
MOVING TOWARDS EXCELLENCE IN MINERALS AND WASTE PLANNING

CONSULTATION DRAFT 7/03/02

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1. Purpose and Scope

This paper has been produced by the Planning Officers Society (POS), together with its companion papers published in consultation draft at www.planningofficers.org.uk:

- “Moving Towards Excellence in Planning Policy”, and
- “Moving Towards Excellence in Development Control”

It sets out what might constitute an excellent minerals and waste planning service (M&W). It seeks to identify specific aspects of this service, and associated management mechanisms, that contribute to the achievement of excellence. It draws on current good practice and a wide range of guidance and professional practice reports and reflects the latest Government initiatives.

In particular:

- it recognises that whilst the two companion papers on Planning Policy and Development Control have general relevance to M&W, the many legislative and practical differences involved in these specialised services make separate free-standing guidance necessary
- it builds from previous publications by the M&W Topic Group of the POS.

This version is interim in nature. Feedback is sought from within a number of forums and relevant organisations as well as from local authorities. A final version will be produced as part of the revised Good Practice Guide and published on the above web site.

While linked to Best Value and performance management, now most often referred to together as “Improvement”, the paper is for use by professional managers. Its value is as one part of the ongoing process of service improvement, whether or not as part of a Best Value Review. The Excellence Matrix in Section 4 provides a basis for any review of a M&W planning service aimed at improving its quality of process and outcome. An excellent M&W service will deliver both rapid decision making and high quality outcomes following a firm plan led foundation and applying sound DC to deliver policy.

It is unlikely that an excellent M&W service can be provided in the absence of a relevant or up-to-date plan. Consideration of M&W will also need to be seen in the wider development control context, and this document should therefore be read in conjunction with the associated excellence papers. The achievement of an excellent service will also rely on the effective engagement of other services such as transport planning, economic development, housing and waste management, and be linked into the corporate agenda. It will also require positive

engagement with the industry sectors, local communities and interest groups and will invariably involve a strong regional dimension.

As part of its modernising agenda the Government has set out its objectives that it considers should be implemented through the planning system. The Government wants to see the planning system play a positive and effective role in achieving a better quality of life for all, economic growth and better public services. The planning system should not be seen as a regulatory service that is an end in itself. It should be seen as a means of delivering what people want – jobs, homes, better transport, lively city centres, sensitive care for our built environment and the countryside - and in the case of M&W, delivering the resources and facilities essential to their achievement. In doing this the planning system should always respect and take account of people's views and rights and M&W in particular seeks to balance minerals demand with sustainable supply, and waste production with sustainable management.

The planning system must provide effective mechanisms whereby the differing and sometimes conflicting objectives of stakeholders can be resolved in a way that is fair, open and accountable for all stakeholders. This objective must go hand in hand with the delivery of a quality planning service, which is fast and effective, and delivers the certainty and measurable quality outcomes that the community and businesses need and expect. Members are a critical part of this process. Their approach to their responsibilities, their relationship to officers and the quality of their decision-making underpin the effectiveness of the overall M&W service. An essential component of the M&W function is the regional dimension, which requires members to take a wider, less parochial view.

An excellent M&W service must be responsive to local, regional and national needs but would make explicit and demonstrate in a practical way how it sets out and achieves the Government's national objectives. It would also seek to integrate with other initiatives such as the Local Transport Plan, Economic Development Strategy and Sustainable Development Strategy. Therefore the Excellence Table in section 4 makes reference to the wider agenda as set out more fully in reports by other parties, particularly the Audit Commission in relation to their inspection function and their advice on best practice and the DTLR / NAW and their wide range of guidance. For M&W, this is more extensive than in most other areas of service delivery and contains in some cases more detailed guidance to be followed nationally.

2. Key Issues

An excellent M&W Service will need to address key issues that are common to most planning authorities with a significant M&W service delivery requirement and pertinent to the function.

County Councils, Unitary Authorities, National Park Authorities, Metropolitan Districts and London Boroughs carry out minerals and waste planning. These authorities are defined as Mineral Planning Authorities (MPAs) and Waste Planning Authorities (WPAs).

