

# Improvement and Innovation Board

## Agenda

### Joint Meeting with the Community Wellbeing Board

Friday 02 November 2012  
11.00am

Bevin Hall  
Local Government House  
Smith Square  
LONDON  
SW1P 3HZ

**To:** Members of the Improvement and Innovation Board  
**cc:** Named officers for briefing purposes

## **Guidance notes for visitors**

### **Local Government House, Smith Square, London SW1P 3HZ**

#### **Welcome!**

Please read these notes for your own safety and that of all visitors, staff and tenants.

#### **Security**

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DO NOT USE THE LIFTS.

DO NOT STOP TO COLLECT PERSONAL BELONGINGS.

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#### **Further help**

Please speak either to staff at the main reception on the ground floor, if you require any further help or information. You can find the LGA website at [www.lga.gov.uk](http://www.lga.gov.uk)

**Please don't forget to sign out at reception and return your badge when you depart.**

## **Improvement and Innovation Board**

2 November 2012

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The **Improvement and Innovation Board** joint meeting with the Community Wellbeing Board will be held on **Friday 2 November 2012 at 11.00am**, in Bevin Hall (Ground Floor), Local Government House, LONDON, SW1P 3HZ.

The joint meeting will be held from 11am – 12.30pm. A sandwich lunch will be provided from 12.30pm – 1.00pm. An individual Improvement and Innovation Board meeting will be held from 1.00pm – 1.30pm in Rathbone Rooms 1 & 2 (7<sup>th</sup> Floor).

### **Apologies**

Please notify your political group office (see contact telephone numbers below) if you are unable to attend this meeting, so that a substitute can be arranged and catering numbers adjusted, if necessary.

**Labour:** Aicha Less: 020 7664 3263 email: [aicha.less@local.gov.uk](mailto:aicha.less@local.gov.uk)  
**Conservative:** Luke Taylor: 020 7664 3264 email: [luke.taylor@local.gov.uk](mailto:luke.taylor@local.gov.uk)  
**Liberal Democrat:** Group Office: 020 7664 3235 email: [libdem@local.gov.uk](mailto:libdem@local.gov.uk)  
**Independent:** Group Office: 020 7664 3224 email: [independent.group@local.gov.uk](mailto:independent.group@local.gov.uk)

### **Attendance Sheet**

Please ensure that you sign the attendance register, which will be available in the meeting room. It is the only record of your presence at the meeting.

### **Location**

A map showing the location of the Local Government House is printed on the back cover.

### **Contact**

Frances Marshall (Tel: 020 7664 3220, email: [frances.marshall@local.gov.uk](mailto:frances.marshall@local.gov.uk))

### **Guest WiFi in Local Government House**

This is available in Local Government House for visitors. It can be accessed by enabling “Wireless Network Connection” on your computer and connecting to LGH-guest, the password is Welcome2010LG.

### **Carers' Allowance**

As part of the LGA Members' Allowances Scheme, a Carers' Allowance of up to £6.08 per hour is available to cover the cost of dependents (i.e. children, elderly people or people with disabilities) incurred as a result of attending this meeting.

### **Hotels**

The LGA has negotiated preferential rates with Club Quarters Hotels in central London. Club Quarters have hotels opposite Trafalgar Square, in the City near St Pauls Cathedral and in Gracechurch Street, in the City, near the Bank of England. These hotels are all within easy travelling distance from Local Government House. A standard room in a Club Quarters Hotel, at the negotiated rate, should cost no more than £149 per night.

To book a room in any of the Club Quarters Hotels please link to the Club Quarters website at <http://www.clubquarters.com>. Once on the website enter the password: localgovernmentgroup and you should receive the LGA negotiated rate for your booking.



## Improvement and Innovation Board

Date: 19.09.12

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### Improvement and Innovation Board - Membership 2012/2013

Councillor	Authority
<b>Conservative (8)</b>	
Peter Fleming [Chair]	Sevenoaks DC
Rod Bluh	Swindon BC
Michael White	Havering LB
Richard Stay	Central Bedfordshire Council
William Nunn	Breckland Council
Teresa O'Neill	Bexley LB
Tony Jackson	East Herts Council
Glen Miller	Bradford City
<b>Substitutes:</b>	
Chris Hayward	Three Rivers DC
Peter Jackson	Northumberland Council
David Mackintosh	Northampton BC
Barry Wood	Cherwell DC
<b>Labour (6)</b>	
Ruth Cadbury [Deputy Chair]	Hounslow LB
Tony McDermott MBE	Halton BC
Tim Cheetham	Barnsley MBC
Helen Holland	Bristol City
Judith Blake	Leeds City
Rory Palmer	Leicester City
<b>Substitutes:</b>	
Theo Blackwell	Camden LB
<b>Liberal Democrat (3)</b>	
Jill Shortland OBE [Vice Chair]	Somerset CC
Edward Lord OBE JP	City of London Corporation
Sir David Williams CBE	Richmond upon Thames LB
<b>Substitute:</b>	
Theresa Higgins	Essex County Council
<b>Independent (1)</b>	
Jeremy Webb [Deputy Chair]	East Lindsey DC
<b>Substitute</b>	
Angela Lawrence	Vale of White Horse DC

<b>Observers</b>	
<b><i>Philip Selwood, Chief Executive, Energy Savings Trust</i></b>	<b><i>Private Sector</i></b>
<b><i>Professor Dominic Shellard, Vice-Chancellor and Chief Executive, De Montfort University</i></b>	<b><i>Academic Institutions</i></b>
<b><i>Richard Priestman, Managing Director, Corporate Business, Lombard</i></b>	<b><i>Financial/Productivity Expertise</i></b>

## LGA Improvement & Innovation Board Attendance 2012-2013

Councillors	17.09.12					
<b>Conservative Group</b>						
Peter Fleming	Yes					
Rod Bluh	Yes					
Michael White	No					
Richard Stay	Yes					
William Nunn	Yes					
Teresa O'Neill	Yes					
Tony Jackson	Yes					
Glen Miller	Yes					
<b>Labour Group</b>						
Ruth Cadbury	Yes					
Tony McDermott MBE	Yes					
Tim Cheetham	Yes					
Helen Holland	Yes					
Judith Blake	No					
Rory Palmer	Yes					
<b>Lib Dem Group</b>						
Jill Shortland OBE	Yes					
Edward Lord OBE JP	Yes					
Sir David Williams CBE	Yes					
<b>Independent</b>						
Jeremy Webb	Yes					
<b>Substitutes</b>						
David Mackintosh	Yes					





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**Improvement & Innovation Board and Community Wellbeing Board – Joint Meeting**

Friday 2 November 2012

11.00am

Bevin Hall, Local Government House, London

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**PART ONE: JOINT MEETING  
11.00AM – 12.30PM**

Item	Timing	Page
<b>1. Declarations of Interest</b>	<b>11:00</b>	
Opportunity for Members to declare any personal or prejudicial interests.		
<b>2. Sector-led improvement in Adult Services</b>	<b>11:05</b>	<b>3</b>
Dennis Skinner (Head of Improvement Programme) and Oliver Mills (Towards Excellence National Programme Director) will provide a presentation on the generic approach to sector-led improvement and an indication of how this is being implemented and progressed in adult social care.		
<b>3. Productivity Programme Update: Opportunities for efficiency savings in Adult Social Care</b>	<b>11:15</b>	<b>25</b>
John Bolton (independent consultant in social care) will provide a presentation on the early findings from the Adult Care and Efficiency Programme and the potential implications and opportunities for further efficiencies.		
<b>4. Sector-led improvement and Health reform</b>	<b>11:30</b>	<b>29</b>
Alyson Morley (Senior Advisor) will set out the emerging health landscape and outline the options for an LGA improvement offer.		
<b>Table discussions</b>	<b>11:45</b>	
<b>Feedback</b>	<b>12:15</b>	
<b>Concluding points and close.</b>	<b>12:30</b>	

**LUNCH: 12.30PM – 1.00PM**

**PART TWO: IMPROVEMENT AND INNOVATION BOARD**  
**1.00PM – 1.30PM**

Item		Page
5.	<b>Second Quarter Performance Report - 2012/13</b>	39
6.	<b>Business Planning 2013/14</b>	45
7.	<b>Update on Transparency</b>	55
8.	<b>Local Government Knowledge Navigator - Update</b>	67
9.	<b>Notes of the last meeting</b>	73
10.	<b>Date of Next Meeting:</b> Tuesday 15 January 2013 at 11am, Local Government House, London	

**Item 2**

## **Sector-led improvement in Adult Services**

### **Purpose of report**

For information.

### **Summary**

This report updates the Boards on the progress in developing *Towards Excellence in Councils' Adult Social Care*, a programme on sector-led improvement, support and self assessment in adult social care. It has been agreed that the Community Wellbeing Board would receive updates on the programme every six months.

This work sits within the overall approach to sector-led improvement which is set out in "Sector-led improvement in local government" which is attached at **Appendix A**. Sector-led improvement in local government" describes a comprehensive and coordinated approach to sector-led improvement, the key principles on which it is based and the core components of the support offer to the sector, including the work of TEASC and the Children's Improvement Board.

This item will be led by Dennis Skinner Head of Leadership and Productivity, LGA and Oliver Mills, National Programme Director for Towards Excellence.

### **Recommendations**

The Boards are asked to:

1. note the progress made so far as outlined in the report; and
2. agree that officers take this work forward in the way described at points 5 - 14.

### **Action**

As directed by Members.

**Contact officer:** Oliver Mills/Emma Jenkins  
**Position:** National Programme Director/Senior Adviser  
**Phone no:** 07881 820895 / 020 7664 3046  
**E-mail:** [Oliver.Mills@local.gov.uk](mailto:Oliver.Mills@local.gov.uk) / [emma.jenkins@local.gov.uk](mailto:emma.jenkins@local.gov.uk)



**Item 2**

## **Sector-led improvement in Adult Services**

### **Background**

1. Towards Excellence in Councils' Adult Social care (TEASC) is a programme of work with and for councils to improve performance in adult social care. Its core elements include regional work; robust performance data; self evaluation; and peer support and challenge. The sector-led initiative builds on the self-assessment and improvement work already carried out by councils.
2. The TEASC programme board is responsible for working with Councils to develop and implement sector-led improvement in adult social care, in line with the Local Government Association's publication 'Sector-led improvement'. The board is a partnership chaired by the Association of Directors of Adult Social Care (ADASS) with senior representation from the Local Government Association (LGA), the Department of Health (DH), the Care Quality Commission (CQC), the Society of Local Government Chief Executives (SOLACE), the Think Local Act Personal partnership (TLAP) and the Social Care Institute for Excellence (SCIE). More information can be found at <http://www.local.gov.uk/adult-social-care>.
3. The programme began with a year of transition in 2011/12. There will be a year of full implementation in 2012/13 and a year of consolidation 2013/14. It is felt that the first year of the programme has resulted in significant developments in the process of transition from the old performance framework to a new sector-led approach to improvement. Overall, these separate components being further developed in the second year are on course to be assembled to create the final model of sector-led improvement in adult social care, by March 2013.
4. The Department of Health provides funding for the three year programme and it has provided £500,000 for 2012/13. The programme also has a very similar approach to the parallel programme in children's services, particularly around its basis of peer support and regional work, although the funding for this is significantly more.

### **Update on activity since March**

5. **Working with councils previously judged 'adequate'** for adult social care by the Care Quality Commission in 2010: Each council has developed an improvement plan funded by the programme. Progress against this is formally endorsed by a peer challenge and support from a peer director, amongst other mechanisms. The improvement by three Councils has been formally recognised by the Programme Board – Cornwall, Central Bedfordshire and South Tyneside. The remaining four will attend the Board shortly – Wirral, Solihull, Gateshead and Redcar & Cleveland.
6. **Working with regions:** Reflecting the shift from a top down approach to performance to a collective ownership of improvement, the model of sector-led improvement is being developed with the ADASS regions and networks, supported by the LGA's and the DH's regional presence. £17,000 is to be allocated to regions shortly, combined with a straightforward process for monitoring region's delivery plans which will be reported back

**Item 2**

to the CWB Board in the next report back from the programme. This follows a distribution of £25,000 in 2011/12. This will be circulated with guidance which is being prepared on the range of approaches to challenge from ones peers which are developing in each of the nine regions, in order to retain the integrity of the LGA's offer on peer challenge.

7. **Local accounts:** councils were encouraged by the programme board to produce an annual 'local account' as a means of reporting back to local people on performance in adult social care. Though discretionary, most councils have produced one and all regions are supporting councils in their production. The Programme Board recently commissioned an independent national overview of local accounts produced so far. The learning from this is shaping a national conference on 12 November at the LGA to share practice and look at how local accounts can evolve in an increasingly integrated system. This will be further followed by more information for Councils on 'what good looks like' in local accounts.
8. **Progress report:** based the principles of co-production, transparency and data sharing, the programme board launched its first report on progress in adult social in England at National Conference. This used data supplied by councils to the Information Centre for 2011/12 and other published evidence, such as ADASS surveys on budgets and personalisation. Distributed with a range of tools to aid analysis and improvement, this work will provide a baseline picture and tools which councils can use to analyse and benchmark data and a 'line of sight' for a range of audiences with a interest in social care. Further work on bringing together the information needed to support improvement in 'real time' is under consideration, with LG Inform as the key mechanism to host this.
9. **Managing the risk of underperformance:** the programme board is developing its thinking on how best to support councils in need of extra sector-led support, based on process outlined in 'Sector-Led Improvement'. This has led to the development of an 'ADASS mandate' to clarify the role of Directors at all tiers of the Association. This emphasises the commitment to work together as peers to support each other's improvement. The focus on the programme will remain on promoting excellence in councils' approach to adult social care, as opposed to an approach that appears to focus primarily on addressing poor performance.
10. **Coordination of national support offers:** the Programme Board is working with other key national improvement agencies, such as SCIE, National Skills Academy, Skills for Care, Research in Practice for Adults, to coordinate their offers to the sector. A further conversation will take place with the DH in their role as a funder to shape the improvement offer each will provide in the future to ensure that these reflect the needs of Councils and to assist local improvement planning.
11. **Funded projects:** A small amount of funding has been provided for issues which are identified by the programme board as being critical to the delivery of sector-led improvement. For example, work has been commissioned on developing an outcomes-based approach to monitoring safeguarding. Work also has now started on updating the DH 2009 'Use of Resources' publication to pull together current evidence on use of resources and the opportunities for delivering sustainable savings. It will pick up

2 November 2012

## **Item 2**

emerging learning from the LGA Adult Social Care Efficiency programme, and develop tools and processes to support delivery of the efficiencies identified.

