways England;
- Historic England;
- Homes and Communities Agency (HCA)

- Little Bollington Parish Meeting
- Lymm Parish Council
- Manchester City Council;
- Natural England
- Network Rail Infrastructure Limited
- NHS England
- Partington Town Council
- Rixton with Glazebrook Parish Council
- Rostherne Parish Council
- Salford City Council
- The Coal Authority
- The Marine Management Organisation
- Warburton Parish Council
- Warrington Council;
- Any person to whom the electronic communications code applies and who owns or controls electronic communications apparatus within the Borough e.g. Mobile Operators Association, Hutchinson 3G, etc.
- A person to whom a licence has been granted under the Electricity Act 1989 e.g. Electricity NW Ltd;
- A person to whom a licence has been granted under the Gas Act 1986 e.g. National Grid
- A sewerage undertaker e.g. United Utilities
- A water undertaker e.g. United Utilities

### **A3 - General Consultation Bodies**

The following General Consultation Bodies will be consulted as appropriate on all GMSF, Local Plan and Neighbourhood Plan documents and, where relevant, Supplementary Planning and Other Planning Documents.

- Voluntary bodies, some or all of whose activities benefit the Borough
- Bodies representing the interests of different racial, ethnic or national groups within the Borough
- Bodies representing the interests of different religious groups in the Borough
- Bodies representing the interests of disabled persons in the Borough
- Bodies representing the interests of persons carrying on business in the Borough

### **A4 - Other Consultation Bodies**

The following groups/ organisations will be consulted on GMSF, Local Plan, Neighbourhood, Supplementary and Other Planning Documents and Planning Applications as and when this is deemed to be appropriate by the Council in relation to the subject matter and their area of interest.

*Please note this list is not exhaustive and will be amended as and when it is necessary to do so.*

- Adactus Housing Group;
- Altrincham and Bowdon Civic Society;
- Altrincham and Sale Chamber of Commerce;
- Altrincham Forward;
- Altrincham Town Centre Business Neighbourhood Forum;
- Ancient Monuments Society;
- Arawak Walton Housing Association;
- Arriva Bus;
- Arriva Trains Wales;

- Association of Greater Manchester Authorities (AGMA) Joint Units;
- Bowdon Conservation Group;
- British Chemical Distributors and Traders Association;
- British Energy Association
- British Gas
- British Geological Survey;
- British Telecommunications PLC
- British Waterways
- Campaign for Better Transport;
- Campaign for Real Ale;
- Centre for Ecology and Hydrology;
- Cheshire Wildlife Trust;
- Church Commissioners;
- Citizens Advice Bureau
- Civic Trust;
- Commission for Architecture and the Built Environment at the Design Council;
- Commission for Equality and Human Rights;
- Council for British Archaeology
- Council for the Protection of Rural England;
- Crown Estate Office;
- Department for Business Innovation & Skills;
- Department for Culture, Media and Sport;
- Department for Environment, Food and Rural Affairs;
- Department for Transport;
- Department of Health;
- Department of Work and Pensions;
- Diocesan Board of Finance;
- Disabled Persons Transport Advisory Committee;
- Fields in Trust;
- First Group PLC;
- First TransPennine Express;
- Forestry Commission;
- Freight Transport Association;
- Friends of the Earth;
- Garden History Society;
- Georgian Group;
- Greater Manchester Archaeological Advisory Service;
- Greater Manchester Chamber of Commerce;
- Greater Manchester Ecology Unit;
- Greater Manchester Fire and Rescue Service
- Minerals and Waste Unit;
- Greater Manchester Police
- Greater Manchester Waste Disposal Authority
- Great Places Housing Group;
- Gypsy Council
- Hale Civic Society;

- Health and Safety Executive
- Home Builders Federation
- Home Office
- Irwell Valley Housing Association;
- Lancashire Wildlife Trust;
- Lead Local Flood Authority;
- Living Streets;
- Local businesses;
- Major land/property owners
- Manchester Airport;
- Manchester Barton Aerodrome;
- Manchester Ship Canal Company;
- Ministry of Defence;
- Ministry of Justice;
- NASSEA;
- National Trust;
- Network Rail;
- New Economy;
- Northern Trains;
- Peel Ports;
- Renewable Energy Association
- Road Haulage Association;
- Royal Mail Property Group
- Royal Society for the Protection of Birds;
- Sale Civic Society;
- Society for Protection of Ancient Buildings;
- Sport England;
- St Vincent's Housing Association;
- Stagecoach Bus;
- Stretford M32 Group;
- The Rail Freight Group;
- The Showmen's Guild of Great Britain
- The Theatres Trust;
- Timperley Civic Society;
- Trafford Cycle Forum;
- Trafford Housing Trust;
- Trafford Partnership & Locality Partnerships
- Trafford Ramblers;
- Transport for Greater Manchester;
- Traveller Law Reform Project;
- Twentieth Century Society;
- Voluntary Community Action Trafford;
- Women's National Commission;
- Woodford Aerodrome;
- Woodland Trust;

## Appendix B – Notification Arrangements for Planning Applications

Local Authorities have discretion about how they inform communities and other interested parties about planning applications. Article 13 of the Development Management Procedure Order (2015) and its amendment sets out the minimum statutory requirements which can be found here: <http://planningguidance.planningportal.gov.uk/blog/guidance/consultation-and-pre-decision-matters/table-1-statutory-publicity-requirements-for-planning-and-heritage-applications/>.

The publicity arrangements within Trafford set out below are a guide and individual cases may vary. The arrangements apply to the following types of planning applications:

- Outline & Full planning applications and approval of Reserved Matters;
- Renewal of permission;
- Retrospective planning applications;
- Variation or discharge of conditions;
- Express consent for Advertisements;
- Listed building consent;
- Hazardous substances consent;
- Certificate of lawfulness of existing use or development
- Prior approvals and Notifications

### **B1 - Domestic Extensions:**

- Any property which shares a boundary with an application site - irrespective of the location of any road – adjoining neighbours to the rear/opposite and both sides. This will apply whatever the location of the proposed development and will make no judgement in terms of likely impact;

### **B2 – New Residential Development:**

- As for B1 - Domestic Extensions. Wider consultation will depend on the scale and location of the development proposed and the layout of development nearby.

### **B3 – Other Minor Development in Residential Areas:**

- As for B1 - Domestic Extensions. Wider consultation will depend on the scale and location of the development proposed, the nature of the use and the layout of development nearby.

### **B4 – Development within the commercial locations listed within Core Strategy Policy W1.3 including employment areas and town centres:**

- Any property which shares a boundary with an application site - irrespective of the location of any road – adjoining neighbours to the rear/opposite and both sides. This will apply whatever the location of the proposed development and will make no judgement in terms of likely impact;
- Where buildings are subdivided horizontally, neighbours to be notified include those directly above or below the application premises and those above or below the adjoining premises;
- Compliance with statutory requirements for press and site notices, but consideration of wider use of notices.

### **B5 - Variation or discharge of conditions**

- Normally as for the original application for planning permission.
- Council discretion will be used where applications have a sensitive history and where issues relating to proposed variation were key considerations in the determination of the planning application. In these cases, neighbours previously notified plus all others previously in correspondence should be consulted.



**B6 - Express Consent for Advertisements**

- No notifications will be made for applications within the commercial locations listed within Core Strategy Policy W1.3 including employment areas and town centres;
- Discretionary use of site notices where development may be considered to have impact across a greater distance – for example illuminated signage on the opposite of a road with wide verges / a dual carriageway.

**B7 - Listed Building Consent**

- As equivalent planning application (Combined notification if planning application and LBC submitted at the same time).

**B8 – Hazardous Substances Consent:**

- A notice of the application is published in the local newspaper (currently Stretford & Urmston Advertiser and Sale & Altrincham Advertiser);
- Site notice.

**B9 - Certificates of Lawfulness (LDCs, CLUEDs and CLOPUDs)**

- Notification for certificates of lawful existing use or development should be as for equivalent planning application;
- Normally not required for certificates for proposed use unless 4 year or 10 year rule is flagged as reason for lawfulness.

**B10 - Prior Approvals and other Notifications**

- Normally no notification except for Larger House Extensions;
- Council discretion where developments are located in sensitive areas – i.e. conservation areas.

## Appendix C - Glossary

### **AMR Annual Monitoring Report (Authorities' Monitoring Report)**

Part of the Local Development Framework. This will assess the implementation of the Local Development Scheme and the extent to which policies in Local Development Documents are being successfully implemented.

### **DPD Development Plan Document**

Spatial planning documents that are subject to independent examination.

### **LDF Local Development Framework**

The name for the portfolio of Local Development Documents also known as the Local Plan. It consists of Development Plan Documents, Supplementary Planning Documents, a Statement of Community Involvement, the Local Development Scheme and Annual Monitoring Reports.

### **LDS Local Development Scheme**

This sets out the programme for preparing Local Development Documents.

### **Localism Act 2011**

The Localism Act aims to devolve more decision making powers from central government back into the hands of individuals, communities and councils. The act covers a wide range of issues related to local public services, with a particularly focus on the general power of competence, community rights, neighbourhood planning and housing.

### **Planning & Compulsory Purchase Act 2004:**

"The Act" updates elements of the 1990 Town & Country Planning Act. It introduced a statutory system for regional planning, a new system for local planning reforms to the development control and compulsory purchase and compensation systems and the removal of crown immunity from planning controls.

### **SCI Statement of Community Involvement**

Sets out the standards to be achieved by the local authority in involving local communities in the preparation, alteration and continual review of Local Development Documents and development control decisions.

**Strategic Environmental Assessment (SEA):** A requirement of the SEA Directive. A way of systematically identifying and evaluating the impacts that a plan is likely to have on the environment. Where a plan requires SEA and SA, the former process should be integrated into the latter.

### **Strategic Flood Risk Assessment (SFRA):**

Part of the Local Development Framework evidence base. A detailed and robust assessment of the extent and nature of the risk of flooding in an area and its implications for land use planning. Can set the criteria for the submission of planning applications in the future and for guiding subsequent development control decisions.

### **Strategic Housing Land Availability Assessment (SHLAA):**

Part of the Local Development Framework evidence base. The document looks to identify sites with potential for housing, assess their potential and assess whether they are likely to be developed in order to identify a five, ten and fifteen year supply of housing for an area.

### **Strategic Housing Market Assessment (SHMA):**

Part of the Local Development Framework evidence base. The document estimates need and demand for affordable and market housing and assesses how this varies across the study area. The document also considers future demographic trends and resulting housing requirements.

**Supplementary Planning Document (SPD):**

This is a Local Development Document that may cover a range of issues, thematic or site specific, and provides further detail of policies and proposals in a 'parent' Development Plan Document.

**Supplementary Planning Guidance (SPG):**

This provides supplementary information in respect of the policies in the Unitary Development Plan prior to the Planning and Compulsory Purchase Act 2004 and the introduction of Supplementary Planning Documents. SPGs can be saved when linked to policy under transitional arrangements.

**Sustainability Appraisal (SA):**

A requirement of the Planning and Compulsory Purchase Act 2004. A process by which the economic, social and environmental impacts of a project, strategy or plan are assessed. The aim of the process is to minimise adverse impacts and resolve as far as possible, conflicting or contradictory outcomes of the plan or strategy. Can incorporate Strategic Environmental Assessment to fulfil the requirements of the SEA Directive.

**Unitary Development Plan (UDP):**

An old-style development plan prepared by a Metropolitan District and some Unitary Local Authorities. These plans will continue to operate for a time after the commencement of the new development plan system introduced by the Planning and Compulsory Purchase Act 2004, by virtue of specific transitional provisions.

**Minor Planning Applications**

Development which does not meet the criteria for major development nor the definitions of change of use or householder developments.

**Change of Use**

Applications that do not concern major development or where no building or engineering work is involved.

**Householder Development**

Development within the curtilage of residential property which requires an application for planning permission and not a change of use.

**Listed Building Consent**

Any works or alterations which are likely to affect the character of a Listed Building.

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## TRAFFORD COUNCIL

**Report to: Executive**

**Date: 26 October 2015**

**Report for: Information**

**Report of: The Executive Member for Finance and the Director of Finance**

**Report Title:**

Revenue Budget Monitoring 2015/16 – Period 5 (April to August 2015).

**Summary:**

The approved revenue budget for the year is £148.914m. The forecast for the end of the year, as projected following five months of activity, is £148.327m being a net underspend of £(0.587)m, (0.4)% of the budget, an adverse movement of £0.198m since the last report.

The main areas of budget variance are summarised as follows:

<b>Activity</b>	<b>Forecast £m</b>	<b>Movement £m</b>
Children’s client care packages	1.2	0.2
Adults client care packages	0.6	(0.1)
Rephased base budget savings	0.4	-
Vacancy management	(1.1)	-
Running costs	(1.0)	(0.1)
Treasury Management	(0.7)	-
Housing & Council Tax Benefits	(0.1)	-
Business Rates (Council-wide budget)	0.0	0.2
Income	0.2	0.1
Grants	(0.1)	(0.1)
<b>Forecasted outturn</b>	<b>(0.6)</b>	<b>0.2</b>

**Reserves**

The opening balance of the General Reserve was £(7.9)m, and after taking into account approved use and commitments, and the Council-Wide budget outturn, the forecasted closing balance is £(7.5)m, which is £(1.5)m above the Council established minimum level of £(6.0)m.

In addition, the net service carry forward reserves at the beginning of the year was £(3.6)m, and after taking into account planned use and commitments together with the service Directorates’ outturn, the forecasted closing balance is £(1.2)m in surplus.

**Council Tax**

The surplus brought forward of £(0.8)m, will be increased by an in-year forecast surplus of £(1.2)m. After taking account of the planned use of £0.4m to support the base budget and another £0.1m for backdated valuation and discount appeals, the total surplus forecasted to be carried forward is £(1.5)m. The Council’s share of this surplus is £(1.3)m, and is planned to support future budgets in the MTFP.

**Business Rates**

The latest projection as at 31 August 2015 shows an overall increase in retained business rates for 2015/16 of £(0.306)m, representing an improvement since period 4 of £(0.322)m. This includes an in-year business rate growth surplus of £(0.288)m, which cannot be brought into the accounts until 2016/17, as well as an increase in income in-year within the Council-wide budget of £(0.018)m (see paragraphs 13 to 14 below).

**Recommendation(s)****It is recommended that:**

- a) the latest forecast and planned actions be noted and agreed.