Key issues will include the following, though they are not necessarily in order of priority:

- recognition of national, regional and local economic and environmental circumstances and diversity, and the need for effective and appropriate methods of communication with users, with service standards and targets designed to promote engagement and respond to **their** needs
- recognition that M&W should provide a sustainable planning framework in which the Nation's needs can be satisfied, future investment by industry can be planned, and activity can be regulated through the various levels of government, including European, whilst protecting the environment

- ensuring an up-to-date and relevant M&W development planning framework is provided as the context of an effective and efficient development control function.
- joint working with other agencies and internal services / disciplines to facilitate the role of M&W in implementing European directives and government / regional policy, as well as achieving corporate priorities and tackling cross-cutting issues such as habitat protection, economic and physical regeneration, local community safety and quality of life
- incorporation and implementation of national guidance and legislation, including “Modernising Planning”, “Modernising Planning – a progress report” – DETR 1998 and 1999, Planning Policy Guidance notes, Mineral Planning Guidance notes, Marine Minerals Guidance notes (and in Wales Technical Advice Notes), relevant standards from industry in Europe and Britain, relevant standards from the Disability Discrimination Act, 1995, and the Access to Information and Human Rights Acts, all in the context of probity and transparency anticipated by the Nolan Report and Neil Committee
- managing and regulating the environment effectively – to achieve demonstrable outcomes in relation to the wider sustainability agenda, as well as to resolve issues concerning unauthorised development and getting rid of ‘nuisance’
- monitoring of quality, of both process and outcome, to include regular and integrated external and internal assessment, and using monitoring information to feed back into the process of service improvement and to raise awareness of quality issues
- measuring ‘good quality’ outcomes and determining what these are – not least what is meant by ‘strategic planning’, ‘added value’ and how these might be measured, determining what is ‘sustainable development’, ‘acceptable in policy as opposed to ameliorative of policy breach’, ‘best environmental practice’, and delivering these outcomes with speed
- balancing the conflicting views and expectations of a wide variety of stakeholders and development pressures and determining what ‘real’ participation in the planning process means in the context of achieving performance targets which must be sensitive to more complex applications, often better treated as major projects
- protection of the community through proactive and responsive management of regulation including formal monitoring programmes and associated review processes
- political sensitivity and the need to be aware of the wider political agenda and the importance of appropriate relationships and understanding between officers and members, facilitated by regular training, to ensure openness, probity and fairness and enable ‘good’ decision making
- the creation and servicing of effective user fora to communicate and ameliorate the effects of M&W development
- facilitating understanding by the general public as to the role and remit of the MPA and WPA and what control they have and do not have - this particularly applies to issues like reviewing Old Mineral Permissions, parallel controls under other legislation and agencies, requests for permanent monitoring by authorities rather than operators, and effects on property value
- introducing measures to streamline the planning process, including level of delegation, promotion of the One Stop Shop approach and pre-application discussions including legal agreements

- introduction of Best Value, improving accountability whilst encouraging local democracy and promoting the well being of communities, all key aims identified by the Government in order to change the way services are provided so that they are 'investment and citizen centred'
- securing adequate resources and professionally competent in-house staff to deliver the service, supported by training programmes and skills development for officers and members relevant to the way the service is delivered, the specialised range of skills required and the size / circumstances of the authority
- ensuring there is an innovative ICT strategy in accordance with e-governance targets, to underpin delivery of objectives and organisational development, to include provision of information in electronic form (eg. GIS), workload and performance management, access to information, participation, consultation and customer choice
- Ensuring advice and information provided is integrated with the wide range of other agencies involved in delivering an excellent M&W service and that it is timely and accurate

3. Towards an Excellent Service

An excellent service is one that is demonstrably performing well across a number of Critical Factors. The Critical Factors may change in relation to the functions and objectives of the Planning Service, but those considered fundamental to the M&W aspects of an excellent planning service are outlined below. These Critical Factors seek to encapsulate clear objectives based on current thinking on key issues and best practice.

Factors 1-2 and 4-8 reflect on the importance of meeting user expectations. Factors 3 and 9 focus on the way M&W can play a positive and effective role in achieving quality outcomes, in context, in an integrated, co-ordinated and proactive way. The ability of the service to address local issues and manage resources to maximise performance underpins most of these factors, whilst factor encapsulates the total ethos of an excellent service.

1. *Information and planning documents are readily accessible and presented in an up-to-date, clear and consistent form in a variety of forms including the internet.*

Access considerations include physical access and access to the planning process, ensuring access by all users through appropriate office location, signage, opening hours, ease of access to enquiry staff, remote access to services/information and overall "welcome". Particular attention should be given to meeting the requirements of the Disability Discrimination Act 1995. The social inclusion agenda also needs to be addressed by facilitating access to information and advice for traditionally hard to reach groups and individuals who do not have ready understanding of highly technical plans, statistics and supporting literature.