12. **Programme Management:** regular communication about the programme's activity is circulated via monthly bulletins. The programme is being evaluated via the LGA's wider evaluation activity on sector-led improvement and the Board is undertaking some self-assessment activity of how its work is delivering against the key principles of sector-led improvement. Further work around external and independent assurance of the final model will be developed.
13. **Closer links with other programmes:** The implications of integration of adult social care with health for sector-led improvement will need to be scoped, as noted in another item at today's Board. There also will be opportunities to align the other sector-led improvement programmes, especially with regards to the regional delivery capacity within the more substantially-funded Children's programme and given the context of the increasing number of joint appointments at Director level.
14. **Leadership:** further work will be undertaken to establish the political accountability of the devolved work at regional level, based on existing member led regional structures, as well as further engagement with Leaders and Chief Executives.

### **Financial Implications**

15. There are no additional financial implications arising from this report not covered within business plans or the additional programme funding.

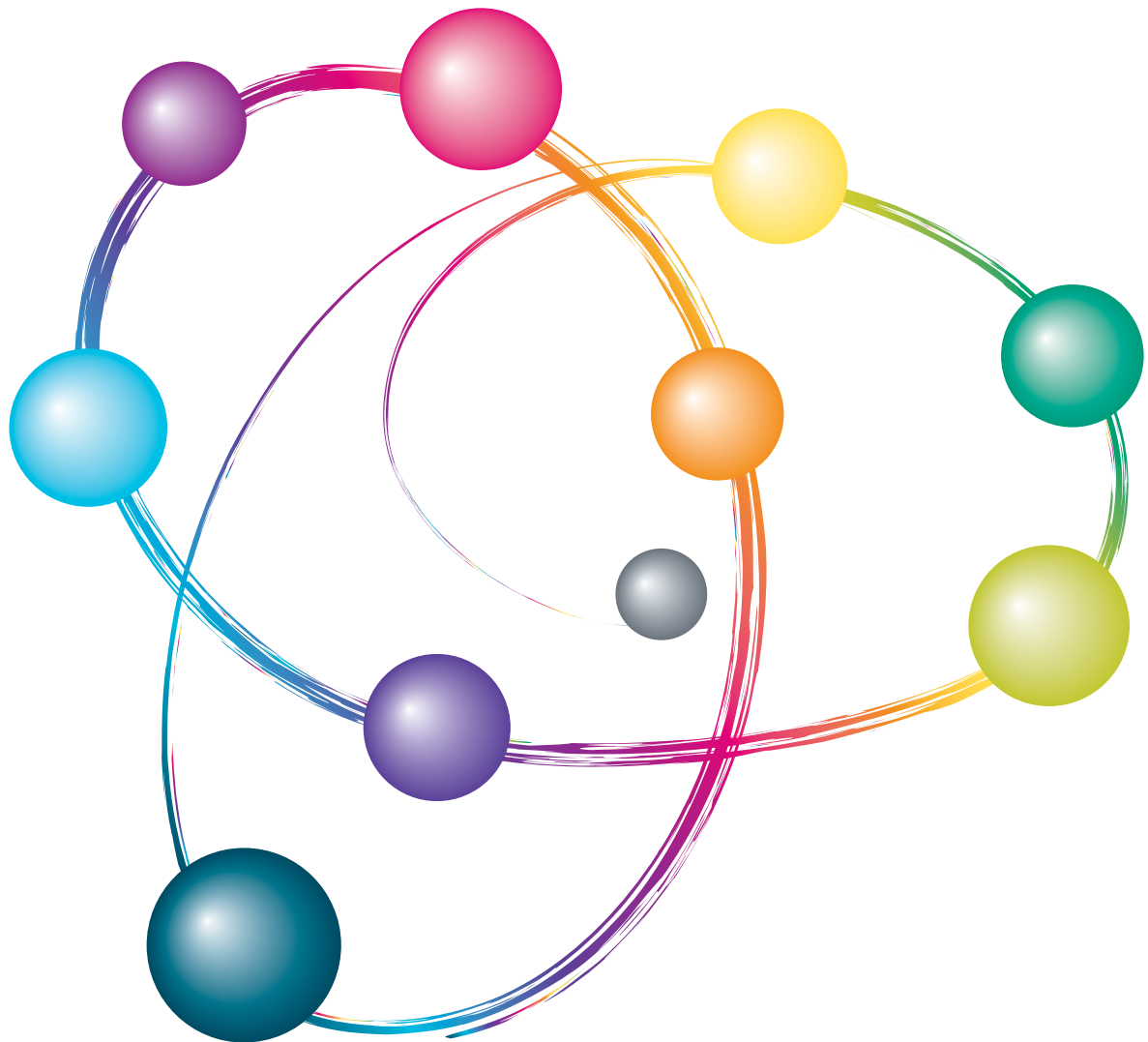
### **Implications for Wales**

16. These arrangements apply to England only. The idea of local accounts has drawn on approaches for social services piloted in Wales.





# Sector-led improvement in local government





# Foreword

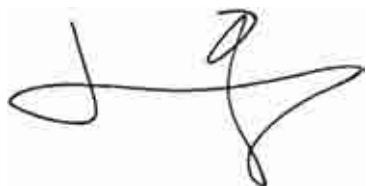
We have come a long way since the Local Government Association (LGA) published 'Taking the Lead' over a year ago.

There is now a real momentum around sector-led improvement. Councils are using the support we have offered and new approaches to improvement are being delivered in children's services and in adult social care.

This publication brings it all together. It describes a comprehensive and coordinated approach to sector-led improvement across local government, the support that is being provided for councils, and where to go for further information or advice.

It is primarily intended for council leaders, portfolio holders, chief executives and directors because your active participation is critical to success – to ensuring your council continues its own improvement journey; takes up the support on offer; and contributes to the improvement of local government as a whole. The LGA is committed to helping you achieve this.

The support offer outlined here is of course just one part of the wide ranging support available to councils via the Local Government Association, Local Partnerships, the Children's Improvement Board and the Towards Excellence in Adult Social Care Board.



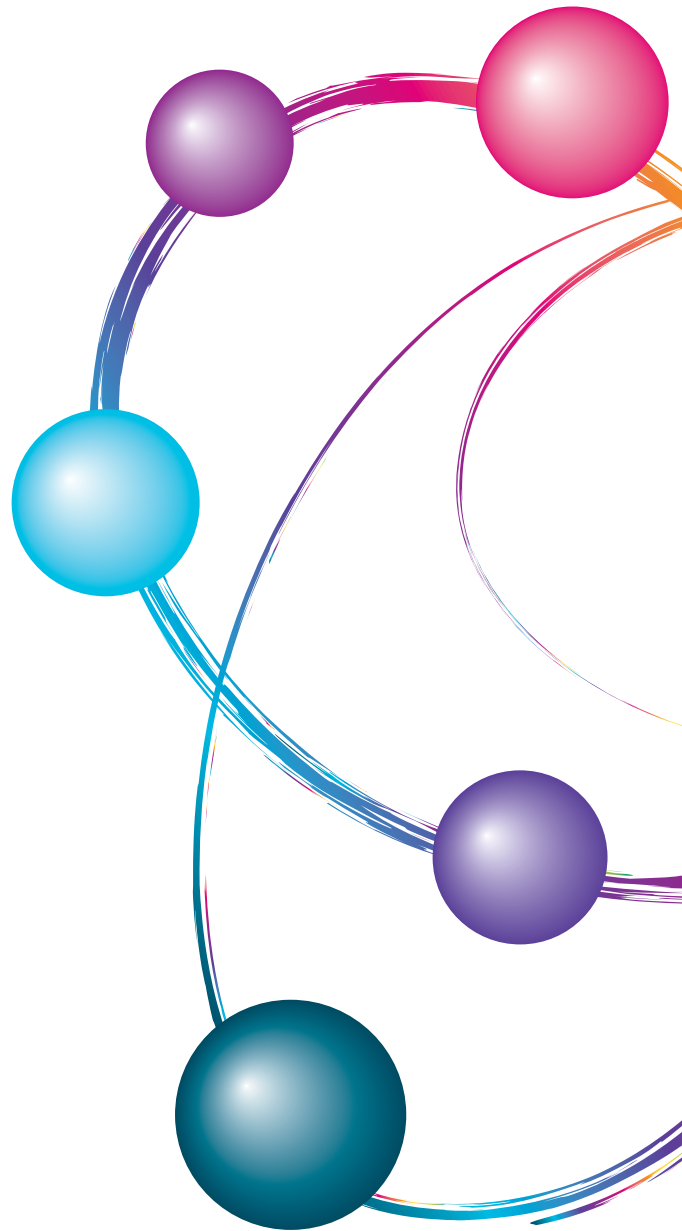
**Councillor Peter Fleming**  
Chairman  
LGA Improvement Board

# Background and key principles

With changes to the nationally imposed inspection and assessment regime, a new approach to improvement has been developed by local government. This was set out in the LGA's document 'Taking the Lead' in February 2011. The approach has received high levels of support from councils who overwhelmingly endorse the key principles on which it is based, that:

- councils are responsible for their own performance and improvement and for leading the delivery of improved outcomes for local people in their area
- councils are primarily accountable to local communities (not government or the inspectorates) and stronger accountability through increased transparency helps local people drive further improvement
- councils have a collective responsibility for the performance of the sector as a whole (evidenced by sharing best practice, offering member and officer peers, etc)
- the role of the LGA is to maintain an overview of the performance of the sector in order to identify potential performance challenges and opportunities – and to provide tools and support to help councils take advantage of this new approach
- we all need to continue to lobby for further reductions in inspection, assessment and data reporting.

The LGA has developed and started to deliver the support offer set out in 'Taking the Lead', along with the sector-led improvement activity in children's and adult social care services. Feedback has been encouraging.



# Implementation and support

'Taking the Lead' identified a small core set of activities that are commonly undertaken by councils who proactively take responsibility for their own performance and improvement.

This common set of activities provides the framework for sector-led improvement across councils' services and activities. It is also the framework around which the offer of support to councils is based, as follows:

## Local accountability

Councils already make extensive efforts to engage with their local residents. Exactly how they go about strengthening local accountability will vary from place to place.

### Our offer includes:

- stronger online guidance and an updated tool to help councils assess performance against key priorities
- support from the Centre for Public Scrutiny (CfPS) to make more effective use of scrutiny as a key tool for challenging performance locally.

## Transparent and comparable performance information

Being able to compare performance with other councils and areas is an important driver for improvement.

**Our offer includes:** LG Inform – an easy to use data service for local government which at no cost, provides:

- a single point of access to a wide range of key contextual, financial and performance data
- the ability to share and compare performance information between councils and to manipulate the data and create a range of score cards and reports.

This is a tool for lead members, directors, performance managers and those involved in scrutiny. So far over 301 councils have started to use LG Inform with over 1,380 registered users.

For further information:

[www.local.gov.uk/about-lginform](http://www.local.gov.uk/about-lginform)

### Challenge from one's peers

We know that challenge from one's peers is a proven tool for improvement.

#### Our offer includes:

- at no cost, a 'corporate' peer challenge to every council over the three years from Summer 2011. The challenge is primarily an improvement tool capable of being tailored to allow individual councils to use it to focus on their local priorities. However, all corporate peer challenges include a core component that looks at issues of leadership, corporate capacity and financial resilience whose absence we know from experience is linked to organisational failure.

So far, we have spoken to more than 100 councils about their potential interest in corporate peer challenge, with 24 councils having benefitted from a corporate peer challenge in 2011/12 and a further 70 are booked in or are being discussed. The feedback from leaders and chief executives following a peer challenge has been very positive, with high levels of overall satisfaction and all of the participating councils saying they would recommend it to another authority. Equally, peers involved have fed back on what a useful learning tool it is for them.

### Investing in Leadership

Effective political and officer leadership is key to sustained improvement.

#### Our offer includes:

- The LGA is committed to continuing to provide development support for political leaders and we are making available one subsidised place for every council for each of the next three years on one of our main programmes. This offer was taken up by 198 councils in the last financial year.
- In addition we are offering, at no cost, up to five days of member peer support for councils undergoing a change of political control. Experience demonstrates this can be of great benefit to councils at a time of change.
- Leadership support is also available to senior officers involved in children's and adult social care services. See Annexes.

### Learning from good practice and the role of regional structures and networks

Learning from others in the sector is a key part of a sector-led approach – but it is often difficult to find the time or the right information.

#### Our offer includes:

- To help councils we have created the Knowledge Hub, a free web-based service providing a single window to improvement in local government. This illustrates the value of retaining capacity at national level to support improvement – creating a single solution that avoids the potential for duplication.