**Contact person for access to background papers and further information:**

David Muggeridge, Finance Manager, Financial Accounting

Extension: 4534

Background Papers: None

Relationship to Policy Framework/Corporate Priorities	Value for Money
Financial	Revenue expenditure to be been contained within available resources in 2015/16.
Legal Implications:	None arising out of this report
Equality/Diversity Implications	None arising out of this report
Sustainability Implications	None arising out of this report
Staffing/E-Government/Asset Management Implications	Not applicable
Risk Management Implications	Not applicable
Health and Safety Implications	Not applicable

**Director of Finance:.....ID.....**

**Director of Legal & Democratic Services .....JLF.....**

**DIRECTOR'S SIGNATURE *Appended in hard copy.***

## Budget Monitoring - Financial Results

- The approved budget agreed at the 18 February 2015 Council meeting is £148.914m. Based on the budget monitoring for the first 5 months of the year, the overall forecast for the year is £148.327m, being an underspend of £(0.587), (0.4)%, an adverse movement of £0.198m since the last report.
- The details of service variances can be found in Annexes 1 to 3, and for Council-Wide, Annex 4:

<b>Table 1: Budget Monitoring results by Directorate</b>	<b>Year end Forecast (£000's)</b>	<b>Percentage %</b>	<b>Period Movement (£000's)</b>	<b>Annex</b>
CFW – Children's Services	1,092	3.9%	6	1
CFW – Adult Social Services	(473)	(1.0)%	(27)	1
CFW – Public Health	0	0.0%	0	1
Economic Growth, Environment & Infrastructure	(290)	(0.9)%	(17)	2
Transformation & Resources	(111)	(0.7)%	14	3
<b>Total Service Variances</b>	<b>218</b>	<b>0.2%</b>	<b>(24)</b>	
Council-wide budgets	(805)	(4.3)%	222	4
<b>Estimated outturn variance (period 5)</b>	<b>(587)</b>	<b>(0.4)%</b>	<b>198</b>	

*CFW – Children, Families & Wellbeing*

<b>Table 2: Budget Monitoring results by Executive Portfolio Holder</b>	<b>Year end Forecast (£000's)</b>	<b>Percentage %</b>	<b>Period Movement (£000's)</b>
Children's Services	1,092	3.9%	6
Adult Social Services	(473)	(1.0)%	(27)
Community Health & Wellbeing	0	0.0%	0
Environment & Operations	(165)	(0.6)%	(14)
Economic Growth & Planning	(125)	(2.6)%	(3)
Communities & Partnerships	95	3.5%	19
Transformation & Resources	(84)	(0.9)%	(57)
Finance	(927)	(3.3)%	274
<b>Estimated outturn variance (period 5)</b>	<b>(587)</b>	<b>(0.4)%</b>	<b>198</b>

### Key month on month variations

- The key variances contributing to the period movement of an adverse £0.198m are:
  - Children's Social Services – additional client costs of £0.225m, including an increase in the number of placements. This has largely been offset by a reduction in staffing costs of £(0.206)m, mainly within Children's and Education Early Years Services;
  - Adult Services – staff related savings are lower than previously reported within the Social Care Activities – Care Management teams of £0.246m. This has been more than offset by a reduction in client costs, £(0.126)m and running expenses, £(0.163)m across the Adult Services Directorate;

- An adverse movement of £0.152m relating to the element of Business Rates income retained within the Council-wide budget as a consequence of an increase in the estimated levy payment on 2015/16 growth (see paragraphs 13 and 14 below);
- £0.065m increase in income shortfall across all Directorates;
- Other net variances of £0.005m.

### MTFP Savings and increased income

4. The 2015/16 budget was based on the achievement of permanent base budget savings and increased income of £(21.584)m.
5. This saving target includes £(15.612)m within the CFW Directorate which is being programme managed by a dedicated CFW Transformation Team. From the Month 4 report the savings targets for individual initiatives within CFW were updated to reflect the revised targets which were agreed at the CFW Programme Board. This has meant some slight amendments to individual targets, though the overall total savings target for the CFW directorate remains the same. The revised savings targets are included in Appendix 2 of Annex 1 of this report. Performance is assessed against the revised targets:
6. The following table summarises the actuals to date, forecast for the remainder of the year and how the shortfall will be managed in-year.

		Total (£000's)	Total (£000's)
<b>Actual to date</b>			
	CFW	(5,667)	
	EGEI	(714)	
	T&R	(1,152)	
	C-W	(265)	
<b>Sub-Total</b>			<b>(7,798)</b>
<b>Forecasted</b>			
	CFW * Note 2	(9,981)	
	EGEI	(2,100)	
	T&R	(1,363)	
	CW	(124)	
<b>Sub-Total</b>			<b>(13,568)</b>
<b>Total Savings delivered or in progress</b>			<b>(21,366)</b>
<b>Budget Savings Required</b>			<b>(21,584)</b>
<b>Total Net Shortfall</b>			<b>218</b>
<b>Shortfall Detailed by Directorate</b>			
Shortfall against savings target within T&R			
	• Libraries (as measured against revised target see Note 1)	154	
	• ICT Procurement/ Other	129	
<b>Total shortfall/ (Over recovery) within T&amp;R</b>			<b>283</b>



Shortfall/(Over recovery) against savings target within CFW		
• Children with Complex Needs – Use of Personalisation	(8)	
• Children with Complex Needs – expand in-house homes	13	
• Education Early Years – Early Help	137	
• Older People Reablement	(368)	
• LD – Ordinary Residence	35	
• Other Adults Savings TBC	156	
<b>Total shortfall/ (Over recovery) within CFW</b>		<b>(35)</b>
Shortfall/(Over recovery) against savings target within CW		
• Old Car Lease Scheme	(30)	
<b>Total shortfall/ (Over recovery) within CW</b>		<b>(30)</b>
<b>Total Net Shortfall</b>		<b>218</b>

<b>Gross shortfalls to be met by :-</b>		
T&R reserve or mitigated by in year savings in 15/16		(283)
<b>Total</b>		<b>(283)</b>

**Note 1** - The savings target for T&R originally included £(0.550)m in respect of the libraries rationalisation but this figure was revised down by £0.050m when the outcome of the second phase of consultation was approved by the Executive in March 2015. The saving has been transferred to Council Wide, where it has been met in year from the Treasury Management budget.

**Note 2** - At the time of writing, of the £(15.648)m CFW saving forecast to be achieved by the end of 2015/16, confirmed savings total £(13.900)m and savings 'at risk' total £1.748m. CFW managers are now focusing on ensuring that the 'at risk' savings can be delivered.

7. The original budget for 2015/16 included a one off allowance of £0.700m as a general contingency to cushion against possible slippage in the delivery of the significant savings programme in 2015/16. As at the previous period (Period 4) £0.085m had been released to cover a projected savings slippage related to Market Management. As a result of the realignment of the CFW savings targets, the budget variance on Market Management has now been removed.
8. Approximately 99.0% of base budget savings have been or are forecasted to be delivered:
  - Of the £0.218m net shortfall, there is a gross shortfall of £0.283m relating to T&R, a net over achievement of £(0.035)m in CFW and £(0.030)m in Council Wide.
  - The gross shortfall of £0.283m within T&R will be met from either, service carry forward reserves or alternative in year savings.

## Council Tax

9. The brought forward surplus on the Council Tax element of the Collection Fund of £(0.773)m has shared ownership between GM Fire & Rescue Authority and Police & Crime Commissioner, as well as the Council.
10. After five months of activity, the total Council Tax in-year surplus is forecasted at £(1.176)m, with the Council's share of this being £(0.988)m. After taking account of the planned application to support the 2015/16 budget, £0.357m, and reductions as a consequence of back-dated valuations and awards of discounts or exemptions of £0.100m, the end of year total balance is forecasted at £(1.492)m, of which the Council's share is £(1.253)m

Table 4: Council Tax surplus	Overall		Trafford	
	£(000's)	£(000's)	£(000's)	£(000's)
<b>Surplus brought forward</b>		<b>(773)</b>		<b>(649)</b>
Changes in Band D equivalents	(492)		(413)	
Empty Homes Premium	(127)		(107)	
Council Tax Support Scheme	(557)		(468)	
<b>In Year Surplus</b>		<b>(1,176)</b>		<b>(988)</b>
Banding valuations & discounts	100		84	
Increase in Bad Debt Provision	0	<b>100</b>	0	<b>84</b>
In-year application of surplus		<b>357</b>		<b>300</b>
<b>Forecasted surplus carry forward</b>		<b>(1,492)</b>		<b>(1,253)</b>

11. The numbers of those in receipt of Council Tax Support continues to fall. In addition, in an effort to attract incentive funding from DWP, several targeted pro-active interventions on unreported changes of circumstances are continuing, reducing Council Tax Support.
12. There has also been a growth in the Taxbase. Back dated valuations and discounts continue to be an issue but levels have reduced considerably relative to the same period in 2014/15.

## Business Rates

13. The Business Rate Retention Scheme established in April 2013, whereby local authorities can retain a share of growth (and losses), is a technically complex subject. The table below gives an indication of the complexity as well as an updated assessment compared to assumptions made in the budget:

<b>Table 5: Calculation of Business Rates Income 2015/16</b>	<b>Original Estimate £000's</b>	<b>Projection £000's</b>	<b>Variance £000's</b>
<b>Net Yield</b>	<b>(161,238)</b>	<b>(161,826)</b>	<b>(588)</b>
Local Share (49%)	(79,007)	(79,295)	(288)
Less Tariff (Set by Government)	44,142	44,142	-
<b>Retained Rates</b>	<b>(34,865)</b>	<b>(35,153)</b>	<b>(288)</b>
Government Baseline	(33,054)	(33,054)	-
<b>In Year Growth</b>	<b>(1,811)</b>	<b>(2,099)</b>	<b>(288)</b>
Add: Section 31 Grants	(1,663)	(1,836)	(173)
Estimated surplus 2014/15	(1,710)	(1,710)	-
<b>Total Income subject to Levy</b>	<b>(5,184)</b>	<b>(5,645)</b>	<b>(461)</b>
Deduct Levy @ 50%	2,592	2,823	231
<b>Net Income</b>	<b>(2,592)</b>	<b>(2,822)</b>	<b>(230)</b>
Add: Levy Rebate from GM Pool	(579)	(655)	(76)
Increased grant for 2% cap	(136)	(136)	-
Renewable Energy (retained in full)	(77)	(77)	-
<b>Net Retained Income</b>	<b>(3,384)</b>	<b>(3,690)</b>	<b>(306)</b>

14. The latest projections as at 31 August 2015 are shown in the table above and show an overall increase in retained business rates for 2015/16 of £(0.306)m compared to budget and this is summarised as:
- The retained element of in year business rate growth is forecasted to be up by £(0.288)m at £(2.099)m. This improvement since the last monitor is primarily due to a reduction in the provision of Relief for Empty Property in the month. Empty property exemptions can be volatile as premises can be vacated overnight and we are also dealing with some tax avoidance / evasion issues. The accounting arrangements for any variation in the forecast of business rates must be carried forward to later years' budgets i.e. no impact in 2015/16; however the levy must be accounted for in the year that it relates to;
  - Increase in Section 31 grant income of £(0.173)m to £(1.836)m due to additional costs of the small business rate and retail reliefs. This has a benefit to the 2015/16 budget because S31 grants are accrued during the financial year to which they relate;
  - Overall increase in the cost of the levy due to the updated growth forecast £0.231m;
  - Increase in the AGMA pool rebate £(0.076)m;
  - Impact on 2015/16 is the sum of items (b) – (d), £(0.018)m, but needs to be retained to make good any overall deficit for the year and is included in the Council-wide budget monitoring projection in Annex 4.

## Public Health

15. The Government announced on 4 June 2015 that it was seeking in-year public expenditure reductions of £3.1 billion. This included an amount of £200 million in respect of Public Health. In July the Department of Health issued a consultation paper on how to achieve these savings. The illustration provided in that paper was for a reduction of 6.2% shared equally across local authorities, which if implemented would result in an in-year reduction of £0.773m for Trafford. We are still awaiting the outcome of the consultation process.
16. If the in-year reduction of £0.773m is confirmed, scope has been identified within the Public Health budget to manage this on a one off basis for the 2015/16 financial year. Following the completion of the recent commissioning exercise we believe this will be achieved without any detrimental impact on services in 2015/16 through unallocated funding and slippage on contractual arrangements. If the in-year reduction becomes recurrent, a plan to reduce expenditure by £0.773m will need to be incorporated into the 2016/17 budget planning cycle.
17. This is based on the current Public Health grant plus additional 0-5 funding which is being transferred in October 2015. Funding of £1.642m will be transferred to the Council on 1<sup>st</sup> October 2015 relating to the national transfer of responsibilities relating to Health Visiting and Family Nurse Partnership services. This will increase the gross funding for Public Health to £12.471m in 2015/16.

## Leisure Services

18. On 30 July 2015 The Executive Member for Communities and Partnerships approved that a Community Interest Company (CIC) be established to run the leisure services, currently provided by Trafford Community Leisure Trust.
19. Trafford Leisure CIC took over the running of the leisure facilities on 1<sup>st</sup> October 2015. Some additional costs have been incurred to get the company formed and operational. To date £0.028m has been incurred; further financial implications will be included in future budget monitoring reports.

## Reserves

20. The audited General Reserve balance brought forward is £(7.9)m, against which there are planned commitments up to the end of 2015/16 of £1.2m. The addition of the Council-Wide underspend of £(0.8)m provides for a projected 31 March 2016 balance of £(7.5)m, being £(1.5)m above the approved minimum level of £(6.0)m:

<b>Table 6 : General Reserve Movements</b>	<b>(£000's)</b>
<b>Balance 31 March 2015 (subject to audit confirmation)</b>	<b>(7,871)</b>
<b>Commitments in 2015/16:</b>	
- Planned use for 2015/16 Budget	1,000
- Planned use for one-off projects 2015/16	200
- Council-wide budgets underspend	(805)
<b>Balance 31 March 2016</b>	<b>(7,476)</b>

21. Service balances brought forward from 2014/15 were a net £(3.642)m. After planned use to support one-off projects and adjusting for the estimated outturn, there is a projected net surplus of £(1.168)m to be carried forward to 2016/17 (Table 7).

	<b>b/f April 2015 (£000's)</b>	<b>Forecast Movement in-year (£000's)</b>	<b>Forecast Balance (£000's)</b>
<b>Table 7: Service balances</b>			
Communities, Families & Wellbeing	(403)	816	413
Economic Growth, Environment & Infrastructure	(1,738)	1,261	(477)
Transformation & Resources	(1,501)	397	(1,104)
<b>Total (Surplus)/Deficit</b>	<b>(3,642)</b>	<b>2,474</b>	<b>(1,168)</b>

### Recommendations

22. It is recommended that the latest forecast and planned actions be noted and agreed.

## TRAFFORD COUNCIL

Report to: CFW Senior Leadership Team  
 Date: 1<sup>st</sup> October 2015  
 Report for: Discussion  
 Report author: CFW Finance Managers

Report Title:

**Revenue Budget Monitoring 2015/16 – Period 5 (April 2015 to August 2015).**

**1. Forecast Outturn for the Year**

- 1.1 The approved revenue budget for the year is £75.805m (See Para 2.5 for budget adjustments since the last report) and the projected outturn is currently forecast to be £76.424m, which exceeds the budget by £0.619m (0.8%). The current projected overspend includes £1.092m on Children Services and an underspend of £(0.473)m on Adults.
- 1.2 The forecast variance for Period 4 was £0.640m and this represents a favourable movement of £(0.021)m since last reported.
- 1.3 The savings target for CFW in 2015/16 is £(15.612)m. The forecast savings on the basis of the latest projection are overall savings of £(15.647)m. At this stage of the year it is a major achievement to be on track to overachieve against the target of £(15.612)m and provides a high level of assurance about the robustness of financial planning and effective delivery of transformation projects within the Directorate.

**2. Summary of Variances**

- 2.1 The main forecast outturn variances are summarised below, with more detail at Appendix 1.

**2.2 CHILDRENS SERVICE**

**The overall variance for Children's Services is an adverse £1.092m and is analysed below.**

**(a) Children's Social Services (including Children with Complex Needs) - £1.166m adverse variation from budget**

- There is a forecast overspend of £1.225m on client care packages as analysed in the table below. The main variances are in respect of external children's homes and agency foster care. The increases in cost are due to a combination of demographic growth and the complexity of need of children in care with more children requiring high cost specialist placements. £0.961m of the projected variance relates to external children's homes even though this is as a result of only 6 additional placements over the year, indicating the volatility of this particular budget. There is also an adverse variance of £0.087m on agency foster

placements which equates to 3.2 placements; this reflects a national trend following high profile reports into major failings such as at Rotherham.

- Robust management action is in place to scrutinise each individual placement to ensure it is appropriate to meet needs. We are also exploring collaborative ways of managing the external market as costs have increased substantially due to the increased demand for places. We have implemented an 'Edge of Care Strategy' that supports children and young people to remain at home and developing that into a broader project as part of the CFW transformation programme.
- Actions in place to manage Children in Care placements are outlined in more detail in Appendix 3.

