

CABINET ITEM COVERING SHEET PROFORMA

**AGENDA ITEM:**

**REPORT TO CABINET  
11 JULY 2012**

**REPORT OF CORPORATE  
MANAGEMENT TEAM**

**COUNCIL DECISION**

**QUARTER 4 AND 2011/12 YEAR END PERFORMANCE AND 2011/12 FINANCIAL  
OUTTURN**

Corporate Management and Finance: Lead Cabinet Member – Councillor Harrington

**QUARTER 4 AND YEAR END 2011/12 PERFORMANCE OUTTURN AND 2011/12  
FINANCIAL OUTTURN**

**SUMMARY**

This report provides the outturn and commentary on progress against the targets set for 2011/12. It highlights achievements against Council Plan objectives, areas for improvement, summary of Freedom of Information requests, complaints, commendations and comments, RIPA update and provides details of suggestions received through the staff suggestion scheme. It provides the Council's financial position at the end of the 2011/12 financial year.

**RECOMMENDATIONS**

1. That the levels of performance and proposed actions be noted.
2. That the updated Medium Term Financial Plan (MTFP) be approved

**MEMBERS' INTERESTS**

Members (including co-opted Members with voting rights) should consider whether they have a personal interest in the item as defined in the Council's code of conduct (**paragraph 8**) and, if so, declare the existence and nature of that interest in accordance with paragraph 9 of the code.

Where a Member regards him/herself as having a personal interest in the item, he/she must then consider whether that interest is one which a member of the public, with knowledge of the relevant facts, would reasonably regard as so significant that it is likely to prejudice the Member's judgement of the public interest (**paragraphs 10 and 11 of the code of conduct**).

A Member with a prejudicial interest in any matter must withdraw from the room where the meeting considering the business is being held -

- in a case where the Member is attending a meeting (including a meeting of a select committee) but only for the purpose of making representations, answering questions or giving evidence, provided the public are also allowed to attend the meeting for the same purpose whether under statutory right or otherwise, immediately after making representations, answering questions or giving evidence as the case may be;
- in any other case, whenever it becomes apparent that the business is being considered at the meeting.

And must not exercise executive functions in relation to the matter and not seek improperly to influence the decision about the matter (**paragraph 12 of the Code**).

**Further to the above, it should be noted that any Member attending a meeting of Cabinet, Select Committee etc; whether or not they are a Member of the Cabinet or Select Committee concerned, must declare any personal interest which they have in the business being considered at the meeting (unless the interest arises solely from the Member's membership of, or position of control or management on any other body to which the Member was appointed or nominated by the Council, or on any other body exercising functions of a public nature, when the interest only needs to be declared if and when the Member speaks on the matter), and if their interest is prejudicial, they must also leave the meeting room, subject to and in accordance with the provisions referred to above.**

**AGENDA ITEM:**

**REPORT TO CABINET  
11 JULY 12**

**REPORT OF CORPORATE  
MANAGEMENT TEAM**

**CABINET DECISION**

**Corporate Management and Finance: Lead Cabinet Member – Councillor Harrington**

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**PERFORMANCE**

1. For the period April 2011 to March 2012 details of performance against the current indicator set are provided in appendices to this report. Therefore the **Appendix 1** to this report contains:
  - **The summary of performance against the achievement of the Council Plan** objectives in 2011/12. The Council Plan contains actions that support the Sustainable Community Strategy as well as actions and success measures on organisational effectiveness. Details of progress and slippage are included in the thematic sections of the report.
  - **Appendix 2 contains** a summary of performance for each of the 8 themes within the Sustainable Community Strategy. The summary document lists all indicators within the corporate basket that are relevant to the theme. Areas showing good progress and areas where further improvements are required are detailed in this summary report.
  - **Appendix 3 contains a summary of all RIPA decisions.**
  - **Appendix 4 provides an update of the Year 3 EIT Reviews.**

- All appendices are available for Members to view at [www.stockton.gov.uk/yourcouncil/performance/qtrperfmonitor](http://www.stockton.gov.uk/yourcouncil/performance/qtrperfmonitor) and also on e genda

## OVERALL PERFORMANCE

2. Year-end outturn indicates that 82.7% of objectives set within the Council Plan have been met. This compares to 75% in the previous year. Full details of Council Plan achievements and future actions are set out in Appendix one with highlights and some areas for improvement summarised below. We are still receiving a significant number of Freedom of Information and Data Protection enquires, with numbers up on the previous year from 561 to 802. The staff suggestions scheme has received 20 suggestions over the last 12 month period, further detail is provided in the text below and in the appendices. The 3<sup>rd</sup> year of the EIT Review programme is well underway, details of progress are provided at appendix 3. We continue to monitor the Complaints, Comments and Commendations; a summary of data received to date is provided below.

## THEMED SUMMARIES

### Economic Regeneration and Transport

3. Nine of the ten performance measures supporting this theme have achieved the targets. Some key achievements are:
  - **Principal and non-principal roads where maintenance should be considered –** Survey results carried out in August 2011 indicate that we are better than the maintenance target on principal roads and on target for the non-principal roads.
  - DFT Grant funding of £408k awarded to the authority to repair pot holes.
  - **Start-up businesses assisted –** 311 business start-ups assisted during 2011/12 exceeding year-end target of 250. 151 Stockton Borough Council (SBC) Start-up grants have been awarded. 21 businesses were assisted to locate at the Business Centre. 190 start-up businesses assisted through Five Lamps funded by SBC Communities Fund, 51 of which also received SBC Start-up grants.
  - **Learner numbers through Tees Achieve–** 3,506 learners and 7,610 enrolments up to the end of March 2012. We are on track to increase these numbers by 5% during the 2011/12 academic year, compared with the previous year when we had 4,494 learners and 9,614 enrolments.
  - **Unemployed people trained to assist them to access employment opportunities –** 240 unemployed people have started training since 1 August 2011 through Tees Achieve programmes. Referrals were initially only received from Job Centre Plus, but have now been extended to include work programme providers such as Avanta, TNG and Triage Central. We are on track to achieve academic year target of 270 by July 2012.
  - **Young people not in employment, education or training (NEET) trained –** 127 young people not in employment, education or training (NEET) have started the 16-18 learning programme with Tees Achieve since 1 August 2011. On track to achieve academic year-end target of 170 by July 2012.