- We are also working with and supporting sub national groupings of councils and member/officer networks as a basis for implementing the new approach and sharing good practice. And we are in discussion with a number of sector owned regional improvement organisations about aligning our national and regional support offers so that we can present our joint support to the sector as a seamless whole.

### Children's and Adults Services

Particular issues and challenges can arise with these services and as a consequence, enhanced programmes are being developed in partnership with others.

#### Our offer includes:

- Sector-led improvement in these areas is developed and delivered through the national Children's Improvement Board (CIB) and Towards Excellence in Adult Social Care Board (TEASC) respectively.
- The CIB is a partnership board involving the LGA, the Association of Directors of Children's Services (ADCS), and SOLACE (Society of Local Authority Chief Executives), supported by the Department for Education (DfE). More details can be found at Annex A.
- TEASC is a partnership board fulfilling a similar function for adult social care services and includes representatives from the Association of Directors of Adult Social Services (ADASS), the LGA, the Care Quality Commission (CQC), the Department of Health (DH), Social Care Institute for Excellence (SCIE), Society of Local Authority Chief Executives (SOLACE) and the Think Local Act Personal partnership. More details can be found at Annex B.

### Coordination and communication

#### Our offer includes:

- In instances where councils require and are in receipt of support, the LGA principal adviser will be the key contact and coordinator of input from the LGA, CIB regional leads and TEASC structures. This is designed to provide a single point of contact for councils and a coordinated approach to improvement support.
- In some regions, the Regional Improvement and Efficiency Partnerships (RIEPs) or their successor bodies/ regional LGAs are supporting sector-led improvement. Principal advisers work closely with these partnerships to share information and provide support in a collaborative way, according to the extent and nature of the role of the regional body in the area.

### Managing the risk of significant underperformance

Significant underperformance at a service or corporate level is likely to have a detrimental impact on local people and localities, the reputation of a council and for local government as a whole.

The sector wants councils to feel able to voluntarily signal their need of support and to seek it from sector controlled improvement activities and bodies at national and where appropriate, regional level so that improvement support can be put in place and as a result, help prevent specific incidences of significant service or corporate underperformance and in extreme cases, avoid government intervention.

We have worked with councils to develop an agreed and effective way of understanding where councils are facing significant underperformance challenges and have taken advice on this from a variety of interested independent bodies (including CIPFA, the Audit Commission, National Audit Office, SOLACE, ADCS and ADASS).

In summary our approach, is as follows:

- Our team of principal and senior advisers gather qualitative information about the performance of councils in their areas and act as the key point of contact between councils and the LGA. They work with and are supplemented by our lead and regional member peers, who are drawn from local councils and make use of political networks.
- The principal advisers are supported with feedback from our wider engagement with councils, for example the results of a Peer Challenge, analysis of published quantitative performance data and intelligence gathered from others as appropriate (eg government departments, service specific inspectorates).
- Where information and intelligence is shared about performance challenges, the purpose will, in all cases, be to enable timely, appropriate and effective support to be offered, in accordance with the following general principles:
  - the individual council will be aware information is being shared
  - any concerns should be specific and evidence-based
  - information is treated in confidence.
- Where the information and intelligence gathered appears to identify councils facing significant performance challenges and a potential serious concern, the principal adviser will make contact at the earliest opportunity with the authority involved. How he/she approaches the council and the level of contact will depend on the circumstances and relationships in each case, but would normally be at leader/chief executive level.
- Emerging best practice suggests that where the level, type and extent of support warrants it, (typically signalled by the need to establish a formal Improvement Board) codifying the approach to be taken, is essential. Whilst a number of common characteristics can be identified as being associated with significant underperformance, few such situations are identical. Therefore, a bespoke 'Terms of Engagement' will be created on a case-by-case basis, setting out the approach to be taken.



# Making a success of sector-led improvement

As new arrangements for sector-led performance, improvement and assurance are developed and local government is presented with the opportunity to demonstrate its strength and credentials in this respect – to the benefit of councils and the sector as a whole – it is incumbent upon all those in the sector to contribute to their success.

## **Locally**

- Councils should engage positively and proactively with this work, considering how and when they would best benefit from our improvement support offer.
- Leaders and chief executives should take a strong interest in this work raising the profile and widening the ownership of it within their organisations.
- Councils should consider what more can be done to be transparent and accountable to local communities.
- Councils should consider whether their council can contribute by offering senior member/officer peers.

## **Regionally**

- Our principal advisers (see below for contact details) will act as the key point of contact for councils across the various streams of improvement support.
- Regional improvement organisations, CIB regional leads and TEASC structures will work together and with principal advisers to coordinate improvement activity and to ensure effective political leadership.

## **Nationally**

We will ensure (having regard to partnership arrangements with others, eg CIB, TEASC) that:

- the process is led politically
- there is a consistency in the improvement support offer across all council services
- this work is communicated to councils in a consistent and coordinated way.

## Contact details for further information

### LGA principal advisers

Marianne Abley  
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Howard Davis  
Principal Adviser, West Midlands and South West  
Telephone: 07920 061 197  
Email: [howard.davis@local.gov.uk](mailto:howard.davis@local.gov.uk)

Mark Edgell  
Principal Adviser, East Midlands, North East and Yorkshire and the Humber  
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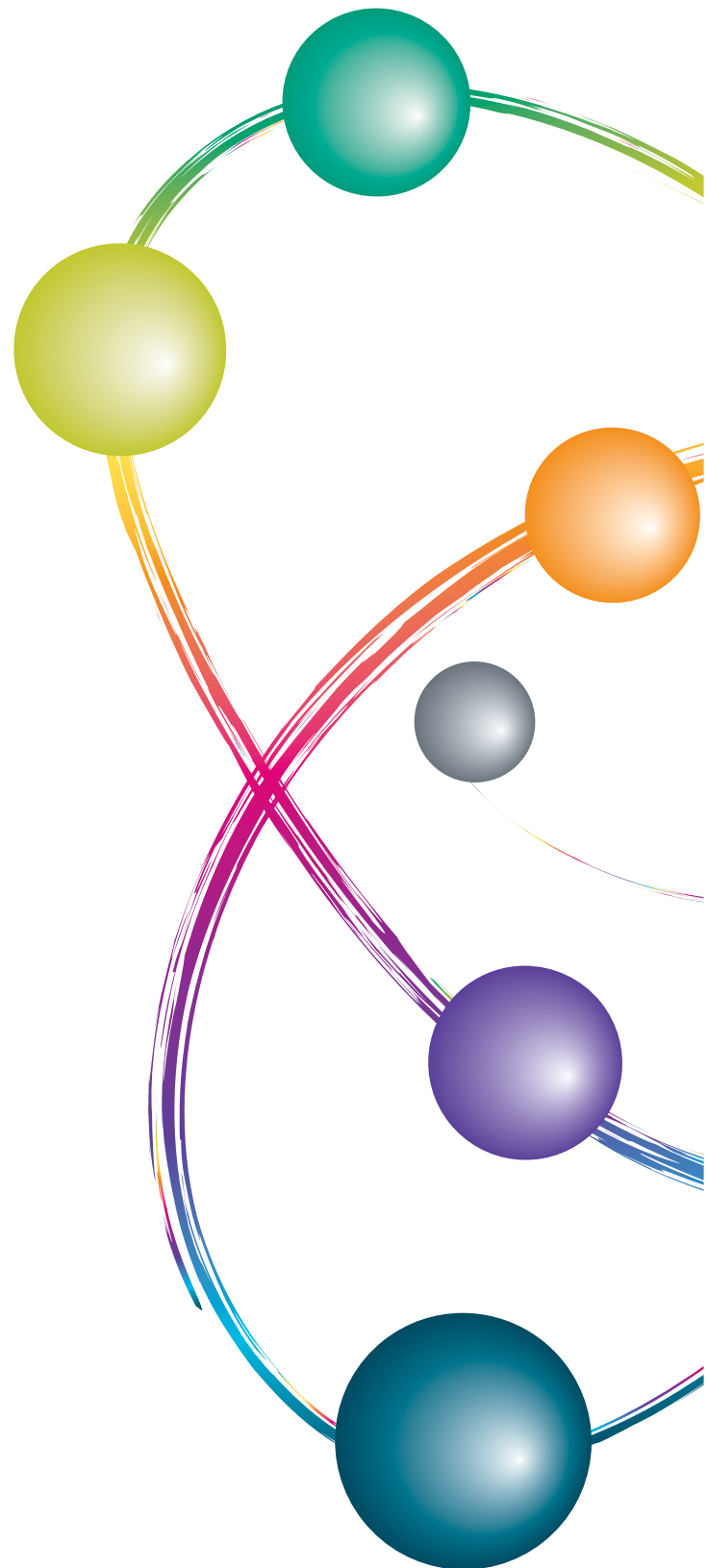
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[www.local.gov.uk/sector-led-improvement](http://www.local.gov.uk/sector-led-improvement)



# Annex A

## Sector-led improvement: children's services

Sector-led improvement in children's services is being taken forward through the Towards Excellence for Children work of the Children's Improvement Board (CIB). CIB is a partnership board set up by the Local Government Association (LGA), the Association of Directors of Children's Services (ADCS), and SOLACE (Society of Local Authority Chief Executives), supported by the Department for Education (DfE). It is a direction setting and decision making group that is responsible for the overall delivery of the Towards Excellence for Children programme to develop sector-led improvement for children's services.

The framework for sector-led improvement in children's services and around which our offer of support to councils is based, is as follows:

### Local accountability

Self-assessment forms an important basis for understanding and managing performance in children's services and councils are being asked to open up their self assessment to external challenge by their peers in other councils.

### Transparent and comparable performance information

CIB is working to develop a suite of common data for children's services. It will provide a single source of key information that councils can use as a way of understanding their own performance and provide a flexible reporting format to allow comparison to statistical neighbours and others. This can form a broad based starting point for peer challenge and discussions around early support. The data and information will be delivered through LG Inform.

### Challenge from one's peers

There are two offers in children's improvement:

- An opportunity for council's to receive challenge on their performance from their peers in other councils. A number of different models of children's services peer challenge have been developed by councils working together in regions. Councils have agreed to provide five days of directors' of children's services time to undertake this. It is expected that all councils will have been engaged in peer challenge by 31 December 2012 and CIB will review the learning from the different approaches being adopted in January and February 2013.

- An opportunity for councils to have, at no cost, a children’s safeguarding peer review. This is a nationally organised programme and twenty six such peer reviews have been delivered to date. Whilst this offer is open to all councils it is prioritised for those where it forms part of an agreed package of targeted or early support.

This offer builds on the LGA’s corporate peer challenge methodology – but there are some differences. First we have retained the “peer review” label because this is well recognised and understood within children’s services. Secondly whilst the exact focus for the review will still be discussed with the individual local authority there is less flexibility about the focus and approach because safeguarding is such a high risk area for the sector.

### **Investing in Leadership**

The CIB is working with the LGA to increase the number of member peers with an understanding of children’s services who are available to provide support to councils in particular difficulty. The LGA also supports and makes regular input to regional meetings of lead members for children. An induction event for new lead members is being held in July and free leadership academy places are being offered to children’s services lead members through four two-day Leadership Academy events in the autumn and early New Year. The CIB has oversight of the leadership programmes provided for directors of children’s services through the Virtual Staff College and is working to ensure a close fit between this leadership work and other aspects of children’s improvement.

### **Learning from good practice and the role of regional structures and networks**

The CIB has provided funding to each of the nine regions to support improvement work in children’s services. Within a broad agreement between regions and CIB, each region is being asked to prioritise peer challenge between councils and providing early support to councils who are in difficulty or may be at risk of poor performance. Each region has been asked to nominate three “regional leads” to champion this improvement activity: a lead member for children, a chief executive and a director of children’s services.

For further information about sector-led improvement in children’s services and the work of the Children’s Improvement Board: <http://www.local.gov.uk/CIB>

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# Annex B

## Sector-led improvement: adult social care

Sector-led improvement in adult social care is being taken forward by the Towards Excellence in Adult Social Care Board (TEASC). TEASC is the Partnership Board established to oversee the development of a new approach to sector-led improvement in adult social care, aligned with the current personalisation agenda. The Board includes representatives from ADASS, the LGA, the Care Quality Commission (CQC), the Department of Health (DH), Social Care Institute for Excellence (SCIE), SOLACE and the Think Local Act Personal partnership.

The framework for sector-led improvement in adult social care and around which our offer of support to councils is based, is as follows:

### Local accountability

In adult social care it is a key part of the approach that councils undertake and publish a regular self-assessment (called “local account”) setting out progress against their priorities for quality and outcomes in adult social care. Local accounts are seen as a key mechanism for demonstrating accountability for performance and outcomes to citizens.

Whilst not mandatory, most councils have now produced their first local account. How they did this was a matter of local discretion and initial analysis demonstrates that councils have approached local accounts in varying ways but all have built on existing mechanisms for engaging people who use services and reporting back, for example annual safeguarding reports. The Towards Excellence Board is planning to evaluate the exercise and draw out the lessons.



## Transparent and comparable performance information

The programme will draw on national data sets and market intelligence to offer comparative data on key outcome areas and productivity through LG Inform.

## Challenge from one's peers

The Adult's programme provides a subsidised peer challenge for each of the seven councils currently rated "adequate" under the previous CQC assessment regime. This is part of the Towards Excellence Board's approach to recognising councils' improvement in the absence of any further CQC assessments.

Where the three core elements:

- council's progress report against its improvement plan
- the results of the peer challenge, and
- endorsement from an independent peer director

confirmed by feedback from the DH deputy regional directors and LGA principal advisers all align, then the council is invited to present to the Towards Excellence Board so that its progress can be recognised and potential learning can be identified and shared.