2. *The service promotes the involvement of all, including traditionally hard to reach groups, through effective publicity, liaison, consultation and negotiation, which both enables appropriate participation and use and ensures the delivery of a high quality environment.*

Services should have a good customer focus and sound knowledge of the cultural diversity of the local population. Effective, appropriate and responsive consultation and public involvement needs to be achieved, in both use and service design, which ensures that the public know how consultation has developed into outcomes. A Customer Charter is a key element of this. Public meetings and site visits should demonstrate particular care to ensure customers' expectations are met but the public should be made aware of both constraints and service entitlements. Applicants are actively encouraged to participate in pre-application discussions, to establish regular Site Liaison Committees,

to participate in user/focus groups and to negotiate improvements to applications. Timely information should be provided at key stages in a clear and accessible form, using plain language and in a variety of formats, including the use of interactive ICT.

- 3. The service actively seeks high quality outcomes by protecting the wider community and environment, by being pro-active and responsive in managing and regulating M&W developments, and through formal monitoring programmes and associated review processes.***

There is appropriate performance management to secure an agreed level of balance between speed and quality of outcome. Health issues are adequately addressed corporately and through outside bodies. There is recognised excellence in the enforcement of planning control, which is properly resourced. The service reflects and is consistent with the corporate objectives of the Council. There is effective use of Section 106 Agreements, delivering in total, a clear sustainable development agenda with links to the community plan. The service should maximise benefits for the wider community and ensure environmental stewardship in a positive rather than wholly reactive way. The service will incorporate measures of “added value” in assessing the quality of outcomes.

- 4. M&W Development Plan policies are up to date, have clearly defined objectives, have a logical strategy linked to targets and the authority has responded to changes in legislation and Government policy since adoption..***

A framework provides a basis for certainty and consistency but is flexible enough to allow for innovative and non-traditional development control solutions. There should be strong linkages between development control practice and policy formulation. An excellent service will seek to contribute to and influence the formation of government policy through consultation and seek to respond effectively to the developing national agendas.

- 5. The service demonstrates transparency, probity, fairness and consistency.***

Both members and officers have an up-to-date understanding of their roles and responsibilities, with a clear and public modus operandi. Stakeholder information and feedback regarding decision-making / Committee procedures form part of this process. Delegation levels in all areas of decisions, (including Environmental Assessment), must be clear and operable. Decision-making must be consistent, with areas of flexible interpretation clearly weighed and explained. Particular attention should be given to meeting the requirements of the Human Rights Act, Environmental Information Directive, Data Protection Act and Freedom of Information Act.

- 6. The provision of advice and information is integrated with other agencies and a corporate approach is taken to development and policy advice.***

Two tier working will not inhibit the delivery of an excellent service and there will be no uncertainty over the overlap of functions with the Environment Agency in the public realm. Services within the authority will be fully integrated and the M&W service will help to support and further the corporate agenda and other corporate initiatives.

- 7. The M&W service is efficient and effective.***

An excellent service will seek to contribute to and influence the formation of government policy through consultation and seek to respond effectively to the developing national agendas. It will be well managed and will demonstrate speed and quality with positive staff recruitment, retention and training. It will have explored regional integration and have a multi agency approach to regulation. It will keep applicants, consultees and the public in the picture on progress of all major applications and policy documents, setting partnership programmes with developers and the public regarding their project management including timescale. It will publish a charter and protocols, for example on site monitoring and complaints. It will achieve both quantifiable targets (such as percentage of applications dealt with inside the 16 week period) and high quality outcomes. In doing so it will set clear standards and monitor / evaluate its performance with the involvement of users.

There will be Liaison Committees and hot lines at active sites and the competence and technical knowledge of staff and operators will be used positively to inform other customers. There will be efficient use of resources to deliver a timely and cost effective service.

8. ***The service offers access for all stakeholders to a level of skilled professional and technical advice that enables all relevant planning issues to be identified and debated.***

Development control advice and information is fully integrated with other disciplines and helps to support and further the corporate agenda and other corporate initiatives. Staff have specialist M&W experience, skills, knowledge and training. It will not be possible to deliver an excellent service without adequate numbers of skilled staff and ongoing training to meet resource needs. A range of innovative solutions should be considered to ensure appropriately qualified staff.

There is customer satisfaction and members have received training to enable them to speak authoritatively in a local and regional context. There are balanced focus groups to help develop plan policies and demystify for the public. There is consultation even with hard to reach groups.