- **Job Seekers Allowance Claimant Count** – the number of claimants resident in Stockton as a percentage of the population aged 16-64 resident in the area was 5.8% at the end of March 2012. This compares with Tees Valley at 6.8%, North East 5.6% and Great Britain 4.1%. The gap between Stockton and the Tees Valley is better than the target of maintaining the gap of minus 0.8% points.
- **Planning applications determined** – all categories of planning applications well exceeded their individual targets, with 84.44% of major applications (75% target), 89.88% of minor applications (80% target) and 94.38% of other applications (88% target) determined within timescale.
- **Preston Hall redevelopment** - Main contractor works for the Hall and surroundings are at practical completion stage (90%), whilst Exhibition Design and Fit out is progressing well with 20% completion. The Walled Kitchen Garden and Orchard is currently around 80% complete, with the overall Preston Hall Museum and Park project on target for summer 2012.
- **Library visits** - 968,514 visits during 2011/12 against target of 885,916. The high performance reflects the increased use of Stockton Central Library since it reopened November 2011 incorporating the Customer Service Centre.
- **Stockton Central Library refurbishment** – complete - library reopened Tuesday 1 November 2011.

4. Areas to continue to monitor are:

- **Net additional homes** – 471 net additional homes provided during 2011/12. The target of 530 has not been met due to the housing market. We have an adequate supply of sites; however they are not delivering as many as expected.
- Due to the reduced numbers of planning applications income targets were not achieved. There was an income shortfall of £229k in year.
- Due to the current economy Building Regulation income targets were not achieved. There was an income shortfall of £98k in year.

## Environment and Housing

5. Of the 12 measures used to monitor performance under this theme, 8 have achieved the targets. Some key achievements are:

- **Missed bins** – 0.13 missed bins per 100,000 collections during 2011/12. This is a total of 6 actual missed bins. Target of <2 missed bins per 100,000 achieved. The best ever recorded performance.
- **Improved street and environmental cleanliness – levels of litter and detritus** - 1% of surveyed areas unacceptable during 2011/12 therefore respective target of 3% and 4% achieved.
- **Household waste arisings which have been land filled** – 8.24%; the target of 10.00% was achieved.
- **Household waste arisings which have been used to recover heat, power and other energy sources** – 63.63%; the target of 60.00% was achieved.
- **Business miles travelled** – Figures at year end indicate that there has been a reduction in business miles claimed during 2011/12 on the previous year, this is the

third consecutive year that business miles have fallen. ( 2,536,742 in 2009/10 to 1,838,577 in 2011/12.

- CFYA continues to benefit from increased prices for the sale of recyclables. Additional income of £299k was received in year.
  - **Households assisted to live independently** – Parkview Extra Care Housing Development Scheme now open (first lettings commenced February 12) and all 42 properties are occupied.
  - **Households in the Borough prevented from becoming homeless** – During 2011/12, 15 households in Stockton were assisted by the Mortgage Rescue Scheme exceeding year-end target of 11. Some 57 households were assisted in the Tees Valley and Durham region in the same period.
6. There are some areas that require close monitoring, due to the waste plant closure and the current economic climate:
- **Household waste sent for reuse and recycling and composting** – 28.12%; the target of 30.00% has not been achieved due to the seasonal reduction in green waste during the winter months.
  - **Households assisted through the Smarter Homes for the Future project** – Five households to date have been assisted through the Smarter Homes for the Future project, below the target of 8. The funding has been rolled over into 2012/13, where it is targeted to assist at least another 5 households.
  - **Households living in temporary accommodation** – 53 cases in temporary accommodation at the end of March 2012, which is above the target of 35 due to current economic and housing pressures.
  - **Households accepted as statutory homeless** – As a cumulative total 84 cases have been accepted with a homeless duty out of the 2,818 approaches to the service during the year, therefore that is 3.0% acceptance, against a target of 2.1%.

## Health and Wellbeing

7. Of the seven measures supporting this theme four have achieved the targets or shown significant improvements in performance. Some key achievements are detailed below with further detail available in the thematic summary:
- The rate of alcohol-related admissions to hospital has continued within target expectations. As at February, the rate was 2,493, per 100,000 population, i.e. 4,796 admissions (1211 wholly attributable and 3585 partially attributable).
  - Latest available data shows only a slight increase to 1,207 PDUs (problematic drug users) in treatment, against the target of 1,323. National Treatment Agency, who monitors progress on behalf of government, indicated positive progress, with the NTA reporting "good performance in terms of both the percentage growth of successful completions and the number of successful completions as a percentage of the total number in treatment. Both indicators compare well with national figures."
  - Breastfeeding rates have continued to be a challenge with performance continuing below benchmark groups. However, latest data available (end of March 2012)

indicates improvement over the quarter, leading to achievement of the year end target.

- Teenage conceptions; Latest reported national validated data (up to March 2011) for teenage pregnancy indicates a strong continuation of the improvement trend over the previous year with the number of conceptions (21 – a rate of 23.4 per 1,000) in the last reported quarter the lowest ever recorded since the national baseline and targets were set in 1998.