As at April 2012 the board has been able to acknowledge the progress made by Cornwall, Central Bedfordshire and South Tyneside councils, with the ambition to 'sign off' improvement in the remaining councils during 2012/13.

In addition the Towards Excellence Board plans to provide resources to regions to support delivery of regional priorities, which may include peer challenge based on the LGA model.

## Investing in Leadership

The leadership programmes will be reviewed with the focus on collaborative leaders as the priority for 2012/13, linking to the LGA's health leadership programmes.

## Learning from good practice and the role of regional structures and networks

For adults, the approach to improvement is being developed with and through the ADASS regional branches. Workshops have now taken place in all regions (supported by the Towards Excellence Board) to discuss regional issues and priorities in sector-led improvement. The board plans to provide funding for regions to support key deliverables in 2012/13 as identified by the regions, which may include: supporting the delivery of regional peer challenge; review and development of local accounts; delivery of improvement support and stronger engagement of council leaders, lead members and chief executives.

For further information about sector-led improvement in adult social care and the work of the Towards Excellence Board: <http://tinyurl.com/d8xfyjm>

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We consider requests on an individual basis.



## **Productivity Programme Update: Opportunities for efficiency savings in Adult Social Care**

### **Purpose of report**

For discussion and direction.

### **Summary**

This report updates the Improvement & Innovation and the Community Well Being Boards on the progress being made in with the Adult Social Care Efficiency programme. A presentation will be given by John Bolton, visiting Professor at the Institute of Public Care.

### **Recommendation**

To note the work being undertaken as part of the Adult Social Care Efficiency programme and to receive a presentation given by John Bolton.

### **Action**

Officers to action as directed.

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## **Productivity Programme Update: Opportunities for efficiency savings in Adult Social Care**

### **Background**

1. The Board have approved the Productivity Programme to develop and operate a range of programmes to improve productivity and efficiency in councils. The Adult Social Care Efficiency (ASCE) Programme was launched in November 2011 and runs until summer 2014. The programme aims to help Councils to develop and implement new and innovative approaches to improve efficiency in adult social care in line with the broader policy vision.

### **Adult Social Care Efficiency Programme**

2. 52 projects applied to be involved in the Programme and 44 of those were successful. 40 of these are individual projects, two are joint projects (Barking and Dagenham and Havering; Darlington, Redcar and Hartlepool) and 2 are regional or sub-regional projects (Yorkshire and Humberside with Wakefield leading; Berkshire with Wokingham leading). Participating authorities were awarded £15-20k each. Overall the LGA will be providing c £1million to fund the programme, including £300k from the Department of Health.
3. Phase one of the programme involved participating authorities undertaking a diagnostic of their adult social care services. In June and July John Bolton visited all 44 projects to evaluate this work and confirm the focus of the projects to be undertaken as part of the ASCE Programme. He has since produced a report summarising the emerging lessons arising from the programme and drawing on other national and international studies to build on the learning. As with other recent reports on efficiencies in social care, authorities are exploring approaches to achieving efficiencies in three key ways - by reducing the numbers of people who need care; by reducing the costs of care; and reducing the bureaucracy of care.
4. The projects address a range of themes from whole systems efficiency reviews through to more focused projects looking at re-ablement, assistive technology or employee performance. Others focus on demand management or developing greater collaborative relationships with key partners.
5. Early discussions identify a number of common issues that are being explored through the programme. These include how partnerships with the voluntary sector can reduce demand for state funded services; how procurement takes place and helps to sustain good quality services; the role and nature of personal budgets; the practices of individual assessment staff and the impact this has on the costs of care for customers and the challenge of developing good outcome measures and how they help in getting the right help to people at the right time.

**Item 3**

6. An ASCE Programme event is being held on 27 November to launch the report, hear from a number of authorities that have made significant progress to date and to allow participating authorities to get together with others working to address similar challenges. The LGA will undertake a review of progress in summer 2013 and a final programme report will be available, including efficiency savings achieved, in 2014. Learning from the programme will be shared with the wider sector.
7. Professor John Bolton will give a presentation to the Boards on progress of the programme early lesson. John is visiting Professor at the Institute of Public Care, former Director of Adult Social Care at Coventry City Council and as Head of the Department of Health Productivity Team provides professional support to the programme.

**Financial Implications**

8. The business plans for 2012/13 includes resources to develop the productivity programme to support councils improve productivity. Capacity to support the programme has also been built into the LGA budgets and business plan.

**Item 4**

## **Sector-led improvement and Health reform**

### **Purpose of report**

For discussion and direction.

### **Summary**

This report seeks the Community Wellbeing and Improvement and Innovation Boards' views on the future scope for sector-led support on the health improvement role for local authorities. From April 2013, single and upper-tier local government will have new powers and duties under the Health and Social Care Act 2012 to work with partners and communities to improve health outcomes for their local populations. It is likely that the Department of Health will have funding to support sector-led approaches to support the consolidation of the new arrangements and to support improvement and innovation.

### **Recommendations**

Members of the Boards are asked to:

1. note the key proposals outline in the report; and
2. comment and advise on developing the LGA's sector-led offer to local authorities to improve health outcomes.

### **Action**

As directed by Members.

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## **Sector-led improvement and Health reform**

### **Background**

1. This report seeks the Community Wellbeing and Improvement and Innovation Boards' views on the future scope for sector-led support on the health improvement role for local authorities. From April 2013, single and upper-tier local government will have new powers and duties under the Health and Social Care Act 2012 to work with partners and communities to improve health outcomes for their local populations. It is likely that the Department of Health will have funding to support sector-led approaches to support the consolidation of the new arrangements and to support improvement and innovation.

### **Operating principles for sector-led improvement**

2. The LGA, in partnership with local councils, has developed an approach to sector-led improvement (SLI) that is more effective in driving improvement and innovation than the previous top-down and centralised performance management. The principles underlying this approach are:
  - 2.1 **councils are responsible for their own performance and improvement** and for leading the delivery of improved outcomes for local people in their area;
  - 2.2 **councils are primarily accountable to local communities** – not government or national inspectorates – and stronger local accountability through increased transparency drives improvement, which is locally appropriate;
  - 2.3 **councils have a collective responsibility for the performance of the sector** as a whole: this is evidenced by sharing best practice, offering member and officer peers, and opportunities for developing leadership; and
  - 2.4 **the role of the LGA** is to maintain an overview of the performance of the sector in order to identify potential performance challenges and opportunities – and to provide tools and support to help councils and to maximise the implementation of this new approach.
3. The LGA aims to ensure that all of the national and local stakeholders who have a role in improvement activity adopt these principles. The suite of improvement tools which form part of the current offer are summarised in the **Appendix A**.

### **Developing this model for health**

4. A sector-led model in relation to the local government role in improving health outcomes would need to:
  - 4.1 meet the needs for improvement support identified by councils themselves;
  - 4.2 ensure alignment principles outlined above for the SLI model;

**Item 4**

- 4.3 learn from the experiences of SLI in children's and adult services, and the current leadership offer for health and wellbeing boards;
  - 4.4 align with ongoing SLI support arrangements across local government, particularly adult social care, from April 2013; and
  - 4.5 take account of, complement and avoid duplicating the wider regulatory, quality assurance, system leadership and improvement work across the health system.
5. Possible components of the model are set out in Appendix A, along with a summary of arrangements already in place.

**Conclusion and next steps**

6. It is proposed that the LGA:
- 6.1 develop possible approaches based on direction from the Community Wellbeing and Improvement and Innovation Boards, and wider discussions with key stakeholders and with councils;
  - 6.2 consult the Health Transition Task Group, which involves key partners including the Association of Directors of Adult Social Services (ADASS), the Association of Directors of Children's Services (ADCS), Public Health England (PHE) and the NHS Commissioning Board (NHS CB) at its meeting on 7 November;
  - 6.3 hold a roundtable hosted by the LGA Chief Executive with key partners to consider how the different support elements in the new system can best fit together; and
  - 6.4 develop clear proposals for a SLI offer on the role of local authorities in health improvement based on those consultations for agreement.
7. Members' views are sought on the following questions:
- 7.1 What are the **key priorities** which a sector-led improvement offer needs to address to help local authorities meet their new statutory duties and to improve local health outcomes?
  - 7.2 What more do we need to do to help **Health and Wellbeing Boards** to be improve their effectiveness as local system leaders from 1 April 2013?
  - 7.3 How should we support **all councils, including districts, counties and single-tier local government**, to make an effective contribution to improved health outcomes?



**Item 4**

**Financial Implications**

8. It is not possible to identify the financial implications of a new sector-led improvement offer to local authorities at this stage of discussions. Officers will identify the costs associated with developing and delivering any new SLI offer on health issues and seek to secure sufficient funds in future action on this issue.



## **APPENDIX A**

### **1. Core components of the current general improvement support offer to councils**

We have developed a suite of improvement tools based on our extensive track record of working with councils. They are summarised below.

- **Supporting political leadership** – through a range of programmes, including Leadership Academies to help councillors develop their knowledge and leadership skills; an intensive leadership development programme for Leaders and Chief Executives; ‘next generation’ programme for aspirant future leaders.
- **Comparative performance data** – through the development of LG Inform, a shared data set which enables councils to benchmark their own performance against a wide range contextual, finance and performance data. LG Inform includes a common data set for children’s and adult services. Currently open to all councils, we intend to make this information open to the public to increase transparency and accountability (we may need to consider how it interacts with other available data).
- **Peer challenge** - in which a tailor-made team of elected members and chief officers work with councils to identify the challenges and areas for improvement for individual councils. Over the past year, 97 peer challenges – including corporate, adults, children’s safeguarding, planning and fire and rescue services have been delivered.
- **Sharing good practice** – we have developed the Knowledge Hub to provide a web-based forum for officers, members and stakeholders to create their own networks and learning communities with which to share good practice, identify key concerns and create extensive libraries of information. Currently, the Health and Wellbeing K-Hub has over 1,000 members and hosts regular webinars, hot seats and chats on a wide range of issues relating to HWBs.
- **Specific improvement offers** – we currently operate two service specific improvement offers, which have a direct relevance to the development of SLI for health: **TEASC** – Towards Excellence in Adult Social Care - and the **Children’s Improvement Board**.
- **Managing risk of underperformance** - The LGA’s approach to SLI spans the full spectrum from recognising and disseminating information about excellent practice to providing tailored and intensive support in cases of underperformance. We know that significant underperformance at a service or corporate level by individual councils is likely to have a negative impact on the services for people which the council serves, the reputation of individual councils and on the reputation of the local government sector as a whole. The LGA and its member authorities have a collective responsibility to act quickly in such circumstances. It is important to emphasise that instances of underperformance are extremely rare in the local government sector.

Government are supportive of a sector led approach to improvement and have agreed to share with the sector any concerns that they may have about individual authorities in order that the sector can respond accordingly.

#### **Item 4**

- **Promoting innovation** - All of our support tools identify and support the dissemination of innovation. K-Hub enables councils and their partners to share good practice amongst an on-line community. Leadership academies all include sessions to enable councillors to identify and maximise innovative practice. Our Creative Councils programme with NESTA is working with 6 councils to develop innovative solutions and ways of working on a range of issues.

Since it was first introduced Peer challenge has moved from a diagnostic to a developmental tool. Each peer challenge is tailored to address the specific issues of importance local authorities and this provides opportunities to stimulate innovation through: the choice of appropriate peers who bring with them expertise in specific areas; designing the on-site process in a way that maximises the opportunities for the council to learn from and with peers; and follow-up work, which includes signposting to information about best and innovative practice.

## **2. Possible components of SLI to improve health outcomes**

Local government's new statutory responsibilities and involvement in health can be categorised in six broad areas of system change that could be addressed by a new support offer.

- **Leadership and governance of health** – in establishing health and wellbeing boards to drive the development of shared priorities for health improvement, more effective commissioning and greater integration of services. Health and wellbeing boards (HWBs) will be the local system leaders of health improvement and as such, they will have an interest in and a responsibility to ensure that the local health system as a whole and their contribution to it is as effective as possible in identifying local health priorities and providing appropriate services to improve health outcomes.
- **Partnership and integration** – HWBs will have a statutory responsibility to promote integration. The Social Care Reform Bill will place far greater emphasis on prevention and early intervention as the bedrock of adult social care services. Increasingly, integration in planning, commissioning and provision will be an indicator of effectiveness and improvement.
- **Local public health** – local authorities will be responsible for local improvement services and will work with PHE and others to ensure robust local arrangements for health protection and emergency preparedness. This is a major extension of local authority responsibilities, requiring the transfer of 4,200 staff from PCTs to unitary and upper tier councils planning and delivering key public health services, such as open access sexual health services, the national Health Check and weighing and measuring of school children, and provision of public health advice and information to CCGs. It will be important for local government to assure itself, its health partners and its local communities that it is performing these new functions effectively and in a way that is locally appropriate.

#### **Item 4**

- **Mainstreaming health improvement activities** – HWBs also have a leadership role in addressing the wider determinants of health through mainstream council and other services such as housing, planning, the environment, regeneration, economic growth and educational attainment. The focus on the wider determinants of health is, arguably, the most compelling reason for transferring public health to local government: it enables join up and integration between specific public health services and general plans and services to maximise the extent to which they improve health. They will need to work closely with improvement activities for other services such as adult social care and children and young people to avoid duplication.
- **Citizen, service user and patient engagement in health improvement** – councils will commission social enterprises to provide local Healthwatch, the new consumer champion for health, social care and public health services. But all councils will already have a complex network of community, voluntary and neighbourhood organisations that have an interest in improving the health and wellbeing of the local community. It will be essential for local Healthwatch to function effectively within the wider patient and public empowerment context.
- **Funding and financial issues** – to help councils understand the new funding arrangements across the health system and to work with local partners to manage financial arrangements effectively.