Service	Budget Service Users	Budget Average weekly cost	Gross Budget	Actual Service Users	Average weekly cost	Actual Gross Forecast	Variance Service Users	Variance Gross Forecast
	No.	£	(£000's)	No.	£	(£000's)	No.	(£000's)
Welfare secure	0.3	5,081	90	0.5	5,641	132	0.1	42
External Children's Homes	5.9	3,048	929	11.9	3,062	1,890	6.0	961
Agency foster care	32.9	884	1,513	36.1	853	1,600	3.2	87
In-house foster care	94.7	319	1,570	90.2	317	1,486	-4.5	-84
Family and friend foster care	112.0	218	1,271	107.7	236	1,319	-4.4	48
Asylum seekers	0.0	0	0	0.0	0	0	0.0	0
Special Guardianship	29.0	152	229	30.0	160	249	1.0	20
Assisted Residence Allowances	24.0	107	133	21.1	111	121	-3.0	-12
Aftercare	n/a		381	n/a		459	n/a	78
Supported Lodges	n/a		325	n/a		339	n/a	14
Youth Homeless	n/a		193	n/a		268	n/a	75
Adoption	13.0		923	13.0		945	0.0	22
CAN respite	2.5	1,931	251	2.2	2,036	235	-0.3	-16
CAN long term care	4.4	2,436	553	4.5	2,363	553	0.1	0
CAN Home from Home	n/a		161	n/a		159	n/a	-2
CAN Direct payments/personalisation	n/a		367	n/a		359	n/a	-8
<b>Total</b>			<b>8,889</b>			<b>10,114</b>		<b>1,225</b>

- Adoption - There is a projected shortfall in adoption income of £0.182m. It has now become apparent that in the North West the number of recruited adopters is exceeding the number of children awaiting adoption. This resulted from a legal judgement that placed a greater emphasis on a child returning home or to family members prior to consideration of adoption. We are currently developing an expression of interest with neighbouring authorities for a Regional Adoption Agency in line with national policy.
- Staffing Costs within children's social care are underspending by £(0.086)m.

- Additional grant income. There is a new grant - inter agency fees grant (adoption) which is forecast to result in a favourable variance of £(0.054)m.
- Income - There has been additional income within CAN from Health for Continuing Health Care of £(0.076)m.
- Running costs - General running cost expenses variance of £(0.025)m.

**(b) Education Early Years favourable variance £(0.132)m**

Favourable variance due mainly to staffing underspends and additional income.

**(c) Commissioning running costs favourable variance £(0.052)m**

Forecast underspend due to personalisation and supporting people contracts.

**(d) MARAS favourable variance £(0.027)m**

Underspend due to expected impact of evidence based review.

**(e) Youth Offending Service adverse variance £Nil**

The expected mid-year reduction in the Youth Justice Board Grant of £0.051m, has been offset by a forecast underspend in remand placements.

**(f) Slippage on Savings re Early Help Delivery Model – Adverse Variance £0.137m.**

There are some premises costs relating to centres that have been incurred since 1<sup>st</sup> April 2015 as part of the transition to the new model and timescales for asset transfer.

**Movement from previous period**

The main reasons for the adverse movement in the forecast for CFW Children of £0.006m are as follows:

- Education Early Years – reduction in projected underspend of £0.011m.
- Children Social Services – increase in projected overspend on client care packages (excluding complex needs) of £0.034m.
- Children with complex and additional needs – increase in forecast spend of £0.007m.
- Staffing costs within MARAS £(0.027)m.
- Youth Offending – reduced remand placements £(0.019)m.



## 2.3 ADULTS SERVICE

In the last monitor the Executive were advised that there was a new basis of reporting with forecasts for client costs generated from Liquid Logic/ContrOCC system. Further work has been undertaken to ensure that the estimated cost of care packages accurately reflected savings still to be achieved and this is a complex process for client costs.

A process is also being developed to validate the financial projections of care costs derived from the new system by using the SAP ledger system as a further safeguard.

**The overall variance for Adults' Services is £(0.473)m favourable and is analysed below:**

- Long Term client costs - £0.582m adverse. This projection is based on the current portfolio of long term clients recorded on the Liquid Logic system plus clients, who have received services in the earlier part of the year, though are no longer receiving services. The projection allows for expected Transition costs in year of £1.435m and that costs will be offset by expected savings of £(0.906)m to be made against client costs over the remainder of the year based on Transformation projections. Further detail on the variance is included in Appendix 5.
- Short term client costs - £(0.369)m favourable. This is mainly due to savings from the in-house reablement service, which were previously reflected in Social Care Activities – Care Management.
- Social Support (Carers and Adult Placement) – favourable projection of £(0.043)m following renegotiation of a contract.
- Assistive Technology and Equipment – minor adverse variation of £0.009m. The possibility of capitalising further assistive technology related costs is currently under consideration.
- Social Care Activities – Care Management - £(0.274)m favourable. The favourable variance is due to vacant posts across Care Management and other teams across the service. Savings arising from Reablement are now reflected under short term client costs.
- Information and Early Intervention - £(0.290)m favourable. Forecast underspend in Extra Care due to a delay in implementation of Old Trafford scheme to 2017.
- Commissioning and Service Delivery – net £(0.088)m favourable following Commissioning restructure.
- Non-Adult Care – in line with budget. The Supporting People budget has been transferred to Children Services.
- Other variations. None.

Further details on the above variances are included in Appendix 1.

## **Movement from previous period**

The period 5 variance compared to that last reported is £(0.027)m favourable. The main reasons for the change are:-

- Long- term client costs – increase in forecast for long term client costs of £0.039m adverse.
- Short-term client costs – favourable movement of £(0.532)m, which includes the transfer of in-house Reablement service savings £(0.367)m into short term client costs and the planned termination of an external reablement contract £(0.163)m.
- Social support – adverse movement of £0.014m due to review of costs of Adult Placement.
- Assistive Technology – favourable movement of £(0.027)m following updated assessment by manager.
- Social Care Activities (Care Management teams) –adverse movement of £0.447m following the transfer of Reablement service savings to short-term client costs above and a review of vacancies across all teams and updated returns from managers.
- Information & Early Intervention and Commissioning Service Delivery – favourable movement of £(0.225)m arising from a delay in the implementation of the Old Trafford Extra Care scheme.
- Commissioning and Service Delivery – favourable variance £(0.005)m.
- Non-Adult Social Care - £0.009m adverse. Transfer of budget to Children Services.
- DH Funding and un-allocated savings – accounting adjustment of £0.253m relating to transfer of Winter Pressure spend to Winter Resilience budget. The Winter Resilience budget is in balance after this movement.

## **2.4 Public Health**

The Public Health budget is financed by a ring-fenced grant. Under the terms and conditions of the grant this must be used for defined Public Health purposes and the current projection is spend will be in line with budget. Any underspend on the grant, should it arise, would be carried forward to 2016/17 for use on Public Health related services.

An announcement of a proposed in-year budget reduction for Public Health was made by the Government in June 2015. The reduction of £200m nationally is being proposed and currently subject to consultation. A range of options are being proposed, though an across the board reduction of 6.2% would result in a potential reduction for Public Health in year of £0.773m.

If the in-year reduction of £0.773m is confirmed, scope has been identified within the Public Health budget to manage £0.660m of this on a one-off basis for the 2015/16 financial year. This leaves a residual amount of £0.113m still

to be found. If the in-year reduction becomes recurrent, a plan to reduce expenditure by £0.773m will need to be incorporated into the 2016/17 budget planning cycle.

Funding of £1.642m will be transferred to the Council on 1<sup>st</sup> October 2015 relating to the national transfer of responsibilities relating to 0-5 year old Health Visiting and Family Nurse Partnership services. This will increase the gross funding for Public Health to £12.471m in 2015/16.

## **2.5 Budget Virements in 2015/16**

- The CFW Budget has changed from £75.841m Period 4 to £75.805m at Period 5. This represents a net reduction of £(0.036)m which relates to the following virements.

### **Children:**

- Transfer of budget from Children to Adults reflecting the re-alignment of savings £(0.152)m;
- Transfer of Supporting People budget from Adults to Children £0.380m;
- The internal transfer on CAN £0.078 vired from Home from Home Carers to Personalisation which has a **£nil** effect within the service;
- Other corporate virements £(0.016)m.

### **Adults:**

- Transfer of budget from Children to Adults reflecting the re-alignment of savings £0.152m;
- Transfer of Supporting People budget from Adults to Children £(0.380)m;
- Other corporate virements £(0.020)m.

## **3. Forecasting, Assumptions and Risk**

### **3.1 2015/16 Base Budget Savings**

The Council's overall budget for 2015/16 includes £(21.584)m of savings of which £(15.612)m relates to CFW. The table in Appendix 2 shows the current assumptions made regarding the delivery of in-year savings targets within the forecasts set out in this report.

The savings targets for 2015/16 were re-aligned in Period 4 to reflect the specific targets which project managers are working to. The overall target is in line with the total agreed in the Medium Term Financial Plan and 2015/16 budget.

The current projection is that against the target of £(15.612)m, savings of £(15.647)m will be made. The forecast saving for 2015/16 includes savings of £(0.771)m, which were generated by actions undertaken in 2014/15. The breakdown of the projections for individual initiatives is included in Appendix 2.

At this stage of the year it is a major achievement to be on track to overachieve against the target of £(15.612)m and provides a high level of assurance about the robustness of financial planning and effective delivery of transformation projects within the Directorate.

Savings to a value of £(0.906)m which have still to be realised are reflected in the forecast and comprise savings against the LD Care Package Review £(0.301)m, Reshaping Trafford £(0.575)m and savings from other schemes of £(0.030)m. Three ordinary residence cases are still awaiting judgement. At this stage the cost of these clients of £0.223m is included in client cost. If the outcome of these cases is favourable this will further increase the savings to be realised.

## 3.2 Good Practice Examples

In relation to the savings programme, there are a number of examples of management interventions that are having a substantial impact on the financial position of the Directorate. These include;

**3.2.1 Reshaping Social Care;** The Directorate is driving down commitments against care packages in line with the reshaping social care policy change agreed by the Council. The implementation of reshaping principles is being applied as each new case is presented and as all cases go through their reassessment during the year. This has led to an increase in complaints and appeals, but each case is being considered according to individual needs and options available to meet that need. The reshaping programme is supporting the directorate to review the commissioning requirements going forward, as we drive the promotion of independence and self-care. The work is underpinning the development of 2016/17 savings options and we are already seeing a significant impact since the new policy was implemented in April 2015.

**3.2.2 Panel Reviews:** Cases are being reviewed through the Panel process and annual reviews in the context of the objectives of Reshaping Trafford. This is generating savings which are contributing to the savings initiatives relating to client costs. This area looks likely to over achieve in year. This also forms part of savings in 2016/17 and over achievements in 2015/16 will support the larger saving requirements against care budget lines next year.

**3.2.3 Ordinary Residence:** Savings of £(1.047)m are expected from this initiative which were reported in detail at Month 3. There are three cases which are still outstanding which equate to a value of £0.223m. Learning from the project will be embedded in the Panel Review and Reshaping work undertaken by the service.

**3.2.4 Home to School Transport;** A complete reorganisation of the co-ordination of transport provision for children with special educational needs was undertaken from September 2014. A single team was created that were able to clearly map and tender new routes to ensure efficiency of provision and a substantial reduction in contract values. In addition to the substantial financial saving achieved through this process the development of a new procurement approach and service standards has led to improvements in the quality and safeguarding elements of the service. There was a substantial overachievement of savings in the last financial year £(0.225)m and against the revised target of a further £(0.400)m for 2015/16 we are currently projecting savings in line with this target.

**3.2.5 Debt Recovery:** The approval of the new Debt Management and Recovery policy at the end of March 2015 has enabled the Council to take a robust approach to debt recovery whilst ensuring the Council manages its risks effectively through the addition of a debt panel chaired by the Joint Director for Adults before cases proceed to Legal litigation. This new approach has already resulted in improved collection of historical debt to the authority and has had a positive impact on engagement of debtors, with a number of payment plans being arranged for in-year collection as well as payment in full in large debt cases. The new robust timely debt recovery process also ensures new debt is identified at the earliest stage and fed back to the Joint Director for Adults for an overall review of the case. Debt is also now a key factor in funding panel decisions.

**3.2.6 Direct Payments:** Some clients receive payments directly to purchase their own care packages to meet their needs. Experience shows that at the year end the annual audit identifies a number of instances where the totality of the funds provided has not been disbursed and can be reclaimed by the Council.

### **3.3 Care Packages**

This is the third monitoring report of the financial year and follows two important changes in relation to the reporting of client care package activity. The first change is the full adoption of the national changes in reporting of client costs under the Zero Base Review. This means familiar heading such as Older People, Learning Disability etc. will not appear in this high-level monitoring report. Details of the changes were reported at Period 3 and are summarised in Appendix 4. The original client cost budgets for 2015/16 have been translated into the new Zero Base Review budgets, albeit the overall quantum of client cost budget is as originally set.

The second change is that a new basis of financial reporting has been introduced following the implementation of the Liquid Logic client record system and the associated financial modules under ContrOCC. This was one of the recommendations made in the budget monitoring investigation report. A considerable amount of effort has been made to bring the system into being and it is a major change for budget holders and other staff involved in the budget monitoring process. There are already benefits arising from the system although in these early days the main focus is on ensuring the information and reporting is robust following the data migration process.

The total budget for Long Term and Short Term client costs is £39.7m which represents 83% of the total CFW Adults budget of £47.8m. The average number of service users over the first five months is 3,267, though this will fluctuate on a monthly basis going forward. Details of these are shown in Appendix 5.

The Liquid Logic/ContrOCC system will give speedier and more flexible reporting and its potential will be developed over the coming months.

### **3.4 Transition Costs**

Transition is the movement of clients from Children's services into Adults and the main costs are in respect of the Learning Disability service. The budgetary provision for transition for 2015/16 is £2.416m. A review of expected transition has been undertaken in Period 5 and the assessment is that Transition costs for 2015/16 will be £(0.950)m underspent in year. A further release of £(0.350)m

has therefore been made. The position on remaining transition remains uncertain and will continue to be monitored monthly and any revision to this assumption will be reported.

### **3.5 Continuing Health Care (CHC)**

Where a client becomes eligible for Continuing Health Care (CHC) a robust process is in place to ensure the relevant actions are completed. The Clinical Commissioning Group (CCG) have notified the Council that they have over 60 historical claims for CHC logged by families. This will lead to some retrospective claims for CHC costs potentially being repaid to the client or the Council, which will improve the client cost monitoring forecast in year. Each claim will need to be assessed on a case by case basis, therefore it is not possible to estimate the potential impact, though this will be reported as the outcome of assessments are confirmed.

### **3.6 Homecare packages**

The cost of homecare packages, like other care line items, is calculated by reference to the number of clients in receipt of that service at the time of producing the monitoring report. However, experience shows that in a number of cases, the planned package will not be required for the full year and as a result a reduction in costs of 2% is allowed for.

### **3.7 Care Act**

The first phase of changes under the Care Act was introduced in April 2015. A Care Act implementation grant was made available to all upper tier authorities and the Council's grant was £(1.227)m. A schedule of proposed use of this funding was agreed by SLT and subsequently CMT and the planned usage of funding is attached at Appendix 6. The use of funding is being monitored and the current assumption for Period 5 is that spend will be in line with the Care Act implementation grant allocation.

Following on from the announcement of the delay in phase 2 implementation until 2020, there is a possibility that the Government may seek to recover some of the grant which has been allocated in 2015/16. The position will be monitored and any developments reported to future meetings.

### **3.8 Winter Pressures Funding**

Two amounts of Winter pressures funding were carried over from 2014/15 equating to £(0.393)m and £(0.187)m for DH and CCG funding respectively. Detailed plans are in place for the use of this funding and the assumption is that the funding will be fully utilised in 2015/16.