8. Areas for further improvement and continued monitoring are:

- Performance in relation to smoking cessation (based on people attending Smoking Cessation sessions who are still not smoking after 4 weeks) has fallen below target, 1,620 quitters were recorded, against a target for the period of 1,668. This equates to a rate of 1043.81 per 100K population aged 16+, suggesting the target rate of 1208.119 will not be achieved.
- The recently released results of the National Child Measurement Programme for the 2010~11 school year show the Stockton-on-Tees rate as 20.4%, an increase on the previous year and outside target expectations. This rate is higher than the England average of 19% but lower (better) than the North East average of 21.4%. Actions to address performance are overseen by the Healthy Lives, Healthy Weight Partnership. These include a 3 tier approach to weight management, from prevention, community based support services and specialist interventions through to secondary health commissioned care contracts for those children deemed most at risk of life limiting illness as a result of their BMI.
- For Chlamydia screening, a strong performance in March meant that the 35% target (of 15-24 yr olds) for the quarter was achieved. However, despite this improvement, the full year position of 20% remained well off target.

## Adults

9. Of the six measures supporting this theme, four have achieved their targets. Some key achievements and areas for improvement are detailed below with further detail available in the thematic summary report.

10. The following measures indicate some positive progress in supporting independence through community-based packages of support.

- Continued increase in the number of care call connections (5548 by the year end, exceeding the 5,000 target).
- Reablement support: year end data indicates that 78.2% of older people (65 and over) were still at home 91 days after discharge from hospital into reablement / rehabilitation services, ahead of the 75% target, and a good improvement on the 68.2% for the previous year.
- The Reablement Team has supported an additional 83 clients, of which 59% were able to return home with no ongoing support needs following a period in hospital.
- The Intermediate Care Service has supported hospital discharges of 322 clients. There have been no delayed discharges from hospital attributable to social care.
- 235 people across Intermediate Care and Reablement Services received 6 weeks free Telecare and Care Call following discharge from hospital



- Self Directed Support (SDS) is now embedded as the approach to care management. Analysis of data over the year, alongside audits and data validation checks, indicates that all new eligible clients are assessed using a PNQ (Personal Needs Questionnaire) and receive an offer of a personal budget; and that an increasing number of existing clients are now being reviewed through the same process. The number of service users who have chosen to convert their personal budget to a direct payment (DP) in order to manage their own support plan has increased slowly over the period. At the end of Q4 there were a total of 573 clients in receipt of a direct payment – this represents 23% of the clients who received a service over the year.
- There was no reduction over the year in the rate of admissions to residential care: Q4 saw a higher rate of admissions than previous quarters, resulting in a year end position of 295 permanent admissions of clients aged 65+. This gives a rate of 987 admissions per 100,000 population ( 295 admissions div by 29,900 population over 65 years x 100,000) (compared to 284 admissions, a rate of 969, for the previous year).
- Recorded levels of carer support are still below expected levels, although not all relevant carer activity is yet included in the data. For new service users assessed over the year, there was a carer assessment provided in 43% of cases. At the year end there were 232 carers, of those assessed, who were also in receipt of some support (11% of all new service users assessed).
- Adults Safeguarding: Q4 has seen a continuation of the increasing levels of activity over the year. During 2011~12, 664 alerts were received into the Safeguarding Team (compared to 394 in 2010~11). Of these alerts, 289 progressed to a referral (a conversion rate of 43% for the year).
- As part of the new national Adult Social Care (ASC) Outcomes Framework, an annual ASC Survey of User views has been introduced. Key results from the Stockton-on-Tees survey, linked to the new national indicators, include:
  - 70% of service users were very or extremely satisfied overall with their care and support.
  - 80% said they have at least adequate control over their daily life.
  - 61% said that the care and support services they receive help them to feel safe.
  -

These results will be more meaningful once the national results are published and comparisons can be made, at which stage a fuller analysis will be provided.

## **Children and Young People**

11. Educational attainment measures supporting this theme were reported at Quarter 2. Of the remaining ten measures, six have achieved the targets set. Key achievements and areas for improvement are detailed below with further information available within the thematic summary.

- The overall quality of inspected provision (schools; children's centres; children's homes; childcare and early years settings) remains good, compared to benchmark groups.

- Up to the end of the Spring Term 2012, we continued to have no maintained schools in an Ofsted category. As at the end of the spring term, 71% of our schools were judged good or outstanding for overall effectiveness at their last inspection.
- Childcare and Childminder quality is a priority area for further improvement, and inspection outcomes for such provision over the year indicate an improving position:
  - Of 28 Childcare Settings inspected during the year, 22 (79%) were good or outstanding, a significant improvement on the 50% for inspected settings during the previous year; of 17 Childminders subject to full inspections during the year, 14 (83%) were good or outstanding, a significant improvement on the 62% for the previous year
  - All four Children's homes were subject to interim inspections during the Q4 period: (75%) were judged to be making good progress in improving the quality of care and outcomes for children and young people since the most recent full inspection; and 1 (25%) making satisfactory progress.
  - There has been a significant increase in the volume of CAF (Common Assessment Framework) activity over the year, compared to the previous year. CAF activity is a proxy indicator for improved multi-agency early intervention and prevention. It is expected that levels of activity will level off, given the high levels of engagement now being sustained across partner agencies.
  - Good progress has been maintained in relation to timeliness of social care assessments, building on the gradual improvement of the previous year, and exceeding the targets set. For initial assessments, Q4 performance was maintained at a similar level to Q3, resulting in a year end rate of 65.9% completed within 10 days (45.4% achieved in 2010~11).
  - For core assessments, 69.7% completed within 35 days continued the improving trend over the year (50.6% in 2010~11).
  - Although there was a gradual reduction over Q4 in the number of child protection (CP) plans (from 301 at the end of Q3 to 273 at the end of Q4), numbers were still relatively high compared to previous years..
- For CP plans in place over two years, the year end rate of 4.2% (i.e. of 259 CP plans ceased during the year, 11 had been in place over 2 years) was above the 1.5% from the previous year and missed the 0% target.
- The continued high number of looked after children over the year (at highest ever levels over the 2011~12 period) has created some pressures in sustaining performance in placement stability. Very good performance has been sustained in shorter term stability (i.e. less than 3 placements in the year), although the Q4 period saw a slight increase.
- The year end position of 7.9% (i.e. of 341 children placed, 27 had three or more placements) is within target and a good improvement on the 11.9% of the previous year.
- The measure of longer term stability (over two years in latest placement) has been more challenging over the year, although Q4 saw a good rate of improvement. The year end position of 56.6% (i.e. of 76 children in care over 2.5 years, 43 have been in their latest placement for at least two years) is outside target and down slightly on the 60.8% of the previous year.