### **3. Existing improvement support on health reform issues**

We already have specific programmes and activities focused on the development and improvement of the new health system. They are:

- **The HWB leadership support offer** – funded by DH until April 2013, the programme provides national, regional and bespoke support to councils on developing the skills and knowledge of HWBs to lead their local health systems. We are currently discussing with the DH how we might build on the current support to develop a new offer to councils and their health partners on effective system leadership, including how to drive improvement and innovation.
- **Healthwatch implementation offer** – funded by DH until April 2013, the LGA is currently offering a suite of support for councils to commission effective Local Healthwatch organisations.
- **Establishing a shared vision for public health** – we have organised a national workshop with key leaders in the health system and care system to develop a common vision, understanding and set of behaviours to promote shared leadership at national and local level for the new public health system. The RDsPH and PHE Transition Team are currently organising a series of regional events to further develop the vision and the LGA will be working with stakeholders to organise a national public health conference in January 2013. Improvement and innovation has been a constant theme in all of the events so far.
- **Concordat with the NHS CB** – the Concordat between LGA and NHSCB will be launched in October 2012 and includes a commitment to work together to develop a

2 November 2012

**Item 4**

shared approach to SLI. As yet, this joint work stream has not been developed further than a general commitment to work together.

- **Integrated commissioning and provision** – LGA is working with DH and NHSCB (under the Concordat) to develop models of good practice and key drivers for integrated commissioning of health and social care. This work will clearly have overlaps with SLI and we will need to address how improvement activity at national and local level drives integration.
- **Shared vision of system-leadership** - Various national engagement events on system-wide leadership and developing a common vision for public health have identified a need to develop a common or aligned approach to performance management in order to reduce the risk of conflicting messages and competing priorities for the players in the new health system.

Our service-specific offers on adult social care (TEASC) and children and young people (CIB) will need to take account of the complexities and inter-dependencies of the health and care system and how the activities of other commissioners and performance managers impact on the effectiveness of councils in improving performance of adult social care and children's services.

## **Second Quarter Performance Report - 2012/13**

### **Purpose of report**

For review.

### **Summary**

The attached performance report reviews the LGA's progress in delivering the priorities in the 2012-13 business plan for the first six months of the financial year. It covers:

1. Delivery of the LGA's programmes;
2. Financial performance;
3. Corporate health; and
4. Strategic risk management.

This includes those elements of the business plan that relate to the LGA's improvement work, as steered and overseen by the Improvement and Innovation Board.

Resources for the LGA's improvement work continue to be held by the IDeA Company, although the operations of the LGA and its associated companies are now fully integrated under one management structure. Full management accounts for the IDeA Company will therefore be presented to the next meeting of the IDeA Company Board later this month. An update on financial performance in respect of the LGA's improvement programmes is also included in this report.

### **Recommendation**

The Improvement and Innovation Board is asked to review the second quarter's performance report to the end of September 2012.

### **Action**

To inform management action and focus in ensuring the business plan is delivered.

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## Second Quarter Performance Report - 2012/13

### Introduction

1. The attached performance report for the first six months, covers the whole of the LGA's operations including delivery of its improvement programmes.
2. An overview of the LGA's performance is provided at the front of the performance report along with detailed information in the appendices covering:
  - 2.1 Delivery of the LGA's programmes;
  - 2.2 Financial performance;
  - 2.3 Corporate health; and
  - 2.4 Strategic risk management.
3. More specific commentary on the delivery of the LGA's improvement programmes, as set out in **Appendix A** of the performance report, is provided below, along with information on the financial performance on these programmes to date. The management accounts for the IDeA Company will be presented to the next meeting of the Company Board later this month.

### Delivery of the LGA's improvement work

4. **Appendix A** of the performance report shows for the ten workstreams in the Efficiency and Productivity and Sector-led improvement programmes that are overseen by the Improvement Board, nine are reported to be on track with one workstream, delivering peer challenges, being reported "amber" - at risk of not being achieved. The commentary provided in the table explains that 40 peer challenges had been delivered to the end of September, with a further 79 booked or in firm discussion with authorities so we are still hopeful of meeting the overall target of 100. However, if there are cancellations or postponements then the 100 figure might just be missed.

### Financial performance

5. The table below supplements the management accounts in the performance report in that it provides more detailed financial information in relation to the ten workstreams overseen by the Improvement and Innovation Board:



<b>Workstream</b>	<b>Budget</b>	<b>Actual 24/10/12</b>	<b>Comments</b>
<b>Efficiency and Productivity</b>			
Productivity programmes	565	265	Budget on track to be fully spent. Additional budget of £100k has been agreed at the mid-year review: £70k for a new fighting fraud programme; and £30k for a waste innovation programme.
Capital and assets programme	200	96	Budget on track to be fully spent.
Waste	75	18	Budget on track to be fully spent.
LG Inform/LGA research	450	111	An overspend of £30k is projected due to some overspend on LG Inform – this has been taken into account in the mid-year review.
<b>Total</b>	<b>1,290</b>	<b>490</b>	
<b>Sector-led improvement</b>			
Peer challenge	350	107	An overspend of £100k is projected and has been agreed at the mid-year review as the original budget was a provisional allocation based on 50 peer challenges. In the event, the original target of 100 peer challenges is likely to be delivered.
Support for councils	635	508	Includes £190k for the Centre for Public Scrutiny. Budget on track to be fully spent
Leadership programmes	595 (219 income )	203 (161 income)	Income and expenditure on track.
Leeds Castle	95	1	Expenditure committed in line with budget. Budget expected to be fully spent at year-end.
Be a Cllr programme	110	42	Budget on track to be fully spent.
NGDP	450	287	Budget on track to be fully spent.
<b>Total</b>	<b>2,235</b>	<b>1,148</b>	

6. The table shows that spend is broadly on track in all areas, with the exception of peer reviews, for which only a provisional budget was allocated at the start of the year, with a view to this being adjusted in the light of the actual take-up of peer reviews; and also LG Inform, where an overspend of £30k is projected. Both of these budget projections have been taken into account in the mid-year budget review.

### **Recommendation**

7. Members are asked to note the six month performance report for the LGA, and in particular delivery of the programmes overseen by the Improvement and Innovation Board.



## **Business Planning 2013/14**

### **Purpose of report**

For discussion and direction.

### **Summary**

This report invites the Board to express views about the shape of the LGA's Business Plan for 2013/14.

### **Recommendation**

The Board provides views and guidance about the shape of the LGA Business Plan for 2013/14.

### **Action**

Board views to be fed into the development of the LGA Business Plan for 2013/14.

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## Business Planning 2013/14

### Background

1. The process of developing the Business Plan for 2013/14 has begun and is due to be signed off by the LGA Executive in March 2013.
2. The LGA Leadership Board at its meeting on 17 October 2012r provided a high level steer on the LGA's priorities for 2013/14 (see [Appendix A](#)). The LGA Boards are now being asked to develop proposal for next year to inform the more detailed business plan and budget.
3. Members are invited to offer initial views in to the process. It is anticipated that the overall budget for 2013/14 will be broadly in line with this year's budget and that the five priorities remain relevant but with a sharper focus on economic growth, funding and public service reform.
4. By way of background Members will be aware that two of the five current outcomes relate directly to the work of the Improvement and Innovation Board. The current five priorities are:
  - 4.1 **Public service reform** – councils are at the centre, and seen to be at the centre, of public service reform and delivering more effective services for local people.
  - 4.2 **Growth, jobs and prosperity** – councils are recognised as central to economic growth.
  - 4.3 **Funding for local government** – reform of the public sector finance system so councils raise more funds locally, have confidence their financing is sustainable and fair, and greater ability to co-ordinate local public services.
  - 4.4 **Efficiency and productivity** – councils dramatically reduce costs in ways which minimise the impact on the quality of life for their residents.
  - 4.5 **Sector-led improvement** – councils are the most improved part of the public sector, and local politicians and senior managers lead the transformation of local places.
5. The Leadership Board's initial view is that the efficiency and productivity priority should become part of the Public Service reform objective and that sector-led improvement should be core to everything the LGA does and underpin all of the three priorities.
6. Boards are being asked to focus on the following questions in respect of the work of their Board:

**Item 6**

- 6.1 For the LGA's top priorities, what should we be focussing on and trying to achieve for maximum impact on behalf of our members?
- 6.2 What have we found out about what works and what doesn't work over the last year? What should we be doing more of? What should we be stopping or doing less of?
7. In thinking about how the Board contributes to the Plan, Members identified the following areas of work for the Board:
  - 7.1 Supporting and leading the sector in self-regulation through Taking the Lead offers, including stronger local accountability through transparency.
  - 7.2 Delivery of the Local Productivity programme.
  - 7.3 Ensuring the sector is supported to provide effective leadership to councils and local communities.
  - 7.4 Helping Councils to be innovative in order to transform services for the benefit of their users/residents.
8. At the mid (financial year) review stage members recognised that the overall picture of progress was good, particularly given the settling in of transitional arrangements from 1 June 2011, the reduction in staffing of around 40% and the creation of whole new teams of people working together for the first time.
9. In terms of thinking about the 2013/14, it is suggested that the current areas of work remain relevant but that the Board:
  - 9.1 will want to take account of the feedback from the evaluation of sector-led improvement and our specific offers;
  - 9.2 maintain a strong focus on helping councils deliver quality services and drive out efficiency savings; and
  - 9.3 consider further work to nurture and identify innovative practice.
10. It will be important that Members have regard to the RSG prospectus which was agreed with government and set out the funding from top slice for the period up to 2014/15. This included 3 key priorities which are relevant to the work of this Board:
  - 10.1 Local Productivity.
  - 10.2 Strong Political Leadership.
  - 10.3 Sector led improvement.



**Item 6**

**Conclusion and next steps**

11. Members are invited to offer views in to the process for developing the LGA Business Plan for 2013/14.

**Financial Implications**

12. There are no additional financial implications arising from this report.



## **2013-14 Business Plan**

### **Input from the LGA Boards**

The attached paper, which has been agreed by the LGA's Leadership Board, provides a high level steer on the LGA's priorities for 2013-14. It recognises that the priorities we agreed for the current year – **economic growth, funding for local government** and **public sector reform** - are still relevant as we move into the next financial year. It makes clear the links between these different themes to help us work in a cross-cutting way for maximum impact. It also describes the core services which support councils with **sector-led improvement** and which are at the heart of all our work.

***The LGA Boards are now asked to develop proposals for next year to inform the more detailed business plan and budget which will be presented to Leadership Board in January and signed off the LGA Executive in March.***

***Board members are therefore asked to address the following questions in their autumn round of meetings:***

In view of the LGA's top priorities for next year:

- what should we be focusing on and trying to achieve for maximum impact on behalf of our members?
  
- what have we found out about what works and what doesn't work over the last year? What should we be doing more of? What should we be stopping or doing less of?

## 2013/14 Business Plan - initial proposition

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The LGA's mission is to support, promote and improve local government.

We are the national voice of local government, supporting councils through these extremely challenging times by representing them and advocating on their behalf, and also supporting them with sector-led improvement.

Our top priorities for local government are:

- **Economic growth, jobs and prosperity** – councils are recognised as central to economic growth
- **Funding for local government** – reform of the public sector finance system so councils raise more funds locally, have confidence their financing is sustainable and fair, and greater ability to co-ordinate local public services
- **Public service reform** – councils are at the centre, and seen to be at the centre, of public service reform and delivering more effective services for local people

At the heart of all this work, are our core services to councils which are driven by our belief in **sector-led improvement**. Councils – not government – should be responsible for leading the delivery of improved outcomes in their local area as an alternative to top-down performance management and inspection.

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**We are working with councils to achieve our shared vision for local government:**

**CHANGING LIVES** - local government has the potential to lead local communities, now more than ever before, and play a central role in economic growth. In the current economic climate, it is down to local government and its leaders, to rise to the challenge. Local government leaders are demonstrating they are up to the task and driving councils forward to ensure they achieve this role.

**EFFICIENT** - local government remains the most efficient part of the public sector. Councils are not afraid to cut costs and be innovative about ways of improving services, as well as being prepared to consider radical solutions where this helps delivery on the ground. To achieve this, councillors are having to make difficult and at times unpopular decisions, while delivering value for money.

**ACCOUNTABLE** - local government really can make a tangible, lasting difference to people. Key to this is localism which means central government letting go, putting more faith in local people, and being confident about local democracy. Councils are often the single most important source of practical advice to local communities, actively involving people in the design and delivery of their local services.

**RELIABLE** - councils are relied on, day in day out, to deliver excellent services whatever the circumstances. They are a safety net, picking up where other services fail, handling issues that are important to people's everyday lives. Councillors are an important resource for the local communities they represent. Councils provide the glue for local communities, ensuring social cohesion and supporting the most vulnerable people in society.

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**Our top priorities** are as important now as they were a year ago when we first signed up to them. We will ensure all our work, including that of each of the LGA's policy boards, focuses on them and that as a result of our collective efforts, councils have the right system of funding and the right powers to get the UK economy back into economic growth and to support local services

***Economic growth, jobs and prosperity*** – councils have a key role to play in driving economic growth and promoting consumer and business confidence. Over the last year we have been focusing on this agenda, through our local growth campaign, including our work on housing and planning, and infrastructure funding. We have demonstrated that councils have a key role to play in targeting investment and economic development activity to boost local economies and create jobs. It is also clear that councils are ambitious to do more but lack the economic levers and control over funding necessary to lead growth locally. Our work so far has involved lobbying for devolution of powers and funding streams on issues such as skills, transport, investment in housing and broadband. We are working with councils on green growth and the visitor economy. We have also been pressing for the powers devolved through city deals to be rolled out to a greater number of places. We are about to enter a phase of lobbying to fight proposed reforms that threaten to undermine local decision making on planning. Moving forward, there is a need to develop a strong and convincing case for local economic leadership, to influence spending decisions and manifestos in the lead up to the general election. With that in mind, we have commissioned research designed to set out new options for the future as to how councils can support economic growth, new jobs and wealth creation.