### **3.9 Better Care Fund**

Under the terms of the Better Care Fund agreement with the CCG, the Council secured £(2.0)m for the protection of social care services. A national condition of the funding allocated for the Better Care Fund is that collectively the CCG and Council should achieve targeted reductions of at least 3.5% in non-elective admissions. Should these reductions not be achieved, then funding allocated in respect of performance would not be released by NHS England and the CCG would be obliged to transfer this to the Acute sector. The amount of BCF funding in the BCF agreement relating to performance is £(1.319)m and the Council carries the risk of 30% of funding based on the agreed risk share of

70/30 between the CCG and the Council; this equates to circa £0.400m in 2015/16.

Information on non-elective admissions for quarters 1 and 2 have confirmed that planned reductions have not been met, which if this continues for the remainder of the year, means that there is a risk to BCF funding of £0.400m. This potential shortfall has been set aside as an earmarked reserve, therefore the full £2.0m transfer of funding to the Council is reflected in the forecast.

#### 4. Learning Disabilities (LD) Pooled Fund

- 4.1 The LD Pooled fund deficit was cleared at the end of 2014/15. The fund is therefore in balance at the start of the year and spend is expected to be in line with respective contributions from the Council and the CCG.

#### 5. Reserves

- 5.1 At the beginning of April 2015 the Children, Families and Wellbeing Directorate has accumulated balances of £(1.729)m carried forward from previous financial years.
- 5.2 The carry-forward balances and expected end of the year position is as follows:

	DSG	CFW
	(£000's)	(£000's)
Balance b/f 1 April 2015	(1,326)	(403)
Troubled Families Grant		(468)
Troubled Families Commitments 15/16		468
Specific commitments in 15/16		197
P5 Forecast Outturn 15/16	700	619
	<b>(626)</b>	<b>413</b>

The DCLG provided a grant for Troubled Families in 2014/15, which was not ring-fenced or spent. However, there are commitments made to partners for 2015/16.

There are also specific commitments originally made in 2014/15 that will now be spent in this financial year. These were reported in the 2014/15 period 12 monitoring report.

#### 6. Management Action

##### 6.1 Business Delivery Programme Board

Following the investigation into budget monitoring arrangements, the Business Delivery Programme Board refreshed the way it works. These arrangements will continue in 2015/16, subject to the merging of the Business Delivery Core group into a single All Age Board for Children and Adults.

Due to the scope and complexity of the budgets the separate reporting of Adults and Children's budget position will continue through respective Finance sub-groups of the Business Delivery Programme Boards.

## 6.2 Financial Awareness Training

In order to strengthen financial management, a comprehensive programme of training has been delivered to service managers. All budgets have undergone a RAG assessment approach to determine the level of risk, complexity and volatility. The results determined the level of support each budget and budget holder would receive from the Finance Team.

New budget monitoring templates were issued to create a more streamlined and consistent approach across each service area. The input from the budget holders means that the information and projections for each service are up-to-date and there will be greater control of the budget throughout the year.

Period 5 is the third time that monitoring of some budgets is reliant on forecasts made entirely by budget holders. The ability of budget holders to carry out these forecasts has been mixed, as would be expected when introducing such a fundamental change. Drop in sessions have been held by Finance teams for Period 5 monitoring to offer assistance to budget holders where required and these will continue to be held until Period 6 months. After this support with the completion of templates will be provided by exception, should this be requested. Where budget holders have had difficulty in forecasting, the Finance team has made assumptions for this monitoring report.



### Period 5 Projected Outturn revenue expenditure and income variances

The following tables detail the main variances from the revenue budget to the forecasted outturn, and the movements since the last monitoring report, in both Management Accounts (“Budget Book”) format and by cause or area of impact of the variance.

Budget Book Format (Objective analysis)	Full Year Revised Budget (£000's)	P5 Forecast Outturn (£000's)	P5 Outturn variance (£000's)	P4 Outturn Variance (£000's)	Period Movement (£000's)	Ref
<b>Children's Services Portfolio – DSG Element</b>						
Dedicated Schools Grant	0	700	700	700	0	CFW1
Transfer to Dedicated Schools Grant Reserve	0	(700)	(700)	(700)	0	CFW1
<b>Sub-total – DSG</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Children's Services Portfolio – Non DSG Element</b>						
Education Early Years' Service	4,881	4,749	(132)	(143)	11	CFW3
Children's Social Services	17,219	18,557	1,338	1,304	34	CFW2
Children with Complex & Additional Needs	1,329	1,157	(172)	(179)	7	CFW2
Commissioning	1,873	1,821	(52)	(52)	0	CFW3
Multi Agency Referral & Assessment Service (MARAS)	1,601	1,574	(27)	0	(27)	CFW3
Youth Offending Service	272	272	0	19	(19)	CFW3
Early Help Delivery Model	1,086	1,223	137	137	0	CFW3
				0		CFW3
<b>Sub-total – Non DSG</b>	<b>28,261</b>	<b>29,353</b>	<b>1,092</b>	<b>1,086</b>	<b>6</b>	
<b>CFW Children's Total</b>	<b>28,261</b>	<b>29,353</b>	<b>1,092</b>	<b>1,086</b>	<b>6</b>	

<b>Budget Book Format (Objective analysis)</b>	<b>Full Year Revised Budget (£000's)</b>	<b>P5 Forecast Outturn (£000's)</b>	<b>P5 Outturn variance (£000's)</b>	<b>P4 Outturn variance (£000's)</b>	<b>Period Movement (£000's)</b>	<b>Ref</b>
<b>Adult Social Services Portfolio</b>						
Long Term Support – client costs	39,112	39,694	582	543	39	CFW4
Short Term Support – client costs	557	188	(369)	163	(532)	CFW5
Social Support – Adult Placement / Carers Commissioned services	931	888	(43)	(57)	14	CFW6
Assistive Equipment & Technology	1,473	1,482	9	36	(27)	CFW7
Social Care Activities – Care Management	11,721	11,447	(274)	(721)	447	CFW8
Information and Early Intervention – Preventative Services	933	643	(290)	(65)	(225)	CFW9
Commissioning and Service Delivery	767	679	(88)	(83)	(5)	CFW10
Non-Adult Social Care – Supporting People	0	0	0	(9)	9	
DH Funding and un-allocated savings (Note 1)	(7,083)	(7,083)	0	(253)	253	CFW11
<b>CFW Adults Total</b>	<b>48,411</b>	<b>47,938</b>	<b>(473)</b>	<b>(446)</b>	<b>(27)</b>	
<b>Community Health &amp; Wellbeing Portfolio</b>						
Public Health	(867)	(867)	0	0	0	CFW12
<b>CFW Public Health Total</b>	<b>(867)</b>	<b>(867)</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>CFW Total</b>	<b>75,805</b>	<b>76,424</b>	<b>619</b>	<b>640</b>	<b>(21)</b>	

Note 1 – Budget previously included in Social Care Activities.

<b>Business Reason / Area (Subjective analysis)</b>	<b>P5 Outturn Variance (£000's)</b>	<b>P4 Outturn Variance (£000's)</b>	<b>Period Movement (£000's)</b>	<b>Ref</b>
<b>Children's</b>				
Management of staff vacancies	(211)	(39)	(172)	CFW2, CFW3
Transport Costs	0	(26)	26	CFW3
Client Need	1,225	1,000	225	CFW2
YOS Remand Placements	(70)	0	(70)	CFW2
Income	93	106	(13)	CFW2
Other running costs	55	45	10	CFW2, CFW3
<b>Total Children's</b>	<b>1,092</b>	<b>1,086</b>	<b>6</b>	
<b>Adults</b>				
Management of staff vacancies	(274)	(887)	613	CFW8
Client Need	213	706	(493)	CFW4, CFW5
2015/16 Savings not achieved	26	10	16	CFW6
Other running costs	(438)	(275)	(163)	CFW7,9,10, CFW11
<b>Total Adults</b>	<b>(473)</b>	<b>(446)</b>	<b>(27)</b>	
<b>Public Health</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Total CFW</b>	<b>619</b>	<b>640</b>	<b>(21)</b>	

## NOTES ON VARIANCES AND PERIOD MOVEMENTS

### CHILDREN'S SERVICES

#### CFW1 – DSG Reserve b/fwd.

- The brought forward DSG reserve balance is £(1.326)m. There are significant pressures within DSG which mean that there is an anticipated overspend of £0.700m, leaving a forecast reserve at the year-end of only £(0.626)m. The greatest pressure on the DSG is increasing numbers in SEN and the High Needs Block of the DSG being frozen. In previous years there has been an underspend on primary de-delegated budgets. However, Primary School budgets are under significant pressure and a central budget for Schools in financial difficulty (£0.400m) will be spent in 15/16.

#### CFW2 – Children's Social Services (Including CAN) £1.166m adverse variance

- There is a projected overspend of £1.225m, on client care packages as analysed in the table under 2.1. The main variances are in respect of external children's homes and agency foster care. The increases in costs are due to a combination of demographic growth and the complexity of need of children in care with more children requiring high cost specialist placements. £0.961m of the projected variance relates to external children's homes although this is only based on an increase of 6.0 placements over the year which indicates the volatility of the budget. This reflects a national trend following high profile reports into major failings in the system i.e. Rotherham.
- There is a projected shortfall in adoption income of £0.182m. It has now become apparent that in the North West the number of recruited adopters is exceeding the number of children awaiting adoption. This resulted from a legal judgement that placed a greater emphasis on a child returning home or to family members prior to consideration of adoption. We are currently developing an expression of interest with neighbouring LA's to for a Regional Adoption Agency in line with national policy.
- Staffing costs underspend on Children social care £(0.086m)
- There is additional income for CAN placements of £(0.076)m as a result of Continuing Health Care assessments that have identified eligible expenditure for children with complex health needs,
- General running costs favourable variance £(0.025)m
- Other variances - adoption grant £(0.054)m.

### **CFW3 – Various**

#### **Education Early Years**

- Favourable variance due mainly to staffing underspends and additional income £(0.132)m.

#### **Commissioning running costs**

- Forecast underspend on personalisation and supporting people contracts £(0.052)m.

#### **MARAS**

- Favourable variance due to expected impact of Evidence Based Review £(0.027)m.

#### **Early Help Delivery Model**

- Shortfall in delivery of savings £0.137m.

### **ADULT SOCIAL SERVICES**

#### **CFW4 – Long term client costs - £0.582m adverse**

- There is a projected gross pressure of client costs of £0.582m compared to budget. This projection is based on the current portfolio client recorded on Liquid Logic adjusted for expected Transition costs in year of £1.435m. An offset has been made of £(0.906)m for savings which are expected to be made against client costs for the remainder of the year based on Transformation projections. The forecast is based on those clients who have received packages of care in the year to date which may have closed and those currently open within the Liquid Logic system projected for the remainder of the year. Further details are included in Appendix 5.

#### **CFW4 – Short term client costs - £(0.369)m favourable**

- Variance mainly arising from the additional saving on in-house Reablement costs £(0.367m).

#### **CFW6 – Social Support – Adult Placement / Carers £(0.043)m favourable**

- Contract saving following renegotiation £(0.068)m.
- Adult Placement saving not achieved £0.026m. Saving reflected in CFW8.

#### **CFW7 – Assistive Equipment & Technology £0.009m adverse**

- Forecast adverse position of £0.009m. The potential for further capitalisation of costs in under consideration.

**CFW8 – Social Care Activities – Care Management teams £(0.274)m favourable**

Vacant posts and other staffing related savings across the following teams:

- Pathways and Network £(0.086)m;
- Screening Teams (Core and TGH) £0.027m adverse;
- Ascot House £(0.073)m;
- Community MH Organic team £(0.058)m;
- Community Mental Health team £(0.038)m;
- Community Social Work team South £(0.119)m;
- Principal Social Worker and Head of Independence posts –funded through vacancies; £0.073m;
- Direct Payments team £(0.015)m;
  - Other variances £0.015m.

**CFW9 – Information and Early Intervention £(0.290)m favourable**

- Extra Care Housing – underspend due to delay in Old Trafford scheme to 2017 £(0.279)m;
  - Reduction in IMCA costs £(0.014)m;
  - Other variances £0.002m.

**CFW10 – Commissioning & Service Delivery £(0.088)m**

- Commissioning Restructure – additional saving £(0.086)m;
- Other variances £(0.002)m.

**CFW11 – Non-Adult Social Care £Nil**

- Supporting People – budget transferred.

**CFW12 – Public Health £Nil**

- Overall spend is projected to be in line with Public Health grant.

**DH Funding and un-allocated savings £Nil**

- Winter pressures funding in balance.

## Appendix 2

CFW Rebased Savings 2015/16		2015/16 Revised Reduction	Forecast Saving	Variance
		(£000's)	(£000's)	(£000's)
Children with Complex Needs – use of personalisation	CS	(200)	(208)	(8)
Children in Care – expansion of in-house Children's home	CS	(50)	(37)	13
Home to School Transport	CS	(400)	(400)	-
Market Management	CS	(200)	(200)	-
Music Service	CS	(30)	(30)	-
Educational Psychology	CS	(100)	(100)	-
Governor Services	CS	(5)	(5)	-
Commissioning – reduction in multi-agency contracts	CS	(126)	(126)	-
Education Early Years – Early Help	CS	(3,079)	(2,942)	137
Education Early Years – Re-organisation	CS	(377)	(377)	-
Youth Offending Service	CS	(130)	(130)	-
<b>Sub-total Children Services</b>		<b>(4,697)</b>	<b>(4,555)</b>	<b>142</b>
Older People – Reablement	AS	(700)	(1,068)	(368)
LD - Re-negotiation of Contracts	AS	(13)	(13)	-
LD – Supported Living	AS	(203)	(203)	-
LD – Acceleration of Re-tendering	AS	(942)	(942)	-
PD – Telecare	AS	(116)	(116)	-
LD – Void Management	AS	(32)	(32)	-
Continuing Health Care	AS	(389)	(389)	-
Better Care Fund	AS	(2,000)	(2,000)	-
Voluntary and Community Sector	AS	(59)	(59)	-
LD – Ordinary Residence	AS	(1,082)	(1,047)	35
LD - Care Package Review	AS	(411)	(411)	-
LD – Development Fund	AS	(45)	(45)	-
LD – Review of Building Based Support	AS	(72)	(72)	-
Reshaping Trafford	AS	(682)	(682)	-
Mental Health – review of packages	AS	-	-	-
Floating Support Service	AS	(230)	(230)	-
Market Management	AS	(915)	(915)	-
Integrated Health & Social Care	AS	(500)	(500)	-
Commissioning – all age structure	AS	(830)	(830)	-
Commissioning – review of non-mandatory services	AS	(1,538)	(1,538)	-
<b>Sub-total Adult Social Care</b>		<b>(10,759)</b>	<b>(11,092)</b>	<b>(333)</b>
Other Adult Social Care savings TBC		(156)	-	156
<b>Total</b>		<b>(15,612)</b>	<b>(15,647)</b>	<b>(35)</b>

### Children in Care – Management Actions

**1.0 Context:** There were 325 children who were in the care of Trafford on the 30<sup>th</sup> June 2015 of which only 10 children were placed in external residential children's homes and 35 children were placed with foster carers from independent fostering agencies. The weekly unit cost of a placement in an external residential children's home is £3,210 and the weekly unit cost of a placement with a carer from an independent fostering agency is £841.

**1.1 Demographic Pressures:** The number of children in care has continued to steadily increase from 295 in April 2013 to 325 by July 31<sup>st</sup> 2015. The increase in the numbers of children in care in part reflects an increase in the Trafford children population but is also associated with young people being encouraged to remain in the care of their foster carers until they are older and have reached an age when they are better equipped to manage the transition to independent living. In addition the complexity of need of young people in the care system has increased reflected in the growing number of high cost external placements.

**1.2 Children Who Enter Care:** There is a robust gateway to agree admissions into care is overseen by senior managers. All children who enter care do so as an outcome of a needs led assessment which is completed by a social worker from area family support team. Wherever possible, children are placed with extended family members who are assessed and approved to become family and friends carers. Trafford have proactively encouraged the development of a strong, integrated and supported network of family and friends carers and currently 32% of the Trafford children in care population are placed with family and friends carers.