- Adoption - The scorecards used data drawn from national statistical returns, for the 2009 to 2011 period, to compare aspects of the timeliness of the adoption process. Whilst we presented as an outlier with regard to the timescale for matching a child with adopters following the court order, analysis of the cases concerned illustrated:
  - the complexities associated with the family finding process, the impact of court processes, sometimes after a placement order has been granted;
  - the effectiveness of our processes in making good placement decisions, centred on the welfare of the child, with no breakdowns of children placed for adoption since 2005. Following the meeting, the DfE have confirmed their satisfaction with our progress and with our analysis, with no causes for concern.
- NEETs: despite the challenging economic context, good performance has been sustained in this area. Further detail is available in the thematic summary.

### Community safety

12. Of the 5 measures that support this theme three have achieved the targets set, one is within the agreed tolerance and one has missed the target. Against a background of significant improvements over the last few years some key achievements and areas for improvements/ continued monitoring are:

- The number of first time entrants (FTE), as recorded by the YOS database, continued to fall during the Q4 period, resulting in a total for the year of 232 FTEs (237 in 10~11) – this is a rate of 1189 per 100,000 population aged 10-17 yrs, the same rate as the previous year.
- Re-offending rates: The data indicates that more young people have re-offended and they have committed more offences, than in the same period in the previous year, with 50 young people (39% of the cohort) committing 141 offences to date (a rate of 1.11 so far in 11~12). It is likely therefore that the 12 month performance rate for the current cohort (data will be available in July this year) will be poorer than in the previous year.
- **Serious Violent Crime** – 100 incidents of serious violent crime recorded during 2011/12, which is an increase of 22 crimes on the same period last year. The target of <82 has not been achieved.
- **Criminal Damage** – 2,472 incidents of criminal damage recorded during 2011/12. Although this represents an increase of 149 crimes on the previous year, it is 117 fewer crimes than the 2011/12 target of <2,589 crimes, which was based on the average of the last two years.
- **Killed or seriously injured** – In the period January – December 2011, 62 people were killed or seriously injured. Whilst this represents an increase of 18 compared to the same period in 2010, this is still a relatively low figure for Stockton and demonstrates that we remain on track to achieve the long term reduction target of 46 by 2020.

### Corporate Health

13. There are limited performances measures that support this theme however both measures have achieved the target set. Some key achievements are:

- Council Tax in-year collection performance at 98.1% is the highest achieved at SBC since the start of Council Tax in 2003.

- Business Rates in-year collection performance was 99.1%
  - A reduction in sickness absence to 7.25 against a target of 7.71 days.
- 
- A School Capital Investment Strategy was developed
  - The new apprentice programme has been implemented.
  - A revised Pool Car Scheme has been introduced.
  - The revised Appraisal Scheme has been rolled out.
  - Developed and implemented an on-line system for Blue Badge applications, which went live with the National Blue Badge application scheme in January 2012
  - Original business case savings and all subsequent additional efficiency savings have all been delivered.
  - Service standards have been maintained for payroll and ICT systems availability. ICT response times have improved significantly during the year following the introduction of a new process for managing ICT support calls. Performance continues to be strong in creditors.

### Freedom of Information Requests

14. A record of Freedom of Information requests (FOIs), Environmental Information Regulation requests (EIRs) and Data Subject Access requests (DSARs) received is maintained across Council departments. A total of 204 FOI requests were responded to in quarter 4 2011/12, 19 EIRs and 48 DSARs. This compares to 179 Freedom of Information requests and 38 Data Subject Access requests in the same period last year.<sup>1</sup> Numbers of FOI requests received have remained static for the last three quarters of this year.
15. The percentage of FOIs responded to within the 20 working day requirement has slipped this quarter to 88.7% compared with previous quarters; although higher when compared with the same period last year (86.6%). **Appendix 2** identifies the detail of those received in Quarter 4 and reasons for slippage with responses.
16. Of the Freedom of Information requests responded to in Quarter 4, 30% were from the media, 35% from businesses, 4% are from political organisations and 31% make up the balance from other sources. Thus a smaller proportion of the requests were from the media and a larger proportion from businesses than the same quarter in 2010/11.
17. The total number of FOIs responded to in 2011/12 was 802. When compared with 3 years ago, the Council has experienced a significant increase; 326 in 2008/09, 521 in 2009/10 and 561 in 2010/11. In addition to an increase in requests, requests are more complex containing several parts. This increases the time required to collate a response.
18. From 2010/11 to 2011/12 requests from businesses accounted for the largest increase in numbers, media requests the second largest increase. The category detailed as “other” has also seen a 25% increase on last years figures. Members should note that a number of those classed as “other” are likely to be media related however this is not specified directly in their correspondence. Experience would indicate that this is very likely to be the case. The table below shows numbers received by category over the last 2 years.

	Media	Political	Business	Other
2010/11	172	39	148	204
2011/12	233	38	281	250

<sup>1</sup> This is the first quarter that EIRs have been reported corporately.