***Funding for local government*** - councils were cut earlier and harder than the rest of the public sector as the government began to implement its deficit reduction policy and this is already having a profound impact on people's lives. Last year we developed a model for the next decade which shows all future sources of council revenue against future service spending demand. Our model shows a likely funding gap of £16.5 million a year by 2019/20 or a 29 per cent shortfall between revenue and spending pressures. Assuming that social care and waste are fully funded, other services face cash cuts of over 66 per cent. If capital financing and concessionary fares are also funded in full, the cash cut for remaining services rises to over 90 per cent. Local government has a track record of being the most efficient part of the public sector. But our model shows that efficiency is not going to be enough. Future sustainability starts with reform of adult social care funding. The financial future of local government is driven by care spending which will continue to grow strongly while councils' revenues will fall and then stagnate. The situation is even more challenging for councils with ageing populations. In this context it is important that councils are allowed to have a proper dialogue with residents about how much tax they want to pay and what services they want to receive in return. There is also the need for an effective conversation with local people about simply cutting out services that can no longer be afforded. These are therefore the issues we will be working on with councils over the coming year. Above all else, residents and local businesses need councils to have a fair and simple funding system that gives greater financial autonomy, supports local services and encourages economic growth.

***Public service reform*** – the scale of the public spending cuts mean that a fundamental and ambitious rethink is needed to the way local services are funded and organised. The costliest and most intractable public service issues are almost without exception shared among a number of local agencies. Many councils are already working with other public sector organisations on this and the Whole-Place Community Budget pilots in particular will provide the evidence for radical change. From these experiences we are developing a picture of the council of the future and local public services more generally. We are

focusing on new solutions such as demand management and behaviour change, with services increasingly designed round the needs of individuals. We will also provide support with generating new income streams and new approaches to commissioning, building on the work we have been doing with councils in the main areas of spend - children, adults and families - and also procurement and capital and assets. We are lobbying to ensure that other reforms such as the transfer of public health to local government, and changes to the planning system, make the most of councils' local leadership role across all public services in the interests of citizens. In the area of workforce reform we will negotiate to deliver national agreements that are seen as fit for purpose by councils along with a reformed pension scheme, without further serious industrial disruption or significant opt out rates. Alongside this, we will continue to work with councils to develop practical advice on the workforce challenges they face.

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We will continue to deliver these priorities through the core services that we provide to councils.

We have come a long way since we published "Taking the Lead" in 2011. The government welcomed our proposals and there is now a real momentum around **sector-led improvement**. Councils are using the support we have offered and new approaches to improvement are being delivered in children's services and adult social care. Through this work councils are demonstrating collective responsibility for the performance of local government as a whole by sharing best practice and providing peer support.

This includes

- at no cost, a corporate **peer challenge** to every council, including a core component looking at issues of leadership, corporate capacity and financial resilience
  - **leadership programmes** which have already provided opportunities for hundreds of politicians, equipping them to deal with the challenges being faced by their councils
  - support to help councils with capturing and **sharing innovative practice** through our Knowledge Hub, a free web-based service providing a single window to improvement in local government
  - access to transparent and **comparable performance information** through LG Inform
  - **sector-led improvement programmes in children's and adults services** developed and delivered through the Children's Improvement Board and the Towards Excellence in Adult Social Care Board
  - **direct support** where councils are facing significant underperformance challenges
  - practical support to help councils improve **efficiency and productivity**..
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## **Update on Transparency**

### **Purpose of report**

For discussion and direction.

### **Summary**

This report gives an update on recent developments and ongoing work related to the transparency programme, which meets the objectives of the work plan agreed at the Improvement and Innovation Board in January 2012.

### **Recommendations**

1. Note the progress made and ongoing work of the transparency programme, and comment where appropriate.
2. Comment on and support the proposed transparency policy and principles.
3. Support the formation of a Local Transparency Task and Finish Group to co-ordinate the LGA's input into the overall governance structure for transparency.
4. Endorse the LGA position in response to the Code of Practice on Transparency.
5. Support the proposal to consider a local government publishing service to meet INSPIRE regulation, funded through new burdens assessment by Defra.

### **Action**

The Research and Information Team will continue to develop the programme in the light of the Board's views.

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## **Update on Transparency: November 2012**

1. This report gives an update on data transparency and policy developments since the Improvement and Innovation Board in March, and outlines key work undertaken by the Research and Information Team over the last few months.
2. The report covers:
  - 2.1 shaping a policy position on transparency and reporting on the outcome from the workshop “Towards Local Transparency”;
  - 2.2 results of the local government transparency survey;
  - 2.3 Open Data Strategy update from government departments;
  - 2.4 LGA position for the consultation on the Code of Practice on Transparency;
  - 2.5 consultation on voluntary and community spending guide;
  - 2.6 update about LG Inform and the single data list; and
  - 2.7 INSPIRE publishing service for local authorities.

### **Towards local transparency**

3. The LGA is working with the sector to formulate a local transparency policy to support councils in meeting open data and transparency requirements which will be put to the Improvement and Innovation Board in a future meeting. The LGA is in favour of local transparency and encourages councils to make data and information openly available based on local needs and demands to:
  - 3.1 foster greater accountability and scrutiny in support of democracy;
  - 3.2 support sector led improvement to provide better and more productive and efficient services;
  - 3.3 empower communities, citizens and business to choose or run services, improving lives in local communities;
  - 3.4 innovate through the better use of data; and
  - 3.5 drive economic growth.
4. The LGA proposes to make better use of data and to place it into context, promoting knowledge above data. More can be done than simply just publishing the raw data. The data needs to be presented so that it can be understood by citizen and community groups, reused in web and mobile phone applications to drive innovation and business growth, analysed and compared for sector led improvement, commented and consulted on in social media. We therefore want to encourage the use of open data so that it

**Item 7**

benefits local citizens, business and communities. The emerging transparency principles for local transparency and open data are attached at **Appendix A.**

5. The policy will articulate our support for open data in local government, and argue for its implementation in a way that is most manageable for the sector, by:
  - 5.1 promoting a greater understanding and responsibility for the opening up of data within local authorities – this requires a transition to be led by senior members of local authorities in order to foster a culture change that moves from a compliance to an open culture;
  - 5.2 building skills and capabilities within authorities to publish and make better use of open data;
  - 5.3 identifying good practice in publishing and using the data in services and business applications and encouraging uses in the community;
  - 5.4 supporting the sector with guidance and development of data standards;
  - 5.5 fostering a collaborative approach to help authorities reduce costs in publishing their data;
  - 5.6 promoting the better use of data through existing and new online applications, tools and services (including Knowledge Hub, esd toolkit and LG Inform);
  - 5.7 advocating the opening up of key government datasets, in the interest of local authorities and local communities;
  - 5.8 continuing to lobby for ways to cover costs for collating, maintaining and publishing data to given standards where it is seen as an additional or new burden across the sector and where the publishing of the data adds further value; and
  - 5.9 developing a value case for local open data.
6. As part of the work to formulate a local transparency policy, the LGA held a workshop on 23 October, chaired by Cllr Tim Cheetham, to inform members and senior managers about local transparency, open data and its uses. It sought a mandate from councils for the LGA to develop a position on local transparency which will inform our lobbying and support for the sector.
7. Members of the workshop endorsed that a transparent and open government is vital to our local democracy. Councils are already the most open, transparent and directly accountable part of the public sector. Local authorities gave examples how open data provides evidence for policy, service planning and performance and is used to better inform, consult, engage and empower citizens, business and communities shaping local neighbourhoods and taking part in local services. Inspired by Tom Steinberg from my Society, councillors alongside officers discussed using data that people want rather than what officers decide to give. Opening data does not only make councils more transparent but fosters the way councils are transformed by using the data as evidence for what services people want, where the needs are, how and where money is spent. Councillors can help to champion a culture change in town halls to be more open and transparent by default.

### **Survey of local transparency**

8. In September, the LGA carried out a survey on transparency and open data to find out in how far local authorities are able to meet transparency requirements and how it impacts on local government. Authorities largely comply with the Code of Practice on Transparency. In addition, they publish a wide range of datasets that go beyond the Code of Practice on Transparency. The variation demonstrates the flexibility of authorities to publish data in line with local needs and demands.
9. Respondents indicate that accountability is the main driver for transparency, followed by reducing FOI requests and greater access and openness. But there are also barriers and risks associated with open data. These include the need for skills and additional resources and the risks of opening up personal, security and commercially sensitive data leading to fraud and exploitation of privacy and national and local security risks. Local authorities overwhelmingly welcome the support from the LGA in developing a policy in support of local transparency. Local authorities reported little take up of open data and few saw opportunities for local business growth as a result of opening up the data. Further details about early results of the survey are available in the **Appendix B**.
10. Local authorities are increasingly making use of open data and many good practice examples are emerging, which the Research and Information Team plan to compile and publish to add to a value case for open data and transparency.

### **Update on transparency from government departments**

11. The government has made data and the transparency of data a key priority. They believe that data allows citizens to hold government to account, drives improvements in public services by informing choice, and stimulates innovation and growth. As a result government policy promotes a presumption in favour of open data being made more freely available.
12. In June 2012, the Cabinet Office published a white paper on open data and transparency, [Unleashing the Potential](#). The paper identifies three areas for unlocking and increased sharing of data:
  - 12.1 enhanced access to open data;
  - 12.2 building trust (safeguarding personal and security data); and
  - 12.3 smarter use (improved sharing and use of data).
13. The paper applies to central government and each government department has published their own open data strategy detailing what datasets they will publish in the future.
14. The government has put in place some new structures to deal with the governance and user input into transparency – **Appendix C** sets this out, together with the structures we have in place within local government. The LGA is planning to coordinate the different

representations through a Local Transparency Task and Finish Group, chaired by Cllr Tim Cheetham. The Improvement and Innovation Board is asked to endorse this approach.

### **Code of practice on transparency**

15. The Department for Communities and Local Government is consulting on the Code of Practice on Transparency, to make it mandatory. In addition, the code is proposing that additional data should be published, including:
- 15.1 Trade Union Facility Time - authorities should publish the amount spent on providing support and facilities to trade unions within their workplaces, and specify which unions;
  - 15.2 Parking Charges - authorities should publish: revenue from off-street parking charges; revenue from on-street parking charges; the number of off-street parking places; the number of on-street parking places; the revenue from parking fines; and the number of free parking spaces available (in line with the Portas Review);
  - 15.3 To councillors allowances and expenses - we will add: "and any other payments made to councillors from the public purse"; and
  - 15.4 Corporate charge cards, credit cards or procurement cards - spending on goods and services made via these types of cards should be identified as payments to the underlying merchant/supplier, not spending on the card company itself.

The consultation is published on <http://www.communities.gov.uk/publications/localgovernment/makingthecode> and will close on 20 December 2012. We will be seeking views from the sector to respond to the consultation.

16. We propose to maintain our position in support of local transparency and access to open data where it meets local needs and demand. Local transparency has been long established in local authorities. Authorities have a strong record of publishing minutes from meetings, performance ratings, financial records and salaries on the web. However, we feel there is more to be done than simply publishing loads of data, as a box checking exercise in response to government exhortations. Therefore the LGA promotes information above data, and knowledge above information – by encouraging authorities to make data understandable and putting them into context so that they link to policy and outcomes.

### **Consultation on voluntary and community sector spending**

17. The current 'Recommended Code of Practice on Transparency for Local Government' published by the [Department for Communities and Local Government](#) encourages local authorities to publish grants to the voluntary, community and social enterprise sector (VCS), amongst other datasets.
18. Following the development of a practitioner's guide to publishing local spending data, the

**Item 7**

LGA has worked with local authorities and the voluntary sector to extend it to include information on VCS expenditure. The LGA is now consulting on guidance to publish VCS spending data in a way that:

- 18.1 promotes local accountability by demonstrating to residents and the VCS how local councils spend their money;
  - 18.2 consistent and comparable between authorities; and
  - 18.3 proposes a practical solution to publishing the data that is cost-effective and does not create a new and unnecessary burden on councils.
19. The consultation is published on <http://www.local.gov.uk/vcs-spending> and closes on 14 December.

**Single Data List**

- 20. The single data list is the list of all data returns that local authorities must make to central government. The one published for 2012/13 contains 150 data returns across a range central government departments. This is a reduction from 196 in 2011/12.
- 21. The LGA is currently working with DCLG officials to set up a gateway process to challenge future additions to the single data list and, as importantly, review existing returns on the list with a view to reducing it further.

**LG Inform**

- 22. The next version of the LGA's data service, LG Inform, is currently being built and will be launched in the spring. Later in 2013 it will be launched to the public, thereby helping authorities publish performance information and giving them the option to add contextual information and explanation should they so choose.

**Business Case for INSPIRE**

- 23. At the May Improvement Board, the LGA reported on the impact of the European INSPIRE regulation on local authorities to publish certain location/geographical information to specific standards. Address and street data collated by GeoPlace from local authorities will soon meet publishing requirements. However, there are considerably more data held by authorities, in particular related to planning, which are currently not published to the given specification.
- 24. Following on from the Impact Assessment, Defra have acknowledged that INSPIRE places a burden on local authorities, which goes beyond the standard approach of publishing data under transparency. Defra is developing a business case for supporting local authorities in publishing their data. Although initially a burden, in the future it is anticipated that local authorities will benefit from INSPIRE because it will lead to better internal data management, easier access and reuse of data to meet their own needs, better decision making from that data, and fewer burdensome data requests as data are more easily accessible.