Trafford's strategic drive to place children with family and friends carers is driven by a view that family and friends carers:

- Achieve positive outcomes for children
- Are often the placement of choice for children who experience separation from their families
- Have a record of providing long-term permanent placements for children

The high percentage of children in family and friends placements also had a positive impact on reducing Trafford's dependency on placements with high cost independent fostering agency placements.

**1.3 Edge of Care Strategy:** Trafford has a robust range of services to support children who are identified as being at risk of being admitted into care. These services are integral components of Trafford's Edge of Care strategy. The narrative below describes the services that are in place to support children who are at risk of entering the care system:

1.3.1 Multi-systemic Therapy (MST) - this is an intensive family and community based treatment programme for young adolescents between the ages of 11 and 17 whose antisocial behaviours are placing them at risk of family breakdown. MST is a time-limited (three to five months), intensive and therapeutic programme that provides services in the family's home or at other locations such as the young person's



school. It is an evidence-based specialist intervention for children who are at high risk of entering care.

1.3.2 Outreach Service provides dedicated and targeted support to children on the, “edge of care” who are aged 4yrs to 17yrs. The team provide bespoke and tailored packages of support to children who are at risk of entry into care. The service delivers flexible and intensive programmes of support to children inclusive of weekend and out of hours support and the service is open 365 days of the year.

1.3.3 Stronger Families which is grant funded by the Department for Communities and Local Government (DCLG). The programme applies a nationally defined, whole family model of service delivery, to families who present with prescribed categories of presenting problems. The Trafford model provides a different approach to working with those families where results have not previously been achieved through business as usual models of support.

1.3.4 The Me2 is an evidence based programme for young people aged 11yrs to 17yrs providing a raft of support from a range of professionals. Young people who enter the programme progress through a points and levels process until they achieve graduation. It is a time limited programme which lasts approximately nine months and young people who graduate from the programme either return home or move onto long term placements. It is particularly positive in preventing escalation for complex young people into external placements.

**1.4 Market Management:** The major pressure within the budget is created by increased demand on high cost external placements. This is an exceptionally challenging market as the increasing numbers of young people requiring places nationally has significantly outstripped available capacity. To ensure we are able to maximise value for money a clear commissioning approach has been developed to liaise directly with providers. Collaborative work with other LA’s is also in place to try to expand our influence over providers.

1.4.1 The costs and quality of external placements is controlled by the use of two frameworks of providers:

- The Greater Manchester Residential Framework of Providers has been developed by commissions across the region to deliver residential placements which are underpinned by a framework of costs and quality standards. The average unit cost of an external residential placement is currently £3,073 (this is lower than the average unit that was seen in 2014/15 which was £3,403).
- The Northwest Fostering Contract is a framework of independent fostering providers who deliver foster placements which like the residential framework are underpinned by a framework of costs and quality standards. In 2015/16, there has been an increase in the number of children with very complex needs and this has contributed to an increase in the weekly unit costs of external placement which have risen from £850 in 2014/15 to the current figure of £884.

1.4.2 In response to the increase in the numbers of children in care and Trafford’s increased dependency on external high cost providers Trafford have implemented the following strategic initiatives:

- In November 2015, Trafford will close an existing two bedded Children's home and re-open it, at a different location, as a three bedded home. This action will provide an opportunity for one additional child to reside in a small group living environment and will reduce the unit costs of the provision. The additional placement will be reserved for children with complex and challenging needs and will reduce dependency on high costs external residential placements.
- Trafford will continue to rollout an on-going and successful fostering marketing and recruitment strategy. This Strategy will be targeted at the recruitment of carers for older children who are at higher risk of being placed with external providers. The strategy has to date been a successful one and in 2014-15, Trafford recruited 8 foster placements for teenage children and in 2015-16 we are on target to recruit 14 foster placements for teenage children.

**1.5 Trafford Placement Panel:** All requests to place children in either external residential or fostering placements are initially considered by Trafford's Placements Panel which meets each Monday morning. This panel is chaired by a Head of Service and includes a range of key officers. The panel considers all requests for external placements and:

- Assesses the suitability of the request;
- Considers whether any in-house placements can be identified which might meet the needs of the child.

The panel works proactively and innovatively to try to identify any in-house placement which might offer an alternative placement to a high cost external placement. Where the panel identify that there are no in-house placements available, the panel make a recommendation for the approval of an external agency to the Director for approval. The placement panel is also used to:

- Track previously agreed timescales for the return of children who are placed in external provision to internal provision;
- Track budget projections so as to ensure that financial monitoring reports are accurate;
- Develop innovative alternative packages of care which offer a direct alternative to the use of external placement;
- Ensure that when an external placement is required that it is both time limited, cost effective, high quality and suitably matches the needs of the child;
- Ensures that any joint funding arrangements are explored inclusive of those placements which meet the threshold for funding contributions from health partners.

## **Zero Base Review – Budget Changes**

### **Summary of main changes**

In 2014 the Government introduced changes to the basis of reporting Adult Social Care to more appropriately reflect the move to more personalised and preventative services in social care.

Under the changes a new hierarchy of reporting was introduced based on the following structure:

#### **FR001 – Long Term Support**

- Age 18-64 years
- Age 65-74 years
- Age 75-84 years
- Age 85+

#### **FR002 – Short Term Support**

- Age 18-64 years
- Age 65-74 years
- Age 75-84 years
- Age 85+

#### **FR003 – Social Support**

#### **FR004 – Assistive Equipment and Technology**

#### **FR005 – Social Care Activities**

#### **FR006 – Information and Early Intervention**

#### **FR007 – Commissioning & Service Delivery**

With each range services are further split according to Primary Support Reasons (PSR) which are: Physical, Sensory, Memory & Cognition, Learning Disability, and Mental Health.

These replace the former client categories of Older People, Learning Disability, Physical Disability and Mental Health.

Reporting on the new basis is mandatory for financial and performance reporting from April 2015 and 2015/16 budgets have been reviewed to re-allocate them according to the new ZBR reporting requirements.

This basis of reporting will be used for all future national financial and performance statutory reporting. Further details of budget virements are available if required.

## Long Term Client Costs Forecast: Month 5

Service by PSR	Budgeted Annual Cost	Forecast Cost of Care (P5)			Variance
		Average Service Users	Average Weekly Cost	Forecast Annual Cost	
	(£000'S)	No.	£	(£000'S)	(£000'S)
<b>Learning Disability</b>					
Community Services	9,809,135	218	877	9,937,303	128,168
Direct Payments	3,921,666	250	320	4,157,733	236,067
Residential/Nursing	5,818,861	57	1,483	4,396,555	(1,422,306)
<b>Sub-total</b>	<b>19,549,662</b>	<b>525</b>	<b>677</b>	<b>18,491,591</b>	<b>(1,058,071)</b>
<b>Mental Health Support</b>					
Community Services	1,208,734	686	34	1,229,945	21,211
Direct Payments	572,227	55	208	593,532	21,305
Residential/Nursing	3,593,646	187	382	3,718,575	124,929
<b>Sub-total</b>	<b>5,374,607</b>	<b>928</b>	<b>115</b>	<b>5,542,052</b>	<b>167,445</b>
<b>Physical Support</b>					
Community Services	3,518,640	910	93	4,393,505	874,865
Direct Payments	2,853,506	269	202	2,827,075	(26,431)
Residential/Nursing	6,482,446	399	327	6,788,341	305,895
<b>Sub-total</b>	<b>12,854,592</b>	<b>1,578</b>	<b>171</b>	<b>14,008,921</b>	<b>1,154,329</b>
<b>Sensory Support</b>					
Community Services	187,943	70	74	268,130	80,187
Direct Payments	167,853	25	161	209,670	41,817
Residential/Nursing	469,710	30	343	534,411	64,701
<b>Sub-total</b>	<b>825,506</b>	<b>125</b>	<b>156</b>	<b>1,012,211</b>	<b>186,705</b>
<b>Social Support</b>					
Community Services	153,596	73	30	112,852	(40,744)
Direct Payments	114,445	15	205	160,106	45,661
Residential/Nursing	175,521	7	407	148,070	(27,451)
<b>Sub-total</b>	<b>443,562</b>	<b>95</b>	<b>85</b>	<b>421,028</b>	<b>(22,534)</b>
<b>Support with Memory and Cognition</b>					
Community Services		7	66	23,879	30,808
Direct Payments	64,254	0		4,416	4,416
Residential/Nursing		9	406	189,816	118,633
<b>Sub-total</b>	<b>64,254</b>	<b>16</b>	<b>262</b>	<b>218,111</b>	<b>153,857</b>
<b>Total</b>	<b>39,112,183</b>	<b>3,267</b>	<b>234</b>	<b>39,693,914</b>	<b>581,731</b>

## Proposed use of funding 2015/16

Area of Spend	Forecast Cost 2015/16	Type of cost
Self-funders additional assessments and reviews in 2015/16 – 4 x social worker and 4 x social work assessors	£290,710	Staffing
Financial Assessments – Exchequer Services support officer	£21,375	Staffing
Carer costs – includes assumed £200k contribution to Carers Centre	£361,183	Commissioned service, carer payments.
Information and advice	£48,448	TBC
Prevention		
Independent financial advice		
Access to advocacy	£50,500	Commissioned services and service user support
Safeguarding Boards	£30,000	
Market oversight regime – quality management – Market Relationship Officer	£44,348	Staffing
National eligibility – continuity of care between areas	£70,000	Package costs contingency
National eligibility – transition		
Eligibility Threshold – Recurring costs		
Legal Reform – Transition costs	£50,000	Contingency
Implementation of legal reform		
Training and development – Training Officer	£31,293	Staffing
Communications	£10,000	Publicity materials
ICT – ICT Project Manager (P/T)	£29,760	Staffing
ICT – system support costs	£57,240	
Project Management	£125,000	Staffing
Contingency	£7,143	Contingency
<b>Total</b>	<b>£1,227,000</b>	

## TRAFFORD MBC

Report to: Economic Growth, Environment and Infrastructure  
Directorate Management Team

Date: 28 September 2015

Report for: Discussion

Report author: Finance Manager

Report Title

## Revenue Budget Monitoring 2015/16 – Period 5 (April 2015 to August 2015)

**1. Forecast Outturn for the Year**

- 1.1 The approved revenue budget for the year is £32.257m. The forecast outturn is £31.967m, which is £(0.290)m under the approved budget. This is a favourable movement of £(0.017m) since last reported.
- 1.2 Key movements relate to updated forecasts of staff vacancies across the Directorate £(0.052)m offset by reduced income projections in Bereavement Services £0.015m and Parking £0.020m.
- 1.3 The approved budget for 2015/16 includes savings of £(2.814)m and all are projected to be delivered in full (paragraph 4). Savings include £(2.250)m from the Joint Venture Contract (JVC) with Amey LG for Environmental, Highways, Street Lighting, Technical and Property Services.
- 1.4 The JVC contract commenced on 4th July 2015 for 15 years, and will be monitored through the payment and performance mechanism agreed with Amey as part of the procurement process. The budget monitoring reported for services in-scope of the JVC for 2015/16 will reflect actual and forecast economic activity both before and after the contract start date.
- 1.5 For traded services (catering and cleaning) there is a forecast net traded surplus of £(0.132)m at the end of March 2016. The service manages its costs and income over school terms and academic years rather than financial years and any surplus at the end of March is expected to be required to continue investment in the service and in particular improve readiness for the new academic year in September 2016.
- 1.6 The Directorate has brought forward balances of £(1.738)m from previous years (paragraph 3). This will be utilised for one-off budget pressures in 2015/16 and also to support initiatives to protect services and deliver future efficiencies and income generation. The balance after known commitments and the forecast outturn is £(0.477)m.
- 1.7 This is the third monitoring report of the financial year and, hence, the information available to produce the forecast outturn will be refined and subject to change as the year progresses. The main assumptions included in the financial forecasts are listed in paragraph 5.

## **2. Summary of Variances**

- 2.1 The overall favourable variance of £(0.290)m reflects a number of individual under and overspends across the diverse areas of the Directorate, as detailed in Appendix 1 and summarised below.
- 2.2 A favourable one-off income variance is projected from Oakfield Road car park £(0.120)m. Income from other fees and charges is higher than budgeted for the GM Road Access Permit Scheme £(0.010)m, airport rent £(0.021)m and planning fees £(0.185)m. There are income shortfalls forecast relating to building control £0.062m, parking enforcement (one-off) £0.056m and other fees £0.020m, bulky and commercial waste £0.010m, public protection (licencing & pest control) £0.032m. In addition, fee income from capital schemes is £0.132m lower than budgeted for the pre-JVC period. Total income is forecast to be £(0.012)m above budget. This is an adverse movement of £0.031m which relates in particular to reduced forecasts of Bereavement Services income £0.015m and parking income £0.020m. Other minor income movements are net favourable £(0.004)m.
- 2.3 There are a number of favourable variances relating to staffing budgets as a result of turnover or vacancy management £(0.100)m. This is a favourable movement of £(0.052)m from last report, which includes £(0.039)m relating to senior management posts and net £(0.013)m across the other service areas.
- 2.4 Other running cost are projected to be £(0.178)m underspent, which is a minor adverse movement of £0.004m from last reported.
- 2.5 Management action will continue over the financial year end period and into 2015/16 to ensure that essential services are delivered within budget and to seek out opportunities for future financial benefits. This includes:
- Only necessary spending on supplies and services to be approved;
  - Systematic monitoring and evaluation of existing and potential new income streams;
  - Analysis of rechargeable work for both revenue and capital schemes;
  - Additional improvements to efficiency through service redesign and better procurement;
  - Potential to accelerate future savings proposals.

## **3. Reserves**

- 3.1 At the end of 2014/15 the Directorate had a surplus on accumulated balances of £(1.738)m, which was carried forward to 2015/16. This was a result of the successful management of budget pressures and additional income generation in the last three years.
- 3.2 The remaining balance on the EGEI Directorate Reserve after the forecast outturn for 2015/16, future known commitments and re-phasing of projects is £(0.477)m (table below). The EGEI Reserve will be utilised on initiatives to generate future savings and income generation to support service provision within the on-going revenue budget constraints. In addition, the opportunity has been taken to accelerate the resolution of some one-off issues (e.g. stock write offs) prior to the commencement of JVC contract. The reserve may also be required for other one-off budget pressures arising during the year.

<b>Utilisation of Carry forward Reserve 2015/16</b>	<b>(£000's)</b>
EGEI Surplus balance brought forward at 1 April 2015	(1,738)
Commitments	1,551
Period 5 forecast outturn (favourable)	(290)
<b>Balance after known commitments</b>	<b>(477)</b>

#### 4. Savings

- 4.1 The approved Directorate budget includes 2015/16 savings of £(2.814)m, and all are projected to be achieved in full over the financial year, as follows :

	<b>Budget (£000's)</b>	<b>Forecast (£000's)</b>	<b>Variance (£000's)</b>
Efficiencies and others	(2,336)	(2,336)	0
Increased and new income	(324)	(324)	0
Policy Choice	(154)	(154)	0
<b>Total EGEI</b>	<b>(2,814)</b>	<b>(2,814)</b>	<b>0</b>

#### 5. Forecasting and Risk

- 5.1 There are key assumptions and/or areas of risk in producing the forecast outturn. These are listed below but will generally reduce as the financial year progresses as data becomes confirmed.
- Joint venture contract – the budget monitoring for services in-scope of the JVC reflects economic activity both before and after the contract start date of 4<sup>th</sup> July 2015. A number of activities and works cross cut the contract start date (e.g. works in progress), plus a number of temporary arrangements are in place to ensure business continuity during the cut over period (e.g. continued collection of income on behalf of Amey). All related financial transactions will be allocated and recharged between the Council and Amey over the relevant periods. It is also likely there will be residual pre-contract related transactions throughout the financial year.
  - The JVC contract will be monitored using the payment and performance mechanism agreed as part of the procurement process. This is designed to incentivise performance to the standards agreed and the Council has the ability to deduct fees in cases of non-performance. This will form part of the monthly billing and review process.
  - The wholesale price of energy which the Council procures influences only around 50% of the Council's energy bill. The remainder is influenced by transmission and distribution costs – for example Distribution Use of System Charges are passed on to the Council by the Distribution Network Operator, and are unavoidable. There is hence a risk of future energy cost increases which are not bound by the Council's contracted prices.
  - Fee income from capital works varies depending on the progress of delivering the approved capital programme during the year. The full year budget assumption from fees is £(2.000)m and this risk has effectively been transferred to Amey from July 2015 for services in-scope of the JVC (e.g. Highways and Property). The JVC contract is structured in a way which incentivises Amey to progress in delivering the programme on time.