19. A Rapid Improvement Event to look at our approach to dealing with FOI's has been undertaken. This has delivered a set of recommendations which will improve and streamline our processes, minimise any risks to the Council associated with the increase in complexity and volume of requests now received, improve our publication scheme and provide guidance to staff when dealing with requests.
20. For 2011/12 the percentage of FOIs responded to within the 20 working day requirement is 90%; this is an improvement compared with the previous year (84%). The proportion of requests from each source throughout the year was very similar to that in Quarter 4. In 2011/12, 29% were from the media, 35% from businesses, 5% are from political organisations and 31% make up the balance from other sources.

### **Staff Suggestion Scheme**

21. Our approach is to encourage a culture in which staff feel they can 'make a difference' by making suggestions that will lead to improvements and contribute to the culture and success of the authority. This culture which is supported by 1:1 staff support, regular team meetings, staff involvement in EIT Reviews, a Setting the Standard programme for managers and the Staff Suggestion Scheme which is now in it's second year. This year 20 suggestions were received. Suggestions included improvements to communication channels, a reduction in processes, procurement suggestions resulting in savings, some staff wellbeing improvements and suggestions on the management of buildings / assets. The scheme continues to be promoted through KYIT. Further details about the current scheme can be found at the 'Hot Topics' section on the front page of the Council's intranet site.

### **Regulation of Investigatory Powers**

22. It was reported to Cabinet on 20 May 2010 that new duties and responsibilities relating to the Regulation of Investigatory Powers (RIPA) legislation had been introduced. In particular, the new provisions included the requirement that Councillors in a local authority should review the authority's use of RIPA and set the policy at least once a year, and that Councillors should consider reports on the use of RIPA on at least a quarterly basis, to ensure that it was being used consistently with the authority's policy and that the policy remained fit for purpose. Cabinet, therefore, agreed that members should receive information on the use of RIPA in the regular Finance and Performance reports to Cabinet. Attached at **Appendix 3** is a summary of all investigations undertaken during the final three months of this financial year (January to March 2012).

### **EIT Review Update**

23. Monitoring the implementation of the EIT Review programme continues. Year 3 reviews have made good progress with details of each review and current progress attached at **Appendix 4**.

### **Consultation**

#### *Government Consultations*

24. **The Government has continued to publish a variety of consultations relating to proposed policy changes throughout 2011/12. In total for 2011/12 there were 255 consultations which were considered by the Council. A decision was made as to whether or not a response would be submitted by the relevant service areas. A number of consultations proposed changes which would have a significant impact**

**on the Council, a few of these have been listed below, and responses were submitted to all.**

- Future of Local Public Audit (June 2011)
- Localising Support for Council Tax in England (October 2011)
- Housing Benefit Reform (October 2011)
- Caring for Our Future (December 2011)

25. In Quarter 4, the Council considered 61 consultation documents on a wide range of policy changes. An example of some of the responses were submitted are: to the Right to Buy consultation which looked at proposals to increase the caps on Right to Buy discounts, Police Powers to Promote and Maintain Public Order which looked at the introduction of new powers around face coverings and curfews and the Boundary Commission for England's Review 2013 which gave the Council the opportunity to comment on the Government's response to the initial constituency boundary proposals. All submitted responses will be accessible on the intranet and will form a reference library for staff and Members.

## Local Consultation

26. The 'Stockton on Tees Borough Council Consultation Database' identifies planned, current and completed consultation work undertaken internally (with staff) and externally (with residents, partners, business people, etc.), both by and for (by external consultants) Stockton on Tees Borough Council.
27. During 2011/12, the Consultation Database identifies that 130 consultation projects were undertaken by/for the Council. The number of consultations by Council Plan theme is illustrated below.

<b>Stockton on Tees Borough Council</b>		
<b>Consultation Projects by Council Plan Theme (2011/12)</b>		
<b>Council Plan Theme</b>	<b>No. Consultation Projects (2011/12)</b>	<b>Proportion of all SBC Consultation Projects (2011/12)</b>
Adults Services	4	3.1%
Arts, Culture and Leisure	2	1.5%
Children and Young People	1	0.8%
Economic Regeneration and Transport	88	67.7%
Environment and Housing	13	10.0%
Health and Wellbeing	3	2.3%
Safer Communities	0	0.0%
Stronger Communities	1	0.8%
Various Themes	3	2.3%
Your Council	15	11.5%
<b>TOTAL</b>	<b>130</b>	<b>100.0%</b>

28. Viewpoint is a key element of the consultation work undertaken within Resources on an ongoing basis. During 2011/12, there were three Viewpoint questionnaires, topics included; Housing element of the Local Development Framework; Customer Services and Community Protection; Young People's Health and Wellbeing Survey, perception based data for the production of the Joint Strategic Needs Assessment (JSNA) for 2012.
29. Local HealthWatch consultation, provided information to support the procurement of a provider for Local HealthWatch in Stockton-on-Tees. Significantly, this work captured the views of seldom heard groups (e.g. young people and BME communities) which will be particularly important in helping shape Local HealthWatch in Stockton on Tees from October 2012 onwards.

## **COMPLAINTS, COMPLIMENTS & COMMENDATIONS AND COMMENTS**

### **Complaints**

30. In total, the Council received 140 complaints for the three months ended 31 March 2012; this is the smallest number of complaints received in a quarter this year and is similar to the number (142) received in the same three month period last year.
31. The total number of complaints received in 2011/12 is 745; this compares to 564 complaints received in 2010/11. The increase in complaints received appears to be due to the increase in complaints received in quarter 2 for Tees Active after the opening of Billingham Forum. Council Tax recovery and billing in Resources also received more complaints than the previous year, although only a few of these were upheld. The differences also may be due to data quality issues around whether all complaints are

passed on to be recorded corporately and an inconsistency in what is recorded as a complaint.