25. Jointly with Defra we held four regional workshops to inform local authorities about their legal obligations and to seek views how best to implement INSPIRE. About half of all local authorities attended the workshops in Bristol, Birmingham, Leeds and London. We received positive feedback from authorities and continue to engage with them via Knowledge Hub to support them to improve data management and consider options for publishing their data.
26. Some authorities are developing their own publishing solution, however the majority favour a local government centralised approach. We are now working with Defra to develop a business case for a local government publishing service, in particular for those datasets such as planning data which are currently not published to standards but will have to meet INSPIRE requirements in the future.

### **Financial implications**

27. There are likely financial implications which are estimated to be of the order of £3 million to procure and manage the implementation of a local government publishing service for INSPIRE. The LGA would need to consider the business case and all the options if it was to proceed along these lines and clearly would only go ahead if Defra meets the costs through the new burdens assessment.

### **Next steps**

28. Depending on members' views at the Improvement and Innovation Board, we will carry out further steps to:
- 28.1 develop a local transparency policy;
  - 28.2 compile and publish good practice examples which promote the value of open data to citizen, communities and business;
  - 28.3 respond to the consultation on the Code of Practice on Transparency;
  - 28.4 review spending guidance considering the outcome of the consultation on voluntary and community spending; and
  - 28.5 work with Defra and the local government advisory group to develop a business case for a local government publishing service to meet INSPIRE requirements.

### **Appendix A: Principles for a local transparency**

The local transparency policy will be based on a presumption in favour of

- All data created by local government as part of its statutory duty should be open, unless certain restrictions apply for the protection of personal data, national security, policy advice, commercial confidentiality and third party intellectual property rights.
- The pace of this transition should be driven based on local needs and demand.
- Data should be presented in ways that are understandable to citizen and community groups and placed into context so that they link to policies and outcomes.
- Data should be published in formats that are reusable by machines, non-proprietary, standardised and linkable to common reference data so they can be compared.
- Data and information should be easy to find on local websites and signposted on [data.gov.uk](http://data.gov.uk). The data should be made freely available under the Open Government Licence.
- Data is an important asset and should be efficiently and effectively managed so that the burden of data publishing is reduced.
- Small data is as important as big data. Start small and publish data that is of relevance locally; standards and linkages will follow.
- Encourage use of data locally by getting developers, data providers and policy makers, community leaders, service providers and users together to develop meaningful applications that focus on what users want and need.

The principles will be reviewed in line with a revised Code of Practice on Transparency and discussion with the sector.

## **Appendix B: Transparency in Local Government: current practice**

The LGA carried out a survey<sup>1</sup> to examine how far local authorities are able to meet transparency requirements and how it impacts on local government. Over 100 local authorities responded to the survey (The response rate of 37 percent means that these results should not be taken to be more widely representative of the views of all officers with responsibility for open data/transparency, but they provide an indication of the views of this particular group of respondents). The responses reveal that:

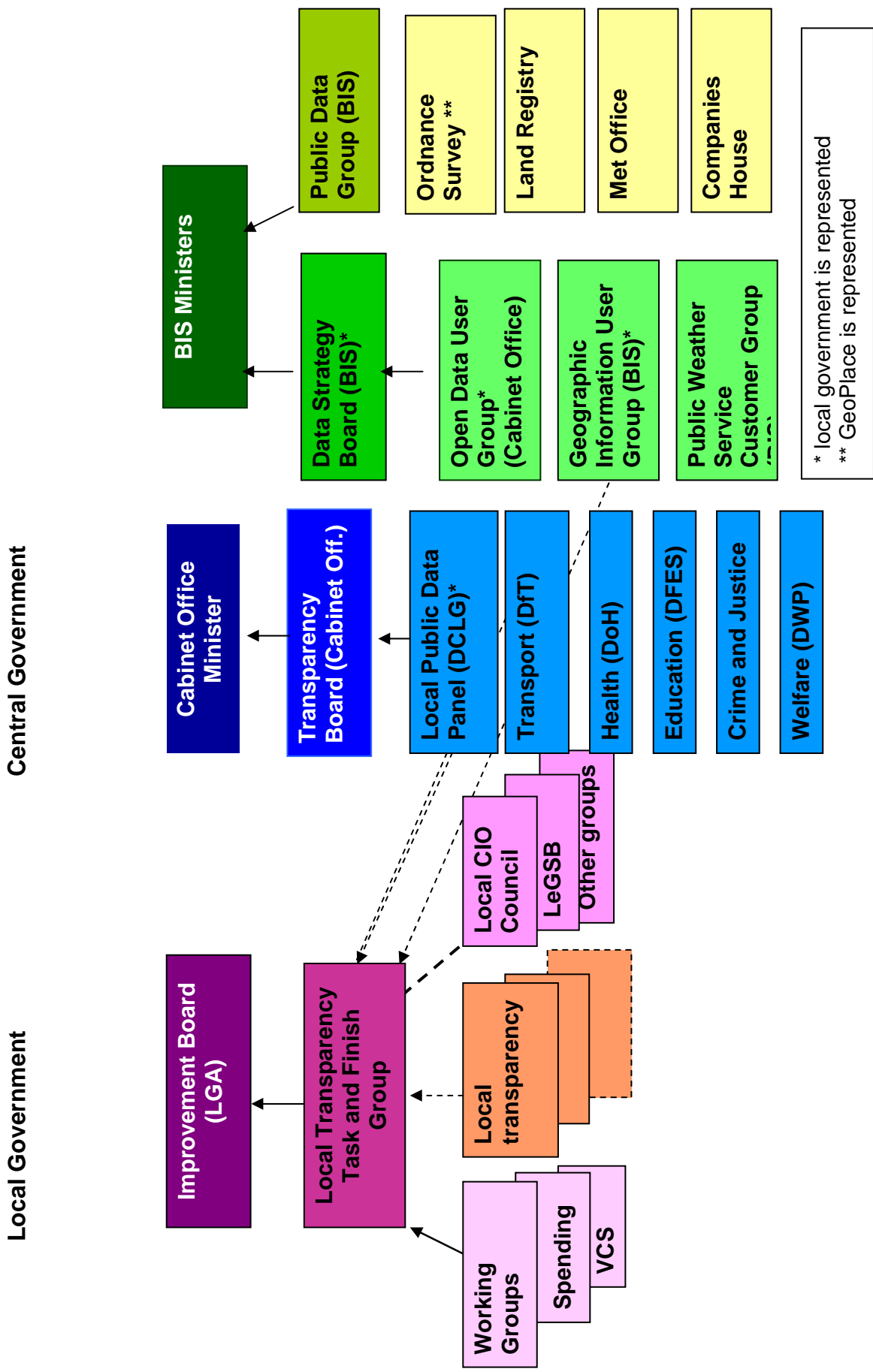
- All authorities are publishing spending data. Almost all have published information about the democratic running of the local authority (98.2 per cent), senior salaries (96.5 per cent) and councillor allowances and expenses data (96.5 per cent). An increasing number of authorities are making data - listed in the code - openly available.
- More than 60 per cent of authorities publish their data in machine readable format, with another third planning to improve the publishing format to make the data comparable as set out by government.
- Two thirds of respondents publish open data on a dedicated page, but few publicise their data on data.gov.uk or other websites where they can be more easily found.
- The type of data published locally varies greatly between authorities and ranges from schools-related data and geographical data to additional financial and workforce datasets. The variation demonstrates the flexibility of authorities to publish data in line with local needs and demands.
- An overwhelming majority of the respondents perceive accountability as the main benefit to local transparency, followed by access and openness combined with reduction in FOI requests, improved local decision making and internal data management.
- Few see opportunities for local business growth, social inclusion and environmental sustainability.
- Over two thirds indicated a lack of resources for making open data available – mainly due to lack of technical skills and the burden of redacting datasets in line with privacy.
- Local authorities reported little take up of local open data, with local community groups showing the greatest interest.
- There is an overwhelming mandate for the LGA to provide a transparency strategy, publishing, good practice examples and guidance on publishing, with just over half wanting support for data standards, definitions and linkage between data sets and raising awareness amongst senior managers and members.

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<sup>1</sup> Survey to be published in November 2012



# Appendix C: Transparency Governance



\* local government is represented  
 \*\* GeoPlace is represented



## **Local Government Knowledge Navigator - Update**

### **Purpose of report**

This report is to provide information to the Improvement and Innovation Board about the appointment of an ESRC-funded Local Government Knowledge Navigator.

### **Summary**

The LGA has been working with the ESRC to find a way to ensure that local government both inputs into and benefits from publically funded research programmes commissioned by that research council and, where possible, the other UK research councils. The new Local Government Knowledge Navigator programme, and the management of this by the LGA, is the method by which we plan to deliver this.

### **Recommendation**

That the Improvement and Innovation Board note the forthcoming appointment of the Local Government Knowledge Navigator and the planned programme of work, and comment where appropriate.

### **Action**

The LGA will steer and develop the programme in the light of the Board's views. The Board is invited to nominate a councillor for membership of the steering group.

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## **Local Government Knowledge Navigator - Update**

### **Background**

1. The Local Government Association (LGA) has been working with the Economic and Social Research Council (ESRC) and the Society of Local Authority Chief Executives (SOLACE) to develop an approach to ensure that local government both inputs to and benefits from publically funded research programmes commissioned under the auspices of the UK Research Councils. A new approach is required because the Local Authority Research Council Initiative (LARCI) that had been tasked with developing linkage between local government and work funded by the UK's research councils (RCUK) was disbanded in March 2011.
2. LARCI was co-funded by the LGA, the research councils and the Department for Communities and Local Government (DCLG) for around 10 years. Its objective was to facilitate collaboration between local government and research councils. Broadly, the aims were:
  - 2.1 to ensure the research councils delivered research that was relevant to local authorities, in a form that could be used by them;
  - 2.2 to ensure that the research councils were directing their funding to identify and tackle the complex problems that local government faces; and
  - 2.3 to ensure that researchers fully understood practitioners/policy makers' needs, and the issues in hand, and the practitioners/policy makers understood what's possible.
3. The general view was that:
  - 3.1 it was instrumental in the delivery of a relatively small number of successful projects; but
  - 3.2 for the resources put in, the successes were considered to be too few.
4. Once LARCI closed in March 2011, the principal funders commissioned a review by Dr Clive Grace of the Centre for Local and Regional Governance Research, Cardiff Business School, to examine its successes and the challenges it faced, from the perspectives of both local government and the research councils. The review report is available at <http://www.rcuk.ac.uk/media/news/2012news/Pages/120702.aspx>.

**Item 8**

5. This review concluded that:
  - 5.1 local government and the research councils have very different ‘research’ priorities – the one principally in harvesting existing knowledge and applied research to solve problems, the other in the production of new knowledge;
  - 5.2 a major change was needed in culture and understanding – the ‘public’ (i.e. not-for-profit) market between local government and the research community is not working; and
  - 5.3 local government needs to be an effective and assertive client in claiming a share of the national research asset to support community well-being and better public services.

**Developments since LARCI closure**

6. LGA has continued to work closely with the LARCI funders to consider ways forward by which the original aims of LARCI could be achieved through a different approach. The LGA learnt that, independent of these discussions, ESRC were planning to appoint a one-year fixed-term ‘Local Government Knowledge Navigator’ post, whose role was to bring together ESRC funded research that might be of benefit to the local government sector. Following discussions with the ESRC in the summer of 2012, LGA and SOLACE reached agreement with ESRC that:
  - 6.1 The navigator post would be extended to two years, with an increase in ESRC funding for this post from £100,000 to £170,000, to make it more likely to deliver outputs and outcomes of value. More specifically it was agreed that the navigator would be tasked with:
    - 6.1.1 influencing the strategic research agenda within ESRC and, where appropriate, other research councils – raising common council concerns to a higher level, either to secure research council funding or influence research programmes, to ensure research on and about local government as organisations and institutions in/about key service areas and community needs;
    - 6.1.2 working closely with existing networks, boards and events within and outwith the sponsoring organisations to scope out the evidence needs of the local government sector in both the short and longer-term;
    - 6.1.3 maximising the impact of research through producing a series of 12 to 15 rapid evidence reviews on priority areas identified by the sector;
    - 6.1.4 filling gaps in evidence and brokering specific links with academic experts around key issues of concern;

**Item 8**

- 6.1.5 stimulating researcher/policy/practitioner networks; and
- 6.1.6 ensuring appropriate dissemination of research.
- 6.2 LGA and SOLACE would be lead partners in appointing the Navigator in November 2012, and in shaping and signing off the work programme.
- 6.3 The Navigator will be answerable to a steering group composed of an elected member and senior officer from LGA as well as representation from SOLACE and ESRC.
- 6.4 The LGA would manage the programme with funds for this (around £80,000) coming from unspent LARCI budgets currently being held by ESRC on behalf of the LARCI funders.

**Benefits of agreed approach**

- 7. The agreed approach has a range of benefits for the LGA, in particular, and the sector more generally. These are that:
  - 7.1 There will be a Local Government Knowledge Navigator, fully-funded by ESRC and appointed by LGA, SOLACE and ESRC, who will enable councils to get the best from publically funded research and to input to these research programmes. This appointment will be at a minimal cost to LGA.
  - 7.2 LGA will be part of the steering group and provide the programme management. This will ensure we are able to direct the work to maximise the benefit to the sector.
  - 7.3 Via our boards, the LGA and the sector will be able to influence the priorities for the work of the Navigator and all associated programme outputs.