9. ***The service seeks to encourage the delivery of sustainable development and sustainable solutions.***

To deliver the wider national and local agendas it will be essential to work closely with other external organisations to maximise the benefits of the policy and development control regime in M&W planning. It sets clear standards and monitors/evaluates its performance with the involvement of users. There are clear links between M&W development outcomes, sustainability agenda, transport issues, recovery & recycling targets and the National Waste Strategy. There will be clear evidence of the “monitor and manage” approach in development approvals, along with examples of value added in protection of the natural and historic environment, whilst actively conserving adequate supplies of minerals. There will be evidence of increased use of secondary and recycled aggregates, the encouragement of resource-efficient and energy-efficient design and construction, and the incorporation of waste-reducing features into developments.

For each of these “Critical Factors” there will be **essential features**, which, if achieved, contribute to “excellence”, though they will apply to different processes and outcomes of the service. These have been broadly grouped into 5 areas:-

- **Policy**-clear objectives and strategies for the service
- **Customer Focus**- the service as seen from the user perspective
- **Process and Procedures**-internal mechanisms for achieving that element of the service
- **Performance measurement**- performance targets and monitoring systems
- **Outcomes**- what service is delivered in terms of clear and sustainable outcomes

A summary table of the Critical Factors and associated Essential Features follows as an “**Excellence Matrix**” in section 4. The Essential Features have been set out in a condensed form for ease of reference, and are listed in 5 columns, one column for each of the 5 groupings mentioned above. Some elements of the Essential Features may appear in more than one cell where they relate to more than one heading or Critical Factor.

4. Excellence Matrix

The Matrix below should help provide a basis for reviewing key features of the M&W service, whether as a stand-alone function or as part of a broader service unit. Whilst it does not attempt to weight different features or provide a scoring mechanism, it aims to highlight characteristics of an excellent service, provide ideas for improvement and a means of self-assessment, and help “gap analysis” and benchmarking activities.

CRITICAL FACTORS (Criteria)	ESSENTIAL FEATURE: POLICY	ESSENTIALFEATURE: CUSTOMER FOCUS	ESSENTIAL FEATURE: PROCESS AND PROCEDURES	ESSENTIAL FEATURE: PERFORMANCE MEASUREMENT	ESSENTIAL FEATURE: OUTCOMES
<p>1. <i>Information and planning documents are readily accessible and presented in an up-to-date, clear and consistent form in a variety of formats including the internet.</i></p>	<ul style="list-style-type: none"> • A clear strategy for the provision of information and advice is formulated in consultation with stakeholders. • A policy is in place to ensure that information is regularly monitored and updated in consultation with stakeholders to ensure relevance and availability. • The agreed policy information is provided in a clear and accessible form, using plain language and in a variety of formats. • An ICT customer use strategy is in place and linked to the Corporate E-government strategy, including an informative, up-to-date and interactive web site. 	<ul style="list-style-type: none"> • Information is provided in a format suitable for all members of the community, is freely available and widely publicised. • Documents and information are available in alternative formats (eg. for people with visual or hearing impairments) and where appropriate cater adequately for local ethnic communities for whom English is not a first language. • Information and advice content responds to local needs and demand and covers issues relevant to all service users, including related development issues and associated regulatory services. • Displays and maintains appropriate information in reception areas, such as: fees and charges, service performance standards, organisational and committee structures, and photographs of relevant Members/ staff. • Applicants are advised of realistic timescales for determination. Users are routinely notified about progress, the next stage in the process and associated time scale. • An informative and up to date web site with interactive use contains all M&W policies and current planning applications. 	<ul style="list-style-type: none"> • All information complies with the provisions of the Local Government Access to Information Act, Environmental Information Directive, Freedom of Information Act 2000, and Data Protection legislation. • Development teams are established with lead officers to manage and co-ordinate development advice and information, and subsequent application processing. • Advice and information is provided on associated regulatory services and there are procedures in place for co-ordinating the provision of such advice and for liaison between services. • Policies and arrangements for providing advice and information are regularly reviewed with stakeholders. • Key stages for consideration of statutory plans, and planning applications are identified and agreed with applicant / agent and key stakeholder groups. • Mechanisms are in place to inform key stakeholders how key stages are being handled and associated timescales in the planning process. • All staff are trained and knowledgeable on the range of documents and literature available to customers. • Information is available in languages other than English where this is appropriate for customers who may have another first language. 	<ul style="list-style-type: none"> • Policies and arrangements for providing advice and information are regularly reviewed with stakeholders and compared with other similar organisations, including best in class. • Timescale targets are in place for acknowledging objections, notifying decisions and other key stages in all processes. • Key documents have a Crystal Mark or meet other similar 'plain language' standards. • Targets for ICT at or above national E-governance targets. • There are clear KPI's and performance management reporting in place for all aspects of the M&W service. 	<ul style="list-style-type: none"> • There is evidence across the community and in other council services that the process of delivering M&W services is well understood. • High satisfaction levels for all service users. • Fewer complaints about progress of plan review, applications, etc. • Schemes amended in response to views of consultees indicate added value to the decision-making process. • Achieves E-governance targets. • Clear links demonstrable between policies and corporate agenda on business, environmental sustainability, and regional need.