32. 98.3% (113 out of 115) stage 1 complaints were responded to within timescales this quarter and 97.4% (558 out of 573) stage 1 complaints were responded to within timescales this year.<sup>2</sup> The corporate timescale for responding to Stage 1 complaints is 10 working days. However, the timescales within Health and Social Care differ from the corporate timescale. For Children's Services the response timescale is 10 working days plus a further 10 working days given the complexity of some of the complaints. For Adults' Services, new regulations introduced on 1 April 2009 place a requirement on Council's to agree a timescale for a response with each individual complainant.

### **Compliments and Commendations**

33. A total of 449 compliments and commendations were received in the three month period to 31 March 2012, representing 417 compliments and 32 commendations. This compares to a total of 541 in the same three month period last year.
34. A total of 1,681 compliments and commendations were received in the year 2011/12, a slight decrease on the previous year's total. Although a small percentage of the overall total, Tees Active received over twice as many compliments and commendations as last year.
35. Analysis and learning from complaints, compliments, commendations and comments is discussed at Service Group Management Team Meetings, where trends in numbers and the nature of the complaint, comments or commendation is further investigated, leading to appropriate actions for improvement and sharing of learning.

### **Comments**

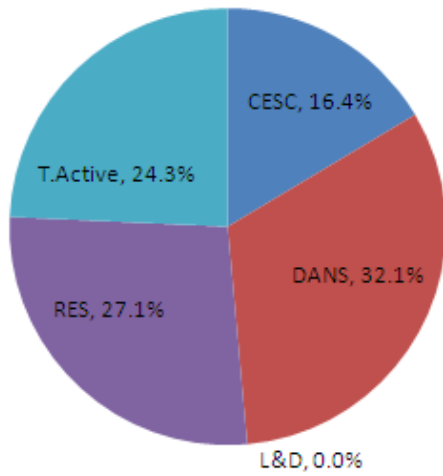
36. In total, the Council received 191 comments for the three months ended 31 March 2012, giving a total for 2011/12 of 699. This compares to 93 comments received in the same three month period last year and 527 in 2010/11. The increase in comments received are due to higher numbers being received in CESC and Tees Active, the majority of these comments are about service quality.
37. This report highlights some of the main messages from the analysis.

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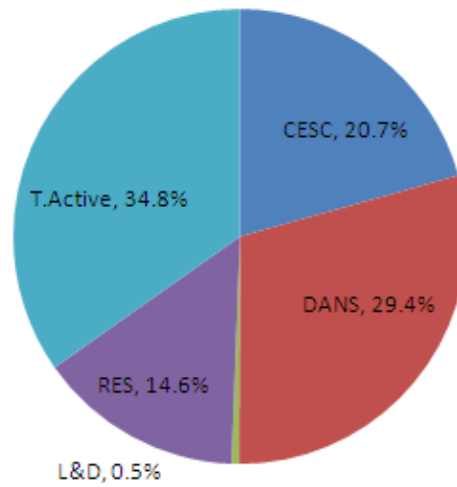
<sup>2</sup> Excludes CESC figures, which were not available.



**Q4 2011/12 complaints**

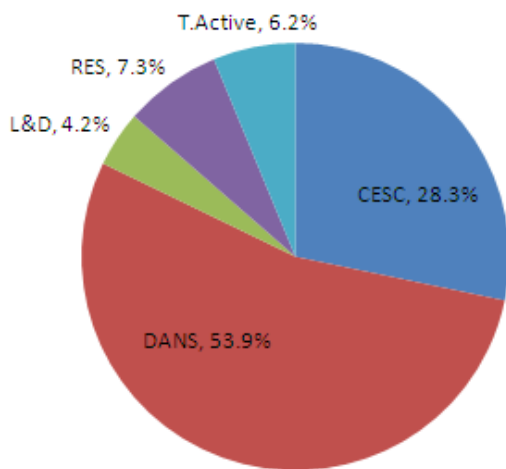


**2011/12 complaints**

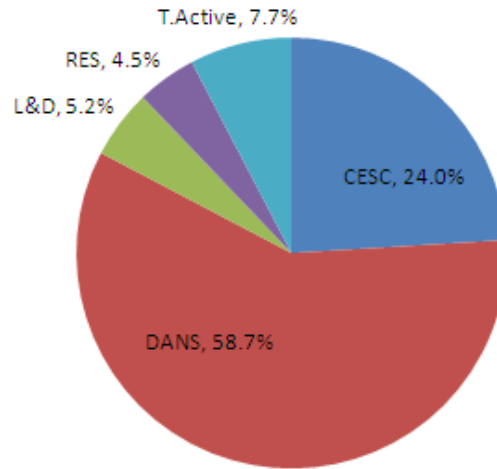


38. The number of complaints received does not necessarily reflect the volume of complaint issues. This is especially true in CESC where some complaints contain 12 or 13 issues. For CESC the volume of issues they deal with is reflected in the following complaints categories table. In addition, sometimes complainants add issues to already logged complaints or request updates on progress which also adds to workload.