**Conclusion and next steps**

- 8. The Local Government Knowledge Navigator will be appointed in November 2012, and the programme of work will last for two years.
- 9. The steering group will also be appointed in November, and the Improvement and Innovation Board is invited to nominate a councillor to that.
- 10. LGA officers will provide regular updates to the Improvement and Innovation Board and, once in post, the Navigator will attend all LGA Boards and provide a short presentation on their plans for the following three month period. This will also allow the Navigator the opportunity to hear directly about the issues facing local government in those areas.

**Financial implications**

11. The costs to the LGA are small, as the post is funded by ESRC and the programme manager by the remaining unspent LARCI money. The only cost will be the overheads of the Navigator when they are working from Local Government House.



**Item 9**

**Note of decisions taken and actions required**

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**Title:** Improvement and Innovation Board

**Date:** Monday 17 September 2012

**Time:** 11.00 am – 1.00 pm

**Venue:** Local Government House

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**Attendance**

<b>Position</b>	<b>Councillor</b>	<b>Council / Representing</b>
Chairman	Peter Fleming	Sevenoaks DC
Vice-Chairman	Jill Shortland OBE	Somerset CC
Deputy-Chairman	Ruth Cadbury	Hounslow LB
Deputy-Chairman	Jeremy Webb	East Lindsey DC
Members	Rod Bluh	Swindon BC
	Richard Stay	Central Bedfordshire Council
	William Nunn	Breckland Council
	Teresa O'Neill	Bexley LB
	Glen Milller	Bradford City
	Tony Jackson	East Herts Council
	Tony McDermott MBE	Halton BC
	Tim Cheetham	Barnsley MBC
	Helen Holland	Bristol City
	Rory Palmer	Leicester City
	Edward Lord OBE JP	City of London Corporation
	Sir David Williams CBE	Richmond upon Thames LB
Substitutes	Paul Bettison	Bracknell Forest Council
	David Mackintosh	Northampton BC
Apologies	Michael White	Havering LB
	Judith Blake	Leeds City
Observers/Other attendees	Philip Sellwood	Energy Savings Trust
	Richard Priestman	Lombard
	Melani Oliver	NESTA
LGA Officers	Michael Coughlin, Dennis Skinner, Pascoe Sawyers, Brian Reynolds, Juliet Whitworth, Kate Hills	

Item	Decisions and actions	Action by
	<p><b>Welcome and Introductions</b></p> <p>The Chairman welcomed new and existing members, observers and guest speakers from Monmouthshire CC and Cornwall Council.</p> <p>Cllr Ruth Cadbury gave apologies from Cllr Judith Blake and informed the Board that Cllr Blake would become a Lead Member Peer and as a consequence might have to resign from the Board. The Chairman invited Cllr Blake to attend the Board in her new capacity.</p> <p>The Chairman gave apologies for Cllr Michael White and welcomed back Sir David Williams CBE.</p>	
1	<p><b>Declarations of Interest</b></p> <p>Cllr Stay declared interests with Deloitte and as a trustee of the Leadership Centre.</p>	
2	<p><b>Membership, Terms of Reference and Outside Body Appointments for 2012/13</b></p> <p>The Chairman introduced the item, highlighting that the LGA has approved the Board's change of name to the Improvement and Innovation Board.</p> <p>The Chairman asked members to nominate themselves to the priority area groups by emailing Frances Marshall, Member Services Support Officer and said that Lead Members could provide more information if needed. He invited all substitute members to the Board meetings and to sit on the priority area groups.</p> <p>Cllr Ruth Cadbury highlighted some confusion around the similarity of the names of the Leadership Panel and the Leadership Board.</p>	
	<p><b><u>Action</u></b></p> <p>Officers to look into clarifying the name of the Leadership Panel.</p>	Pascoe Sawyers
	<p><b><u>Decision</u></b></p> <p><i>The Board <b>noted</b> the membership for 2012/13, the terms of reference, appointments to outside bodies and the change of Board name.</i></p>	

**Item 9**

**3 Creative Councils Update**

The Chairman introduced the Creative Councils guest speakers: Cllr Bob Greenland, Deputy Leader and Cabinet Member for Modernisation and Enterprise and Kellie Beirne, Chief Officer for Regeneration and Culture from Monmouthshire CC and Cllr Alec Robertson, Leader of the Council and Paul Masters, Assistant Chief Executive from Cornwall Council.

Cllr Greenland introduced Monmouthshire's approach to addressing funding reductions. He highlighted that the council rejected salami-slicing in favour of an outcomes-based approach and had recruited a new management team who had a new vision and who inspired confidence and trust.

Kellie Beirne presented the 'Your County Your Way' programme which includes community-led engagement with the council through a community interest company, a shared IT solution across the public sector, and social care services co-designed and delivered with residents. They are creating cultural and behavioural change, engaging meaningfully with the local community and embedding innovation. Outcomes include a shift to stronger bottom-up and less risk-adverse approaches and improved community resilience. Kellie highlighted a role for councillors in networking and sharing learning.

Cllr Robertson outlined the deep cuts Cornwall Council had implemented without reducing services. The Council had turned failing services around and is now seeing cultural change.

Paul Masters outlined the 'Shaped by Us' online platform which identifies local challenges and allows communities to propose creative and innovative solutions to work together on tackling these issues. This demonstrates a shift from inward- to outward-looking approaches and a move away from the presumption that the local authority knows best. The council was looking to scale up the initiative and would welcome LGA support in connecting to other local authorities, potentially linking to LG Inform and pressing DCLG for a small innovation fund.

Members were grateful for the inspiring presentations and discussed:

- how to disseminate the learning from and value of these programmes, including promoting the savings which can be achieved through such innovation. Members could play a role in sharing with the sector. It was felt that seeing projects on the ground and engaging face to face rather than wholly relying on reports ensures the biggest impact. Showcasing good work also goes towards establishing trust of local authorities.
- the possibility of offering peers to "sense check" and help further develop the initiatives, drawing out early lessons to share more widely. It was also asked whether it would be possible to develop a

**Item 9**

peer challenge to test the business case for innovation.

- the decision-making approaches of these programmes and how success is measured.
- Members echoed the importance of behavioural change, strong political leadership, allowing space and permission to think differently, becoming less risk-adverse and embracing external ideas.
- Gill Shortland offered to follow up with DCLG on the innovation fund.

In response, Kellie added that measuring approaches are often outmoded and that different metrics are needed for innovative projects and programmes. Cllr Robertson said that Cornwall Council has two-way open conversations with communities rather than traditional consultations. Cllr Greenland stressed the importance of having a strong business case to ensure buy-in from members on innovative programmes.

The Chairman informed members that it was planned that the other Creative Councils would attend other LGA Boards to disseminate innovative work across programme areas. He questioned whether the need to foster innovation could be built into the leadership offer and training for officers and members.

The Chairman discussed providing LGA support in connecting Cornwall Council to other authorities and said the Board would keep in touch and continue to support all Creative Councils. He thanked the guests, which was echoed by members.

**4 Baseline evaluation of sector-led improvement**

The Chairman welcomed Juliet Whitworth, Research and Information Manager and Kate Hills, Analyst from the LGA Research Team.

Juliet Whitworth introduced the paper, saying that work on the baseline information was continuing, with expected completion in October. She outlined the aims of the evaluation and said that there would be a number of reports published alongside the baseline evaluation. Kate Hills outlined the key findings.

The Chairman thanked the officers and members discussed:

- the need to promote this work and ensure awareness across the sector.
- the importance of driving behavioural change in local authorities, promoting sector-led improvement and innovation as a necessity rather than an option, ensuring coherent and strong relationships at local, regional and national levels and engaging with poor performers

**Item 9**

in order to drive change.

- encouraging more take-up of the subsidised Leadership Academy places.
- Members suggested exploring public engagement in peer challenges and creating a communications peer challenge. There was also some concern about the capacity within the sector to deliver a wide range of peer challenges.
- Members discussed the road shows in November and December and the possibility of inviting all councils and the political groups.
- On the publication of peer challenge reports, members discussed the implications of local authorities not making their peer challenge reports public, which could affect perceptions around the transparency of sector led improvement and therefore confidence in it. The Chairman reiterated that the LGA strongly encouraged councils to publish their peer challenge reports but that the reports “belonged to” the council and it was their choice. He noted that all but two of the councils that had so far received their reports had published them.

**Decision**

*The Board **noted** the report.*

**Action**

Andy Bates to look at the full implications of inviting political groups and group leaders to the road shows.

Andy Bates

**5 Productivity Programme**

Brian Reynolds introduced the item, saying that the Procurement report was delayed and would be brought back to a future Board.

The Board agreed the Councils to be part of the Capital and Assets Programme.

Members noted the launch of the recent report on Shared Services. Members discussed the need for clear and measurable outcomes, consideration of the political dimension, the extent of DWP’s engagement and concern over some local authorities disengaging from early implementation of shared services. Cllr Gill Shortland offered her assistance in connecting with DWP.

Brian Reynolds said that the political dimension had not specifically been looked at but that in the Tri-Boroughs report, for example, it was clear

**Item 9**

which services local authorities were prepared to share or not share. He said that DWP are involved in the Fighting Fraud Locally Board and will be critically involved in sharing data and information.

The Chairman thanked Brian Reynolds.

**Action**

Report on National Procurement Strategy to be brought to a future meeting.

**6 Leadership & Localism: Update on recruitment to ngdp, Leeds Castle and Next Generation programmes**

Pascoe Sawyers introduced the paper, highlighting the decision to change the name of the Leeds Castle programme. A new name was pending.

Members said that the name change could provide a good opportunity to review and refresh the programme and enable public sector involvement in leadership programme development. There was concern at the level of engagement with the North West and the ngdp.

Pascoe Sawyers said that a big effort had been made to encourage areas outside of London to engage with the ngdp and that some local authorities want to recruit directly to ensure a boost for young people in the local economy.

The Chairman added that there had been a positive increase in ngdp trainees from last year but understood the geographic issues. He urged Board members to ensure their groups are represented and that they encourage the group offices to discuss and promote the ngdp regionally.

Cllr Richard Stay offered to work with Pascoe Sawyers on encouraging a broader geographic spread of graduates.

The Chairman thanked Pascoe Sawyers.

**Decision**

*The Board **noted** the composition of the 2012 programmes.*

**7 Notes of the last meeting**

On Item 3 of the actions monitoring schedule, Cllr Stay said that the costs circulated detailed expenditure costs only, not including overheads and staffing costs. The Chairman flagged it as a potential Resources Panel issue.

**Item 9**

Dennis Skinner said that officers are looking at this issue but the staffing costs were largely client side as most of the programme costs were externalised. He reminded members that the next Board would be a joint meeting with the Children and Young People Board on 2 November.

**Decision**

*The Board **agreed** the notes of the previous meeting.*

The Chairman thanked all for attending and suggested booking Bevin Hall with microphones for the joint meeting as well as the usual room for any specific Improvement and Innovation Board meeting requirements.





Item 9a

## Action Monitor Schedule

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**Title:** Improvement and Innovation Board  
**Date:** Monday, 17 September 2012  
**Venue:** Local Government House

Item	Action	Progress
1	<b>Leadership &amp; Localism Update</b>  Look into clarifying the name of the Leadership Panel.	On 17/09/12 the Panel agreed to change their name to Leadership Panel (Improvement and Innovation Board).
2	<b>Baseline evaluation of sector-led improvement</b>  Look at the full implications on inviting political groups and group leaders to the road shows.	Invitations to political lead member peers will be coordinated through the political group offices. Improvement and Innovation Board Lead Members have been invited by the Peer Support Team.
3	<b>Productivity Programme</b>  Report on National Procurement Strategy to be brought to a future meeting.	Work in ongoing. It is anticipated that there will be progress to report to the December Improvement and Innovation Board Lead Members meeting.

# LGA location map

## Local Government Association

Local Government House  
Smith Square  
London SW1P 3HZ

Tel: 020 7664 3131

Fax: 020 7664 3030

Email: [info@local.gov.uk](mailto:info@local.gov.uk)

Website: [www.local.gov.uk](http://www.local.gov.uk)

## Public transport

Local Government House is well served by public transport. The nearest mainline stations are: Victoria and Waterloo: the local underground stations are

**St James's Park** (Circle and District Lines), **Westminster** (Circle, District and Jubilee Lines), and **Pimlico** (Victoria Line) - all about 10 minutes walk away.

Buses 3 and 87 travel along Millbank, and the 507 between Victoria and Waterloo stops in Horseferry Road close to Dean Bradley Street.

## Bus routes – Horseferry Road

**507** Waterloo - Victoria

**C10** Canada Water - Pimlico - Victoria

**88** Camden Town - Whitehall - Westminster - Pimlico - Clapham Common

## Bus routes – Millbank

**87** Wandsworth - Aldwych

**3** Crystal Palace - Brixton - Oxford Circus

For further information, visit the Transport for London website at [www.tfl.gov.uk](http://www.tfl.gov.uk)

## Cycling facilities

The nearest Barclays cycle hire racks are in Smith Square. Cycle racks are also available at Local Government House. Please telephone the LGA on 020 7664 3131.

## Central London Congestion Charging Zone

Local Government House is located within the congestion charging zone.

For further details, please call 0845 900 1234 or visit the website at [www.cclondon.com](http://www.cclondon.com)

## Car parks

Abingdon Street Car Park (off Great College Street)

Horseferry Road Car Park  
Horseferry Road/Arneway Street. Visit the website at [www.westminster.gov.uk/parking](http://www.westminster.gov.uk/parking)