However, the charging of capital fee income will still need to be monitored against the profile for both the pre and post contract budgets as capital works progress.

- Demand led fees and charges income, such as from Parking, Licencing, Planning and Building Control, will vary based on economic conditions and customer behaviour. All fees and charges are monitored weekly or monthly, with trends and previous profiles used to inform forecasts. For services in-scope of the JVC, fee income is guaranteed in the contract price. The Council will also share in any additional income generated by Amey under the contract. Adjustments and recharges will need to be actioned in the Council's accounts for any income collected on behalf of Amey during the transition period.
- Investment property income – this varies depending on economic factors, and includes income from shopping centres (e.g. Stretford Mall) where lettings and rents are the responsibility of the owners of the properties. This can include backdated rent income notified by managing agents later in the year. Property is managed by Amey under the JVC contract although the Council is still billing and recovering these rents under the continuing contract transition arrangements.
- Weather related incidents impact on costs and income, particularly during the winter months. This includes increased winter maintenance costs (gritting etc.), pot hole damage to highways, tree and other infrastructure damage. These services are largely in-scope of the JVC and this risk has been transferred to Amey under the contract as the service fee payable is fixed for the year in advance. The Directorate has £0.120m in a Winter Maintenance reserve to smooth any pressures across financial years, if required.
- GM Waste Disposal Authority levy – each month the WDA notifies GM Councils of variances in the actual tonnages of waste delivered compared to that assumed when setting the levy at the start of the year. This results in an additional cost or rebate per Council. Actual tonnages can be affected by weather and also customer behaviour, for example levels of recycling. The latest notification from the WDA indicates disposal costs are in line with budget.

## **6. Recommendations**

- 6.1 It is recommended that the forecast outturn be noted.

**Period 5 Forecast Outturn revenue expenditure and income variances.**

The following tables detail the main variances from the revenue budget to the forecast outturn, and the movements since the last monitoring report, in both Management Accounts (“Budget Book”) format and by cause or area of impact of the variance.

<b>Economic Growth, Environment &amp; Infrastructure Budget Book Format (Objective analysis)</b>	<b>Full Year Budget (£000's)</b>	<b>P5 Forecast Outturn (£000's)</b>	<b>P5 Forecast Variance (£000's)</b>	<b>P4 Forecast Variance (£000's)</b>	<b>Period Movement (£000's)</b>	<b>Ref</b>
Highway and Network Management, including Traffic & Transportation	3,391	3,336	(55)	(55)	0	EGE11
Groundforce	4,201	4,267	66	66	0	EGE12
Sustainability & Greenspace	336	284	(52)	(52)	0	
Bereavement Services	(1,128)	(1,124)	4	(2)	6	
Waste Management (incl. WDA levy)	19,561	19,558	(3)	(3)	0	EGE13
Public Protection & Enforcement	760	804	44	43	1	
Parking Services	(538)	(653)	(115)	(119)	4	EGE14
School Crossing Patrols	403	399	(4)	(4)	0	
Strategic Support Services	509	459	(50)	(25)	(25)	EGE15
<b>Sub-total Environment &amp; Operations Portfolio</b>	<b>27,495</b>	<b>27,330</b>	<b>(165)</b>	<b>(151)</b>	<b>(14)</b>	
Property and Development	2,665	2,688	23	10	13	EGE16
Economic Growth	730	660	(70)	(56)	(14)	EGE17
Housing Strategy	571	517	(54)	(56)	2	EGE18
Strategic Planning & Development	538	517	(21)	(23)	2	
Planning & Building Control	(157)	(160)	(3)	3	(6)	EGE19
Directorate Strategic Management	416	416	0	0	0	
<b>Sub-total Economic Growth &amp; Planning Portfolio</b>	<b>4,763</b>	<b>4,638</b>	<b>(125)</b>	<b>(122)</b>	<b>(3)</b>	
<b>Operational Services for Education (Catering &amp; Cleaning Traded Service)</b>	<b>(1)</b>	<b>(1)</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Total Forecast Outturn Period 5</b>	<b>32,257</b>	<b>31,967</b>	<b>(290)</b>	<b>(273)</b>	<b>(17)</b>	

<b>Economic Growth, Environment &amp; Infrastructure Business Reason / Area (Subjective analysis)</b>	<b>P5 Outturn Variance (£000's)</b>	<b>P4 Outturn Variance (£000's)</b>	<b>Period Movement (£000's)</b>	<b>Ref</b>
<b>Highways and Network Management incl. Traffic &amp; Transportation</b>				
Income shortfall, including moving traffic offences	6	6	0	
GMRAPs income above budget	(10)	(10)	0	
Capital fee income shortfall	75	75	0	
Staff vacancies	(12)	(12)	0	
Running costs	(40)	(40)	0	
Energy – Street Lighting	(60)	(60)	0	
<b>Depot &amp; Business Support</b>				
Supplies & Services	(14)	(14)	0	
<b>Sub-total</b>	<b>(55)</b>	<b>(55)</b>	<b>0</b>	EGEI1
<b>Groundforce</b>				
Staffing and Transport costs	55	55	0	
Other running costs – contractors, plant hire, fuel	11	11	0	
<b>Sub-total</b>	<b>66</b>	<b>66</b>	<b>0</b>	EGEI2
<b>Sustainability &amp; Greenspace</b>				
Vacancy, supplies & services	(41)	(41)	0	
Income above budget	(11)	(11)	0	
<b>Sub-total</b>	<b>(52)</b>	<b>(52)</b>	<b>0</b>	
<b>Bereavement Services</b>				
Staffing and running costs	(3)	6	(9)	
Income shortfall (surplus)	7	(8)	15	
<b>Sub-total</b>	<b>4</b>	<b>(2)</b>	<b>6</b>	
<b>Waste Management and Disposal</b>				
Staffing and running costs	(13)	(13)	0	
Income shortfall – bulky and commercial waste	10	10	0	
<b>Sub-total</b>	<b>(3)</b>	<b>(3)</b>	<b>0</b>	EGEI3

<b>Economic Growth, Environment &amp; Infrastructure Business Reason / Area (Subjective analysis)</b>	<b>P5 Outturn Variance (£000's)</b>	<b>P4 Outturn Variance (£000's)</b>	<b>Period Movement (£000's)</b>	<b>Ref</b>
<b>Public Protection &amp; Enforcement</b>				
Staffing costs	26	22	4	
Running costs	(14)	(6)	(8)	
Income shortfalls including licensing	32	27	5	
<b>Sub-total</b>	<b>44</b>	<b>43</b>	<b>1</b>	
<b>Parking Services</b>				
Staffing & running costs	(71)	(55)	(16)	
Oakfield Road car park remaining open	(120)	(120)	0	
Income – other locations	76	56	20	
<b>Sub-total</b>	<b>(115)</b>	<b>(119)</b>	<b>4</b>	EGEI4
<b>School Crossing Patrols - vacancies</b>	<b>(4)</b>	<b>(4)</b>	<b>0</b>	
<b>Director &amp; Business Support</b>				
Staffing and Running costs	(50)	(25)	(25)	EGEI5
<b>Sub-total Environment &amp; Operations Portfolio</b>	<b>(165)</b>	<b>(151)</b>	<b>(14)</b>	
<b>Property and Development</b>				
Investment Property Rental Income:				
- Urmston Town Centre – one-off surplus	(11)	(11)	0	
- Airport – surplus	(21)	(21)	0	
- Other properties - surplus	15	24	(9)	
Community buildings – income/running costs	29	29	0	
Admin Buildings running costs	(60)	(60)	0	
Facilities Management/other staffing vacancies	(35)	(21)	(14)	
Other running cost variances	43	13	30	
Major projects capital fee income	63	57	6	
<b>Sub-total</b>	<b>23</b>	<b>10</b>	<b>13</b>	EGEI6
<b>Economic Growth</b>				
Staffing vacancies	(75)	(58)	(17)	
Other running costs	5	2	3	
<b>Sub-total</b>	<b>(70)</b>	<b>(56)</b>	<b>(14)</b>	EGEI7
<b>Economic Growth, Environment &amp; Infrastructure Business Reason / Area</b>	<b>P5 Outturn Variance</b>	<b>P4 Outturn Variance</b>	<b>Period Movement</b>	

(Subjective analysis)	(£000's)	(£000's)		Ref
<b>Housing Strategy</b>				
Staffing	(37)	(36)	(1)	
Running costs	(17)	(20)	3	
<b>Sub-total</b>	<b>(54)</b>	<b>(56)</b>	<b>2</b>	EGEI8
<b>Strategic Planning &amp; Development</b>				
Staffing/running costs savings	(21)	(23)	2	
<b>Planning &amp; Building Control</b>				
Planning applications income	(185)	(179)	(6)	
Building Control income shortfall	62	62	0	
Staffing including interim support	97	89	8	
Other running costs	23	31	(8)	
<b>Sub-total</b>	<b>(3)</b>	<b>3</b>	<b>(6)</b>	EGEI9
<b>Sub-total Economic Growth &amp; Planning Portfolio</b>	<b>(125)</b>	<b>(122)</b>	<b>(3)</b>	
<b>Total Forecast Outturn EGEI Period 5</b>	<b>(290)</b>	<b>(273)</b>	<b>(17)</b>	

### Summary Variance Analysis Period 5

All Services	Savings £000	Staff £000	Running Costs £000	Income £000	Total Variance £000
<b>Period 4</b>	0	(48)	(182)	(43)	(273)
<b>Period 5</b>	0	(100)	(178)	(12)	(290)
<b>Period Movement</b>	<b>0</b>	<b>(52)</b>	<b>4</b>	<b>31</b>	<b>(17)</b>

### ADDITIONAL NOTES ON FORECAST OUTTURN VARIANCES

#### EGEI1 – Highways & Network Management - £(0.055)m (favourable)

Income generation of £(0.030)m is included in the budget from moving traffic offences. This is part of an AGMA initiative to improve safety and traffic flows on major routes and the project timeline has been re-phased to later in 2015/16.

Running costs are expected to be £(0.040)m under budget over a number of service areas. This mainly reflects forecasts of maintenance costs in highways and street lighting up to the 4<sup>th</sup> July 2015 commencement date of the JVC with Amey.

Staffing is £(0.012)m underspent for the pre JVC period.

There is additional income above budget of £(0.010)m from the Greater Manchester Road Access Permit Scheme, which was implemented during 2013/14.

Fee income from technical and consultancy work charged to capital schemes is projected to be £0.075m below budget due to the timing of capital works up to the commencement of the JVC contract.

Street Lighting energy costs are projected to be £(0.060)m less than budgeted based on latest projected usage volumes and the contract prices from April 2015.

**EGEI2 – Groundforce - £0.066m (adverse)**

Staffing, plant, contractor and transport costs are £0.066m overspent relating to the period up to the commencement of the JVC contract

**EGEI3 – Waste Management and Disposal - £(0.003)m (favourable)**

There is an underspend in staffing and contract costs of £(0.013)m for the period prior to the commencement of the JVC contract. Bulky waste and commercial waste income is £0.010m less than expected for this period.

**EGEI4 – Parking Services – £(0.115)m (favourable)**

The approved budget from 2013/14 included assumptions regarding the partial, then full closure of Oakfield Road car park during the year as part of the regeneration of Altrincham Town Centre. The re-phasing of the town centre project has resulted in forecast income being £(0.120)m above budget, which has continued from last year.

Other car parking income is projected to be £0.076m under budget, which includes for the period of relaxed enforcement shortly after the recent change in prices. This is an adverse movement of £0.020m from last reported.

The parking enforcement contract and other running costs are expected to be £(0.071)m underspent, which is a favourable movement of £(0.016)m.

**EGEI5 – Director and Business Support – £(0.050)m (favourable)**

There is a forecast underspend on senior management staffing. This is £(0.025)m higher than last reported due to recent staff leavers.

**EGEI6 – Property and Development - £0.023m (adverse)**

Manchester Airport rent is £(0.021)m above budget following notification from Manchester City Council of new rent levels.

Forecast fee income from capital and external projects is £0.063m less than budgeted for the period up to the commencement of the JVC contract which reflects the phasing of capital works.

Administrative building running costs are less than expected across the portfolio by £(0.060)m. This includes a £(0.053)m underspend relating to the catering concession at Altrincham Town Hall.

**EGEI7 – Economic Growth Team – £(0.070)m (favourable)**

There is an underspend in staffing and running costs of the Altrincham Town Team as service review and potential re-design is implemented in this area. There is a favourable movement of £(0.017)m from last reported due to revised forecasts of vacant posts.

**EGEI8 – Housing Strategy – £(0.054)m (favourable)**

Staffing costs are forecast to be £(0.037)m underspent due to secondments, with running costs including the housing options contract £(0.017)m underspent.

### **EGEI9 – Planning and Building Control – £(0.003)m (favourable)**

Projected income from planning fees is £(0.185)m higher than budgeted which is a trend continuing from last financial year. This is a favourable movement of £(0.006)m based on latest income forecasts. There is a projected shortfall in income from building control fees of £0.062m, which is also a continuation of difficult trading conditions and external competition. The service is reviewing its business plan to improve its financial position. Both fees are monitored regularly.

There is a projected overspend on staffing of £0.097m which reflects the appointment of interim staff to cover vacancies and address the resulting capacity issues. These posts contribute to the achievement of the additional planning income above and is £0.008m higher than last reported. The permanent filling of vacant posts will be addressed by the on-going restructure of the combined Directorate. Running costs are £0.023m higher than budget, a favourable movement of £(0.008)m.

### **EGEI10 – Traded Services (Catering and Cleaning)**

There is a net traded surplus forecast for the end of March 2016 of £(0.132)m. However, the service manages its costs and income over school terms and academic years rather than financial years and any surplus at the end of March is earmarked to continue the investment in the service. This is particularly to improve readiness for the new academic year in September 2016.

## TRAFFORD MBC

**Report to:** Transformation and Resources Directorate Management Team  
**Date:** 30 September 2015  
**Report for:** Discussion  
**Report author:** Finance Manager

Report Title

## Revenue Budget Monitoring 2015/16 – Period 5 (April 2015 to August 2015)

**1. Forecast Outturn for the Year**

- 1.1 The approved revenue budget for the year is £17.111m with a forecast outturn of £17.000m. This results in a projected underspend of £(0.111)m, which is £0.014m less than last reported. The key variances and movements are shown in section 2 below and Appendix 1.
- 1.2 The forecast outturn for the Directorate reflects underspends of £(0.354)m on staffing, due to higher than expected vacancy levels, and £(0.102)m from cost control on levels of running expenses. This is offset by a reduction in the planned level of savings of £0.283m, and a shortfall in expected income of £0.062m.
- 1.3 The Directorate has brought forward balances of £(1.501)m from previous years (section 3). This will be utilised to support initiatives to reshape Trafford and deliver future efficiencies and income generation. The balance after known commitments and the forecast outturn is £(1.104)m.

**2. Summary of Variances**

- 2.1 The overall underspend of £(0.111)m reflects a number of individual under and overspends across the Directorate, with comments on the main variances from budget and movements from the last report shown below.