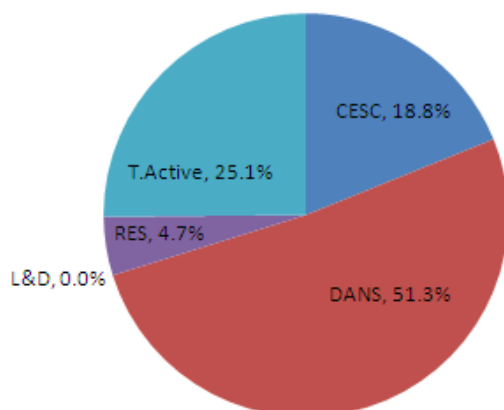
**Q4 2011/12 compliments and commendations**



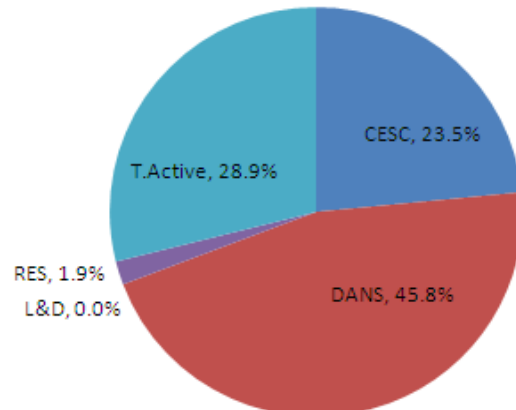
**2011/12 compliments and commendations**



**Q4 2011/12 comments**



**2011/12 comments**



39. The main areas of complaint by category for CESC, DNS, Resources and Tees Active:

<b>Complaints</b>		
<b>Service Group/ main area of complaint</b>	<b>Number of complaints</b>	
	<b>Q4 2011/12</b>	<b>Q3 2011/12</b>
<b>CESC</b>		
Service quality	54	46
Limited/no information	17	8
Staffing issue	12	10
Delay in Service	10	2
<b>DNS</b>		
Service quality	22	35
Staffing issue	10	13
<b>Resources</b>		
Policy/ procedure	25	30
<b>Tees Active</b>		
Service quality	19	33

40. The main areas of compliments and commendations by category for CESC, DNS, L&D, Resources and Tees Active:

<b>Compliments and Commendations</b>		
<b>Service Group/ main area of compliment or commendation</b>	<b>Q4 2011/12</b>	<b>Q3 2011/12</b>
	<b>Number of compliments and commendations</b>	<b>Number of compliments and commendations</b>
<b>CESC</b>		
Quality of service	86	76
<b>DNS</b>		
Quality of service	152	147
Specific help / service offered	55	51
<b>L&amp;D</b>		
Quality of service	9	7
Specific help / service offered	5	10
Staff performance	5	4
<b>Resources</b>		
Quality of service	15	4
Staff performance	11	2
<b>Tees Active</b>		
Quality of service	14	14

41. The main areas of comments by category for CESC, DNS, Resources and Tees Active:

<b>Comments</b>		
<b>Service Group/ main area of comments</b>	<b>Q4 2011/12 Number of comments</b>	<b>Q3 2011/12 Number of comments</b>
<b>CESC</b>		
Service Quality	32	57
<b>DNS</b>		
Service Quality	43	38
Facilities	38	32
<b>Resources</b>		
Policy / Procedure	8	1
<b>Tees Active</b>		
Service Quality	30	24

42. The main trends from the three month period identifies that:

- Within CESC, the largest number of compliments and commendations were received by adult services. Whereas children services received the largest number of comments.
- Within DNS, there was a noticeable drop in the number of complaints received for Community Protection and there was also an increase in the number of compliments and commendations. Technical services received a slight increase in complaints; this may be explained by the transfer of the Community Transport section from CESC.
- Within Tees Active, Billingham Forum received the largest number of complaints but the number of complaints received has decreased compared with the number received in the previous three months ending 31 December 2011. Out of the Tees Active venues, Billingham Forum also received the largest number of compliments and commendations.

#### **Complaints by the six diversity strands - respondents who gave details**

43. The table below shows the numbers of residents who provided details of their age, gender, disability, race, faith and belief and sexual orientation in Quarter 4 of 2011/12.

<b>Diversity strand</b>	<b>Q4 2011/12</b>
Age	21
Gender	21
Disability	20
Race	18
Faith and belief	16
Sexual orientation	15

44. During the fourth quarter of 2011/12, of those that gave details –

- most (six) complainants were aged 35 – 44. All complainants were aged 25-74.
- 12 complainants were female and nine male;

- Only one complainant declared that they had a disability;
- the majority (16) of complainants stated that they were white;
- the majority (13) of complainants stated that they were Christian; and
- all (15) complainants declared themselves heterosexual/ straight.

### Financial Position at 31<sup>st</sup> March 2012

45. The following table details the current MTFP position of each service. Officers are more than ever considering carefully expenditure in all areas with particular focus on areas where services which are in the process of an EIT review.

<b>Service Reserves (MS)/MC</b>	<b>Previously reported position at 31/3/2012 (MS)/MC's £'000's</b>	<b>Projected Outturn position at 31/3/2012 (MS)/MC's £'000's</b>	<b>Projected Outturn position at 31/3/2013 (MS)/MC's £'000's</b>	<b>Projected Outturn position at 31/3/2014 (MS)/MC's £'000's</b>
CECSC	(463)	(1,769)	0	0
D&NS	(496)	(1,409)	0	0
RESOURCES	(243)	(257)	(151)	(0)
LAW & DEMOCRACY	(187)	(181)	(141)	(0)
POLICY & COMMUNICATIONS	(452)	(566)	(362)	(0)
<b>TOTAL</b>	<b>(1,841)</b>	<b>(4,182)</b>	<b>(654)</b>	<b>(0)</b>

### Children, Education and Social Care

46. Reports throughout the year have identified that the opening managed surplus of £2.5m would be fully utilised due in part to a number of pressures around children in care and adult social care. The position has improved and although pressures remain specifically relating to children services, there have been a number of changes and actions taken which have reduced these pressures and identified savings which mean that the managed surplus at outturn is £1.7m. The main reasons for the movement in the final quarter are summarised below:-

- Service managers have been aware of the financial climate and pressures around social care placements and have been restricting spend in a number of areas such as training and supplies and services. There are also vacancies which have been held, particularly in areas where EIT reviews are ongoing and this has resulted in savings of approximately £450,000.
- Unspent balances on individual client budgets together with additional client contributions to care costs has generated £300,000.
- Maximising the use of contributions from the PCT reduced budget pressures by £350,000

There are still many risks and uncertainties facing the service and despite the savings above there are increasing pressures around social care costs. The position and impact of EIT reviews is being assessed and will be incorporated into future reports.