**Staffing**

- 2.2 Forecast staffing costs based on actual and projected vacancies are £(0.354)m less than budget across the Directorate. Vacancy levels are projected to be approximately 1.8% higher than assumed in the setting of the 2015/16 budget, and is a consequence of a delay in appointing to a number of vacancies on some service restructures. Vacancies are forecast on a post by post basis each month and the projected underspend has increased by £(0.021)m from the last report.

**Running Costs**

- 2.3 Overall running costs are forecast to be £(0.027)m less than budgeted. This is a result of cost control across all services in order to keep the overall Directorate spend within budget for the year. There is an adverse movement of £0.011m since last reported relating to minor variations across the Directorate. In addition, a one-off saving is expected to be realised of £(0.075)m as a result of a settlement of a claim in relation to supplier performance in ICT where liability has been acknowledged.



## Savings

- 2.4 The projected £0.283m shortfall in savings relates to Library Service and ICT proposals for 2015/16 of £0.154m and £0.129m respectively. The Library saving shortfall is £(0.010)m favourable since than last reported. Further details are listed below in paragraph 4.

## Income

- 2.5 The £0.062m shortfall in external income is a net figure. This includes a £0.072m shortfall from CCTV services, which is £0.012m higher than projected last month due to updated forecasts of contract volumes. Work is on-going to redesign the CCTV service delivery model which will address the budget pressure, which has been continued from 2014/15, and will deliver sustainable benefits going forward.
- 2.6 Additional income shortfalls relate to legal land charges £0.009m and internal legal costs charged to capital schemes £0.022m. These income streams are affected by external factors and levels of staff vacancies, and the aim is to mitigate any shortfalls in line with budget for the remainder of the year.
- 2.7 There is a £0.050m shortfall in budgeted Council tax liability order income, which is £0.025m higher than last reported. This income reduces as council tax collection rates improve but is offset in the Council's separate Collection Fund account. It is proposed to realign this budget from 2016/17 through the Medium Term Financial Plan.
- 2.8 The income shortfalls are offset in the main by £(0.053)m of additional income from grants in the Revenues and Benefits Service. The Revenue and Benefits Service has had a number of grants awarded in-year and rolled forward from 2014/15 to support spending, leading to increased levels than budgeted at the start of the year. This is £(0.005)m higher than last reported. Additional income is also included relating to events and advertising £(0.023)m and across a number of other service areas £(0.015)m.

## 3. Reserves

- 3.1 At the end of 2014/15 the Directorate had a surplus of £(1.501)m in its reserve, which has been carried forward to 2015/16. This was a result of the successful management of the budget in previous years.
- 3.2 The remaining balance on the T&R Directorate Reserve after the forecast outturn for 2015/16, future known commitments and re-phasing of projects is £(1.104)m (table below). The T&R Reserve will be utilised on initiatives and project based activity in support of Reshaping Trafford and also to generate future savings and income generation. Commitments will be underpinned by business cases and will be reviewed each month as the financial year progresses.

<b>Utilisation of Carry forward Reserve 2015/16</b>	<b>(£000's)</b>
T&R Surplus balance brought forward at 1 April 2015	(1,501)
Commitments 2015/16	508
Period 5 forecast outturn (favourable)	(111)
<b>Balance after known commitments</b>	<b>(1,104)</b>

## 4. Savings

- 4.1 The T&R budget for 2015/16 includes savings of £(2.848)m. This originally included £0.550m in respect of the libraries rationalisation but this figure was revised down

by £0.050m when the outcome of the second phase of consultation was reported to Executive in March 2015. This reduction has been met from savings in the Treasury Management budget as a consequence of rephasing of the capital programme in 2014/15. The updated T&R savings target for 2015/16 is therefore £(2.798)m and actual savings of £(2.576)m are forecast to be achieved with £0.222m of savings re-phased and £0.061m requiring alternative solutions.

<b>Saving Description</b>	<b>Savings Shortfall (£000's)</b>
Libraries re-phased saving (a)	154
ICT re-phased procurement savings (b)	68
ICT savings not able to be realised (b)	61
<b>Total</b>	<b>283</b>

4.2 The shortfall in savings delivery is reflected in the forecast outturn and are summarised below:

(a) Libraries – an overall £(0.500)m saving is included in the approved revenue budget. This includes both staffing and property cost reductions. Due to additional consultations and re-phasing of delivery plans, £(0.346)m is expected to be achieved in 2015/16. This gives a shortfall of £0.154m in-year, with the full year saving to be delivered in full during 2016/17.

The £0.154m shortfall relates to a delay in the closure of libraries (Bowfell, Davyhulme and Lostock, the redevelopment of Hale and Timperley Libraries) and changes to in-year delivery at Coppice as part of the consultation process. The shortfall is £(0.010)m lower than last reported due to revised forecasts of staffing costs.

Whilst the delay in implementing some library changes has impacted on savings overall there are significant benefits to the Council in terms of the final proposals agreed. With redevelopment of a number of sites to include residential dwellings which will attract new homes bonus, council tax and a capital receipt.

(b) ICT savings of £(0.750)m are included in the approved budget. This includes staffing and contract procurement reductions. Savings of £(0.621)m are forecast to be achieved in 2015/16; a shortfall of £0.129m as follows:

- £0.068m relates to procurement processes which have taken longer than planned. These are currently due to be delivered by April 2016 with work underway to accelerate this if possible by reducing the tender period (subject to Procurement approval).
- Savings of £0.061m will not be achieved following a further technical assessment of individual proposals. This relates mainly to the installation of new back up arrangements where realisation of the saving is now unlikely and alternative measures are being sought. This includes a plan to identify all third party spend for review, with the aim of looking for additional opportunities to aggregate to less suppliers and re tender contracts.

4.3 The shortfall in savings against budget is forecast to be fully mitigated by in year net underspends from the management and monitoring of the whole Directorate budget (e.g. through vacancies, running costs, income generation).

## **5. Forecasting and Risk**

5.1 The key assumptions and areas of risk in the forecast outturn are:

- Court costs and Barrister fees are volatile, with the quantity of cases being determined in-year and the costs of the individual cases being highly variable.
- The approved budget and forecasts include assumptions around staff turnover and vacancies – this is approximately 3.5% of the staffing costs on average. The actual level and timing of vacancies is difficult to predict on a service by service basis but trends from recent years indicate overall underspend projections will increase as the year progresses.
- External income can relate to external factors which are difficult to predict, such as customer behaviour, and can also be affected by unexpected changes in levels of staff vacancies.

## **6. Recommendations**

6.1 It is recommended that the forecast outturn be noted.

**Period 5 Forecast Outturn revenue expenditure and income variances.**

The following tables detail the main variances from the revenue budget to the forecast outturn, and the movements since the last monitoring report, in both Management Accounts (“Budget Book”) format and by cause or area of impact of the variance.

<b>Transformation and Resources Budget Book Format (Objective analysis)</b>	<b>Full Year Budget (£000's)</b>	<b>P5 Forecast Outturn (£000's)</b>	<b>P5 Forecast Variance (£000's)</b>	<b>P4 Forecast Variance (£000's)</b>	<b>Period Movement (£000's)</b>
Legal and Democratic Services	2,555	2,504	(51)	(14)	(37)
Access Trafford	2,534	2,629	95	134	(39)
ICT Services	2,040	2,071	31	28	3
Communications	232	158	(74)	(74)	0
Finance Services	4,518	4,396	(122)	(174)	52
Partnerships and Communities	1,536	1,627	91	76	15
Culture and Sport	1,162	1,166	4	0	4
Human Resources	1,980	1,895	(85)	(101)	16
Executive	361	361	0	0	0
Transformation	193	193	0	0	0
<b>Total Forecast Outturn Period 5</b>	<b>17,111</b>	<b>17,000</b>	<b>(111)</b>	<b>(125)</b>	<b>14</b>

<b>Transformation and Resources Business Reason / Area (Subjective analysis)</b>	<b>P5 Outturn Variance (£000's)</b>	<b>P4 Outturn Variance (£000's)</b>	<b>Period Movement (£000's)</b>
<b>Legal and Democratic Services</b>			
Staff vacancies net of agency costs	(86)	(43)	(43)
Other running costs	14	0	14
Fee income from capital schemes - shortfall	22	22	0
Income shortfall – land charges	9	11	(2)
Additional income – STaR Procurement	(4)	(4)	0
Other income	(6)	0	(6)
<b>Sub-total</b>	<b>(51)</b>	<b>(14)</b>	<b>(37)</b>
<b>Access Trafford</b>			
Re-phased Library savings	154	164	(10)
Staff vacancies – contact centre	(59)	(30)	(29)
<b>Sub-total</b>	<b>95</b>	<b>134</b>	<b>(39)</b>
<b>ICT Services</b>			
Re-phased savings – contact procurement	68	68	0
Other savings shortfall	61	61	0
Staff vacancies	(19)	(26)	7
One-off contract refund	(75)	(75)	0
Other running costs	(4)	0	(4)
<b>Sub-total</b>	<b>31</b>	<b>28</b>	<b>3</b>
<b>Communications</b>			
Staffing and running costs	(51)	(51)	0
Events and advertising income	(23)	(23)	0
<b>Sub-total</b>	<b>(74)</b>	<b>(74)</b>	<b>0</b>
<b>Finance Services</b>			
Staff vacancies	(133)	(151)	18
Other running costs	14	0	14
Government Grants – Revenue and Benefits	(53)	(48)	(5)
Council tax liability order income - shortfall	50	25	25
<b>Sub-total</b>	<b>(122)</b>	<b>(174)</b>	<b>52</b>
<b>Partnerships and Communities</b>			
CCTV income shortfall	72	60	12
Staff costs	26	3	23
Running costs	0	13	(13)
Other income	(7)	0	(7)
<b>Sub-total</b>	<b>91</b>	<b>76</b>	<b>15</b>

<b>Transformation and Resources Business Reason / Area (Subjective analysis)</b>	<b>P5 Outturn Variance (£000's)</b>	<b>P4 Outturn Variance (£000's)</b>	<b>Period Movement (£000's)</b>
<b>Culture and Support</b>			
Minor income shortfall	4	0	4
<b>Sub-total</b>	<b>4</b>	<b>0</b>	<b>4</b>
<b>Human Resources</b>			
Staff vacancies	(83)	(86)	3
External agency income above target	(2)	(15)	13
<b>Sub-total</b>	<b>(85)</b>	<b>(101)</b>	<b>16</b>
<b>Total Forecast Outturn T&amp;R Period 5</b>	<b>(111)</b>	<b>(125)</b>	<b>14</b>

#### Summary Variance Analysis Period 5

<b>All Services</b>	<b>Savings £000</b>	<b>Staff £000</b>	<b>Running Costs £000</b>	<b>Income £000</b>	<b>Total Variance £000</b>
<b>Period 4</b>	293	(333)	(113)	28	(125)
<b>Period 5</b>	283	(354)	(102)	62	(111)
<b>Period Movement</b>	<b>(10)</b>	<b>(21)</b>	<b>11</b>	<b>34</b>	<b>14</b>

**TRAFFORD COUNCIL**

**Report to:** Director of Finance  
**Date:** 1 October 2015  
**Report for:** Information  
**Report author:** Interim Head of Financial Management

**Report Title**

**Revenue Budget Monitoring 2015/16 – Period 5 Outturn - Council-wide Budgets  
(April 2015 to August 2015 inclusive)**

**1 Outturn Forecast**

- 1.1 The current approved revenue budget for the year is £23.742m. The outturn forecast is £22.937m, which is £(0.805)m under the budget, an adverse movement of £0.222m since the last report.
- 1.2 Appendix 1 details by variance area the projected outturn as compared to the approved revenue budget, with the main variances being;
- Treasury Management: £(0.648)m relating to Manchester Airport Group (MAG) dividend received above budget, £(0.034)m increased investment interest from favourable cash flows and a reduction in loan interest payable of £(0.011)m .
  - Business Rates - favourable impact on the Council-wide budget, £(0.018)m, an adverse movement of £0.152m since the last report (see paragraphs 13 to 14 of the covering report);
  - Housing and Council Tax Benefits overpayment recovery net variance of £(0.122)m;
  - Members expenses – full year effect of the savings as a result of changes to the Members Allowances Scheme in September 2014, £(0.036)m and the new Government pension regulations which came into effect on 1 April 2014, £(0.014)m;
  - Coroners and Mortuary fees are higher than previously anticipated due mainly to higher numbers of inquests, £0.079m, partly offset by the full use of the earmarked reserve of £(0.037)m;
  - Costs of the 2016/17 Budget Consultation exercise are estimated at £0.050m;
  - The 2015/16 saving for the Old Car Lease scheme will be overachieved, £(0.030)m
  - Other minor variances of £0.016m.

## 2 Service carry-forward reserve

- 2.1 Council-wide budgets do not have their own carry forward reserve, and the above underspend will be transferred to the General Reserve, as detailed in the summary report.

## 3 Savings

- 3.1 The Council-wide budget for 2015/16 originally included savings of £(0.310)m. This figure has been increased by £(0.050)m to counter balance the shortfall in library savings (as approved by the Executive in March 2016). The updated Council-wide savings target for 2015/16 is therefore £(0.360)m and actual savings of £(0.390)m are shown below;

	<b>2015/16 Revised Savings Target £000's</b>	<b>Forecast Saving £000's</b>	<b>Variance £000's</b>
<b>Council-wide Base Budget Savings 2015/16</b>			
Old Car Lease Scheme	(68)	(98)	(30)
Discretionary rate Relief to Collection Fund	(152)	(152)	-
Member's Allowances budget	(35)	(35)	-
External Audit Savings	(55)	(55)	-
Treasury Management savings *	(50)	(50)	-
<b>Total</b>	<b>(360)</b>	<b>(390)</b>	<b>(30)</b>

\* This additional target has already been met from savings in the Treasury Management budget as a consequence of rephasing of the capital programme in 2014/15.

## 4 Forecasting and Risk

- 4.1 This forecast has been based on three months of actual activity. The activity covered by Council-wide budgets is varied, and the key assumptions in the July forecast are:
- Average investment rates will be 0.7% with a cash flow of £94m.
  - There will be no further Airport dividend.
  - The £20m Royal Bank of Scotland variable loan will be 7.0%. There is a smoothing reserve to mitigate large variations from this assumption.
  - Contingency budgets for doubtful debts and the costs of re-organisation following the implementation of budget and other savings will be sufficient. There is a contingency reserve for re-organisation costs should budgets prove insufficient.



- Council error in the award of housing benefit will be within threshold limits, and recovery of benefit overpayments will continue at previous activity levels.
- The in-year increase for the provision for bad and doubtful debts will be in line with budget.

4.2 The original budget for 2015/16 included a one off allowance of £0.700m as a general contingency to cushion against possible slippage in the delivery of the significant savings programme in 2015/16. The budget will be released during the year, with the approval of the Director of Finance, to alleviate any unforeseen slippage. The original budget was held within Council-wide and for the purposes of budget monitoring has been assumed to be fully committed. However to date, £0.085m has been released to cover budget pressures regarding Market Management and £0.055m for Gorse Hill Studios, leaving an unallocated balance of £0.560m.

### Period 5 Outturn revenue expenditure and income variances

The following tables detail the main variances from the revenue budget to the forecasted outturn, and the movements since the last monitoring report, in both Management Accounts (“Budget Book”) format and by cause or area of impact of the variance.

Budget Book Format (Objective analysis)	Full Year Budget (£000's)	P5 Forecast Outturn (£000's)	P5 Outturn variance (£000's)	P4 Outturn variance (£000's)	Period Movement (£000's)	Ref
<b>Finance Portfolio</b>						
Precepts, Levies & Subscriptions	17,720	17,761	41	(9)	50	C-W5
Provisions (bad debts & pensions)	2,480	2,500	20	0	20	C-W6
Treasury Management	7,869	7,176	(693)	(693)		C-W1
Insurance	875	875	0	0		
Members Expenses	904	854	(50)	(50)		C-W2
Grants	(6,645)	(6,640)	5	5		
Business Rates	350	332	(18)	(170)	152	C-W3
Other Centrally held budgets	189	79	(110)	(110)		C-W4
<b>Total</b>	<b>23,742</b>	<b>22,937</b>	<b>(805)</b>	<b>(1,027)</b>	<b>222</b>	

<b>Business Reason / Area (Subjective analysis)</b>	<b>P5 Outturn variance (£000's)</b>	<b>P4 Outturn variance (£000's)</b>	<b>Period Movement (£000's)</b>	<b>Ref</b>
Treasury Management:				
- MAG Dividend	(648)	(648)		C-W1
- Investment Income	(34)	(34)		C-W1
- Debt Management	(11)	(11)		C-W1
Members Allowances	(50)	(50)		C-W2
Business Rates	(18)	(170)	152	C-W3
Housing & Council Tax benefits	(122)	(122)		C-W4
Flood Defence levy	(8)	(8)		C-W5
Council Tax compensation grant	5	5		
Payment Card Industry (PCI) compliance	2	2		C-W4
VAT claims - legal fees	10	10		C-W4
Subscriptions	7	(1)	8	C-W5
Coroners & Mortuary fees	42	0	42	C-W5
Budget Consultation	50	0	50	C-W6
Old Car Leasing Scheme saving	(30)	0	(30)	C-W6
<b>Total</b>	<b>(805)</b>	<b>(1,027)</b>	<b>222</b>	

## NOTES ON PROJECTED VARIANCES

### **C-W1 – Treasury Management - £(0.693)m (favourable), £nil movement**

#### **Investments – £(0.682)m**

This additional income has been created mainly as a result of:

- the dividend from Manchester Airport Group (MAG) has recently been announced as £(2.0)m, which is £(0.648)m above budget;
- a favourable increase in cash flow, generating £(0.034)m of additional investment income, primarily due to capital programme rephasing and grant monies received ahead of schedule.

#### **Debt – £(0.011)m**

Lower than anticipated loan interest payable £(0.011)m.

### **C-W2 – Members Expenses - £(0.050)m (favourable), £nil movement**

Changes to the Members Allowances Scheme were approved at the Council meeting on 17 September 2014 following a report from the Independent Remuneration Panel (IRP). The changes have generated annual savings of approximately £(0.036)m.

Government legislation, effective from 1 April 2014, has removed the access to a Local Government Pension Scheme for Councillors. This is on a phased basis and will be applied to those Councillors re-elected in the May local elections over 3 years. The budget saving in 2015/16 will be £(0.014)m.

### **C-W3 – Business Rates - £(0.018)m (favourable), £0.152m adverse movement**

See notes and table in paragraphs 13 to 14 in the covering report.

### **C-W4 – Other Centrally held budgets - £(0.110)m (favourable), £nil movement**

- **Housing & Council Tax Benefits - £(0.122)m**

The Council Tax Benefit Scheme ceased in 2013 and was replaced by the Council Tax Support Scheme. Any recovery of overpaid Council Tax Benefit from previous years is retained by the Council and the outturn for 2015/16 is £(0.015)m. The credit from the recovery of overpaid Council Tax Benefit is difficult to predict and will eventually taper off.

There is a net variance of £(0.107)m within the Housing Benefit budget, as a consequence of a reduction in the net amount of Housing Benefit being paid out.

- **Other minor variances £0.012m.**

## **C-W5 – Precepts, Levies & Subscriptions - £0.041m (adverse)**

- **Coroners & Mortuary fees - £0.042m**

The cost of the Coroners service, which is shared between Stockport, Trafford and Tameside Councils, has increased significantly due to the following factors:

- Increasing volume of inquests, resulting in the need for an additional court and hence an increase in associated costs;
- Deprivation of Liberty status (DOLS) is placing a further demand on the number of inquests. All DOLS cases deaths require an inquest;
- Pressures from increasing costs of toxicology and transport;
- Extra demands placed on the service from disclosure of information requests.

The additional costs for Trafford in 2015/16 are £0.079m and have been partly offset by the use of the earmarked reserve of £(0.037)m, which was specifically set up for such an eventuality. Also, the impact of these additional costs in the future have been included in the Medium Term Financial Plan.

- **Other minor variances £(0.001)m.**

## **C-W6 – Provisions - £0.020m (adverse)**

- 2016/17 Budget Consultation – the estimated costs of employing an independent company to oversee the budget consultation process, £0.050m;
- The 2015/16 saving from the Old Car Lease scheme will be overachieved due to employees leaving the scheme earlier than anticipated, £(0.030)m.

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## GREATER MANCHESTER COMBINED AUTHORITY

**Date:** 25 September 2015

**Subject:** Forward Plan of Strategic Decisions for the GMCA

**Report of:** Julie Connor, Head of Greater Manchester Integrated Support Team

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### 1. INTRODUCTION

1.1 At their meeting on 24 June 2011, the GMCA agreed procedures for developing a Forward Plan of Strategic Decisions for the Authority, in line with the requirements of the GMCA's constitution. The latest such plan is attached as the Appendix to this report.

### 2. RECOMMENDATIONS

2.1 GMCA members are invited to note, comment and suggest any changes they would wish to make on the latest Forward Plan of Strategic Decisions for the GMCA; attached to this report.

### 3. FORWARD PLAN: CONSTITUTIONAL REQUIREMENTS

- 3.1 In summary the Secretary of the GMCA is required to:-
- prepare a plan covering 4 months, starting on the first day of the month
  - to refresh this plan monthly
  - to publish the plan fourteen days before it would come in to effect
  - state in the plan
    - (i) the issue on which a major strategic decision is to be made;
    - (ii) the date on which, or the period within which, the major strategic decision will be taken;

- (iii) how anyone can make representations on the matter and the date by which any such representations must be made; and
- (iv) a list of the documents to be submitted when the matter is considered

The constitution is also quite specific about the matters which would need to be included within the Forward Plan:-

- any matter likely to result in the GMCA incurring significant expenditure (over £1 million), or the making of significant savings; or
- any matter likely to be significant in terms of its effects on communities living or working in the area of the Combined Authority.

plus the following more specific requirements:-

1. a sustainable community strategy;
2. a local transport plan;
3. approval of the capital programme of the GMCA and TfGM and approving new transport schemes to be funded by the Greater Manchester Transport Fund;
4. other plans and strategies that the GMCA may wish to develop;
5. the preparation of a local economic assessment
6. the development or revision of a multi-area agreement,
7. the approval of the budget of the GMCA;
8. the approval of borrowing limits, the treasury management strategy and the investment strategy;
9. the setting of a transport levy;
10. arrangements to delegate the functions or budgets of any person to the GMCA;
11. the amendment of the Rules of Procedure of the GMCA;
12. any proposals in relation to road user charging

3.3 All the matters at 1-12 above require 7 members of the GMCA to vote in favour, except those on road user charging, which require a unanimous vote in favour



3.4 The attached plan therefore includes all those items currently proposed to be submitted to the GMCA over the next 4 months which fit in with these criteria. GMCA members should be aware that:-

- Only those items considered to fit in with the above criteria are included. It is not a complete list of all items which will be included on GMCA agendas
- Items listed may move dependent on the amount of preparatory work recorded and external factors such as where matters are dependent on Government decisions; and
- In some cases matters are joint decisions of the GMCA & AGMA Executive Board.

**CONTACT OFFICER:**

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## GREATER MANCHESTER COMBINED AUTHORITY

### FORWARD PLAN OF STRATEGIC DECISIONS

1 October 2015 – 31 January 2016

The Plan contains details of Key Decisions currently planned to be taken by the Greater Manchester Combined Authority; or Chief Officers (as defined in the constitution of the GMCA) in the period between 1 October 2015 and 31 January 2016.

Please note: Dates shown are the earliest anticipated and decisions may be later if circumstances change.

If you wish to make representations in connection with any decisions please contact the contact officer shown; or the offices of the Greater Manchester Integrated Support Team (at Manchester City Council, P.O. Box 532, Town Hall, Manchester, M60 2LA, 0161-234 3124; [info@agma.gov.uk](mailto:info@agma.gov.uk)) before the date of the decision.

KEY DECISION /CONTACT OFFICER/CONSULTATION DETAILS	ANTICIPATED DATE OF DECISION & DOCUMENTS TO BE CONSIDERED	DECISION TAKER
<b>Greater Manchester Growth Deal Update</b>  Wider Leadership Team Lead Officer: Jon Lamonte  Contact Officer: Dave Newton	30 October 2015	GMCA
<b>Intermediary Body Status</b>  Wider Leadership Team Lead Officer: Simon Nokes  Contact Officer: Alison Gordon	To be confirmed	GMCA

KEY DECISION /CONTACT OFFICER/CONSULTATION DETAILS	ANTICIPATED DATE OF DECISION & DOCUMENTS TO BE CONSIDERED	DECISION TAKER
<p><b>Metrolink Trafford Park Line – Outcome of the Procurement of the Works Contract</b></p> <p>Wider Leadership Team Lead Officer: Jon Lamonte</p> <p>Contact Officer: Steve Warrener</p>	To be confirmed	GMCA



**JOINT MEETING OF THE GREATER MANCHESTER COMBINED  
AUTHORITY & AGMA EXECUTIVE BOARD MEETING**

**Date:** 25 September 2015

**Subject:** Forward Plan of Strategic Decisions of the Joint GMCA and AGMA Executive Board Meeting and AGMA Executive Board

**Report of:** Julie Connor, Head of Greater Manchester Integrated Support Team

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**1. INTRODUCTION**

1.1 At their meeting on 24 June 2011, the GMCA agreed procedures for developing a Forward Plan of Strategic Decisions for the Authority, in line with the requirements of the GMCA's constitution. The latest such plan is attached as the Appendix to this report.

**2. RECOMMENDATIONS**

2.1 GMCA and AGMA Executive Board members are invited to note, comment and suggest any changes they would wish to make on the latest Forward Plan of Strategic Decisions for the Joint GMCA and AGMA Executive Board; attached to this report.

**3. CONSTITUTIONAL BACKGROUND AND ARRANGEMENTS AGREED BY EXECUTIVE BOARD ON 24 JUNE 2011**

3.1 Under AGMA's constitution – as revised by the Operating Agreement which set up the GMCA – there is the following requirement:-

*13. Forward Plan*

*13.1 The Board will produce a forward plan in accordance with the requirements of section 22 of the Local Government Act 2000.*

3.2 The requirements of section 22 of the 2000 Act were set out in regulations made by the Secretary of State in 2001. In summary they require

- preparation of a plan covering 4 months, starting on the first day of the month
- a monthly revision of the plan
- publication of the plan fourteen days before it would come in to effect
- the plan to state
  - (i) the issue on which a major strategic decision is to be made;
  - (ii) the date on which, or the period within which, the major strategic decision will be taken;
  - (iii) arrangements for any consultation to be made before the decision is taken

- (iv) how anyone can make representations on the matter and the date by which any such representations must be made; and
- (v) a list of the documents to be submitted when the matter is considered

#### **4 FORWARD PLAN: CONSTITUTIONAL REQUIREMENTS**

4.1 In summary the Secretary of the Joint GMCA and AGMA Executive Board meeting is required to:-

- prepare a plan covering 4 months, starting on the first day of the month
- to refresh this plan monthly
- to publish the plan fourteen days before it would come in to effect
- state in the plan
  - (i) the issue on which a major strategic decision is to be made;
  - (ii) the date on which, or the period within which, the major strategic decision will be taken;
  - (iii) how anyone can make representations on the matter and the date by which any such representations must be made; and
  - (iv) a list of the documents to be submitted when the matter is considered

4.2 Key decisions are defined as being those which are likely:-

- a. to result in the local authority incurring expenditure which is, or the making of savings which are, significant having regard to the local authority's budget for the service or function to which the decision relates; or
- b. to be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the area of the local authority.

In further guidance issued by the Secretary of State local authorities are required to

*"agree as a full council limits above which items are significant. The agreed limits should be published."*

4.3 The constitution is also quite specific about the matters which would need to be included within the Forward Plan:-

- any matter likely to result in the GMCA and AGMA Executive Board incurring significant expenditure (over £1 million), or the making of significant savings; or
- any matter likely to be significant in terms of its effects on communities living or working in the area of the Combined Authority.

plus the following more specific requirements:-

1. a sustainable community strategy;
2. a local transport plan;
3. approval of the capital programme of the GMCA and TfGM and approving new transport schemes to be funded by the Greater Manchester Transport Fund;

4. other plans and strategies that the GMCA may wish to develop;
  5. the preparation of a local economic assessment
  6. the development or revision of a multi-area agreement,
  7. the approval of the budget of the GMCA;
  8. the approval of borrowing limits, the treasury management strategy and the investment strategy;
  9. the setting of a transport levy;
  10. arrangements to delegate the functions or budgets of any person to the GMCA;
  11. the amendment of the Rules of Procedure of the GMCA;
  12. any proposals in relation to road user charging
- 4.3 All the matters at 1-12 above require 7 members of the Joint GMCA and AGMA Executive Board to vote in favour, except those on road user charging, which require a unanimous vote in favour
- 4.5 The attached plan therefore includes all those items currently proposed to be submitted to the Joint GMCA and AGMA Executive Board over the next 4 months which fit in with these criteria. Members should be aware that:-
- Only those items considered to fit in with the above criteria are included. It is not a complete list of all items which will be included on the Joint GMCA and AGMA Executive Board agendas
  - Items listed may move dependent on the amount of preparatory work recorded and external factors such as where matters are dependent on Government decisions; and

**CONTACT OFFICER:**

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**JOINT GREATER MANCHESTER COMBINED AUTHORITY  
& AGMA EXECUTIVE BOARD AND AGMA EXECUTIVE BOARD**

**FORWARD PLAN OF STRATEGIC DECISIONS  
1 October 2015 – 31 January 2016**

The Plan contains details of Key Decisions currently planned to be taken by the Joint Meeting of the Greater Manchester Combined Authority and AGMA Executive Board; or Chief Officers (as defined in the GMCA and AGMA constitution) in the period between 1 October 2015 and 31 January 2016.

Please note: Dates shown are the earliest anticipated and decisions may be later if circumstances change.

If you wish to make representations in connection with any decisions please contact the contact officer shown; or the offices of the Greater Manchester Integrated Support Team (at Manchester City Council, P.O. Box 532, Town Hall, Manchester, M60 2LA, 0161-234 3124; [info@agma.gov.uk](mailto:info@agma.gov.uk)) before the date of the decision.

**JOINT GMCA AND AGMA EXECUTIVE BOARD**

<b>KEY DECISION /CONTACT OFFICER/CONSULTATION DETAILS</b>	<b>ANTICIPATED DATE OF DECISION &amp; DOCUMENTS TO BE CONSIDERED</b>	<b>DECISION TAKER</b>
<p><b>GMCA Membership of AGMA</b></p> <p>Wider Leadership Team Officer – Liz Treacy</p> <p>Contact officer: Julie Connor</p>	30 October 2015	GMCA & AGMA Executive
<p><b>Implementation of the Scrutiny Pool Review – Progress</b></p> <p>Wider Leadership Team Lead Officer – Liz Treacy</p> <p>Contact Officer: Susan Ford</p>	29 January 2016	GMCA & AGMA Executive
<p><b>Business Rates Retention – Contribution to Support the Promotion of Greater Manchester’s Growth and Reform Strategies</b></p> <p>Wider Leadership Team Lead Officer – Richard Paver</p> <p>Contact Officer: Carol Culley</p>	To be confirmed	GMCA & AGMA Executive Board



## AGMA EXECUTIVE BOARD

KEY DECISION /CONTACT OFFICER/CONSULTATION DETAILS	ANTICIPATED DATE OF DECISION & DOCUMENTS TO BE CONSIDERED	DECISION TAKER
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<b>Greater Manchester Spatial Framework - Options</b>  Wider Leadership Team Lead Officer – Eamonn Boylan  Contact Officer: Chris Findley	30 October 2015	AGMA Executive Board
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