### Development & Neighbourhood Services

47. Officers are continuing to monitor the financial position closely and the financial position has improved by £900,000. The main reasons for the change are:

- Additional income has been generated in Highway Maintenance trading service valued at £130,000.
- Community Protection saw an improvement of £150,000 in the quarter. This was due to increases in external income within Security Services and Care Call client numbers.
- The income associated with Technical Officers charges within Technical services was £200,000 higher than previously anticipated.
- Although pressures within waste management remain, there was a reduced amount of waste to landfill which reduced the pressure by £200,000
- Expenditure on maintenance of parks, and costs of vehicle maintenance were delayed and will now be incurred in the new financial year which will be £200,000.

### **General Fund Balances**

48. Members will recall that at the time of setting the 2012/13 budget in February 2011, the general fund balances were anticipated to be £10.8m. This was £2.3m above the required level of 3% and members approved the utilisation of this surplus as one off funding across the medium term plan. The position on balances has however improved since the last report and they stand at £10.3m, which means there is a further £1.8m available. The main reasons for the improvement are as follows:

- Despite the poor interest rates, interest on balances was actually higher than anticipated by £675,000 due to being able to secure better than expected interest rate returns in making investments of up to 12 months with UK based banks.
- There is a variation on Housing Benefit of approximately £400,000. The main reason is that the Department of Work and Pensions had requested recovery of overpaid Housing and Council Tax Benefit related to the 2009/10 financial year. The authority had accounted for this payment in year but was able to successfully defend its position and the recovery was eventually reduced down to zero
- As part of the 2011/12 budget setting report, £2.3m was earmarked to ensure a balanced budget position. The report in February 2012 indicated that this requirement was reduced to £700,000 following confirmation of additional funding for social care. We have since been notified of an additional allocation of £500,000 which has again reduced the call on balances.

## Capital

49. The Capital budget for 2011/12 is outlined in the following table:

	Approved Budget £000's	Revised Budget £000's	Outturn £000's	Variance £000's
Children, Education and Social Care	9,239	10,993	10,958	(35)
Development & Neighbourhood Services	19,132	21,847	19,016	(2,831)
Resources	3,514	3,634	3,226	(408)
Total Programme	31,885	36,474	33,200	(3,274)

### The main reasons for the variances are as follows :

Preston Hall Museum – Expenditure in respect of internal fit out was incurred in April 2012 and not March as originally expected (£1,123,000). Following the major investment in this facility, the revamped museum is scheduled for opening in the Summer.

Billingham Town Centre – Plans for investment in Billingham Town Centre are well advanced and £150,000 originally expected to be incurred in 2011/12 will now be incurred in this financial year.

Billingham House – Following the successful outcome in respect of legal proceedings, The Council can proceed in the demolition of Billingham House and the budget will therefore be carried forward into 2012/13 to fund the work.

Townscape Heritage Grants - An approved scheme within the Townscape Heritage Initiative programme has been re-designed, resulting in an overall re-profiling of the grants paid to a town centre businesses (£186,000).

Housing Regeneration – As part of the significant acquisition programmes for Mandale and Swainby Road Regeneration Schemes, some of the expenditure was delayed from last financial year (£634,000).

ICT improvement schemes – a number of schemes, managed by Xentrall, have been re-profiled to reflect that the level of expenditure incurred is dependant upon a number of other concurrent ICT projects. Expenditure is funded through contributions from Darlington BC and earmarked reserves.

### Future Uncertainties and Update of Councils Medium term Financial Plan

50. Members will recall that the 2012/13 budget report outlined a balanced position in 2012/13 and 2013/14 with a budget gap estimated at £11.6m by 2016/17. There are however a number of changes and uncertainties around funding which could have a significant impact on the Councils position.

- Localisation of Business Rates. Although there have been further announcements on the methodology around the localisation of business rates, notably that the retained element would be 50% with the balance paid to Government and redistributed through a reformed Revenue Support Grant, there are still no exemplifications of how this will operate and affect Stockton's Resources.
- Localisation of Council Tax Benefit and funding reduction of 10%. Members will be aware from the Seminar of 21<sup>st</sup> June that this change will have a significant impact on the Council. The reduction in funding will be £2.6m to the Council, although depending on the scheme introduced locally. There is also the potential for growth which in future will be a risk borne by the Council and the affect of the change on the Council Tax Base which will reduce the income included in the MTFP by a further £550,000 in 2013/14, rising to £2.3m by 2016/7.
- Public Health – The allocation for Stockton in 2013/14 is £11.9m, however a new methodology has been proposed for 2014/15 onwards. Initial analysis indicates this would reduce the funding allocation by £2.5m.

A further review and update of the Council's Medium Term Financial Plan is underway in advance of the budget setting process for 2013/14 and this issues will be considered as part of that process.

## **51. FINANCIAL AND LEGAL IMPLICATIONS**

To update the MTFP and outline the financial position at the end of the 2010/11 financial year There are no financial implications to the performance elements of this report. EIT review savings are linked and managed through the MTFP.

## **RISK ASSESSMENT**

52. This report is categorised as low to medium risk. Existing management systems and daily routine activities are sufficient to control and reduce risk.

## **SUSTAINABLE COMMUNITY STRATEGY IMPLICATIONS**

53. The report supports the Sustainable Community Strategy.

## **EQUALITY IMPACT ASSESSMENT**

54. The report was not subject to an Equality Impact Assessment. The report does not seek approval for a new policy and an assessment was taken on the MTFP report submitted as part of the 2009/10 budget cycle.

## **CONSULTATION, INCLUDING WARD COUNCILLORS**

Not applicable.

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