CRITICAL FACTORS (Criteria)	ESSENTIAL FEATURE: POLICY	ESSENTIAL FEATURE: CUSTOMER FOCUS	ESSENTIAL FEATURE: PROCESS AND PROCEDURES	ESSENTIAL FEATURE: PERFORMANCE MEASUREMENT	ESSENTIAL FEATURE: OUTCOMES
<p>2.</p> <p><i>The service promotes the involvement of all, including traditionally hard to reach groups through effective publicity, liaison, consultation and negotiation, which both enables appropriate participation and use and ensures the delivery of a high quality environment.</i></p>	<ul style="list-style-type: none"> • Access and equalities policies are formulated in conjunction with users and adopted and published. • A strategy is in place for engaging and involving traditionally hard to reach groups. • Published standards and policies are set out that ensure appropriate levels of access to information, advice, buildings and facilities. • Performance against standards and targets is monitored and published. • Training and development programmes ensure skills, knowledge and expertise of all staff match the needs of the service and are driven by a clear, adequately resourced training strategy. • A <u>Customer Charter</u> is published and readily available, setting performance standards/targets for all aspects of the M&W service including the level of service customers can expect. • A publicised compliments and complaints procedure exists together with a system of monitoring and reviewing customer comments and acting upon them to improve the level of service delivery. 	<ul style="list-style-type: none"> • Reception points are easily accessible by the disabled & by both public and private transport. Signage is comprehensive, well designed and displayed, staff are friendly and helpful, and office opening times are flexible, clearly communicated, consistently applied and regularly reviewed in consultation with users. • All facilities are attractive, inviting, legible and well maintained. • Customers are made aware of service entitlements and expectations. • Has formal liaison/ contact with local community / minority groups to establish the most effective methods of consultation and disseminating information. • Arranges public meetings to meet local needs in response to stakeholder feedback and to enable all members of the public to participate on an equitable basis. • Responsive to Members. • Publishes targets and response times for full replies that are equivalent whether to correspondence, telephone enquiries or communication by fax or e-mail. • Compliments and complaints procedures are readily available to the public. 	<ul style="list-style-type: none"> • Policy and practice incorporates current legislation, guidance and Best Practice e.g. Audit Commission and DTLR and NAW information. • Fully resourced action plans are prepared and implemented to achieve full compliance with the Disability Discrimination Act by 2004. • Pursues proactive approaches to involving traditionally hard to reach groups. • Service Enquiries and requests for information are answered within 5 working days. • Applicants and users are routinely notified about progress on applications and enquiries. • Information and published documents are up-to-date, well-designed, clearly written, produced in different media, formats and languages (where appropriate) and widely available through a range of channels. • Applicants are actively encouraged to participate in pre-application discussions, to establish regular Site Liaison Committees, to participate in user / focus groups, and to negotiate improvements to applications. • Training and development programmes ensure skills, knowledge and expertise of all staff match the needs of the service and are driven by a clear, adequately resourced training strategy. • Implements procedures to ensure that consultations are taken into account and consultees and complainants are given constructive feedback as to how their comments have been addressed. 	<ul style="list-style-type: none"> • Regularly reviews policies, practices and procedures in consultation with users and revises them to increase access to services and information and enable socially excluded groups to take part in the planning process. • Undertakes access audits by staff with specialist expertise. • Collects evidence to confirm that policies are being applied consistently. • Regularly monitors staff awareness of policies and processes and identifies appropriate levels of training. • Customer Satisfaction Surveys are undertaken at least every 3 years and show under 10% of respondents dissatisfied with the service and complaints about the service are less than 1 per 50,000 population. • Regularly monitors and updates the <u>Customer Charter</u> with key stakeholders and users in light of the monitoring information and using benchmarks from other organisations. 	<ul style="list-style-type: none"> • An equally open and accessible service is provided to all stakeholders in terms of procedures, standards and participation. • There is evidence of high customer satisfaction across all stakeholders, including industry, special interest, ethnic & hard-to-reach groups. • Customers are aware of service entitlements and expectations Pre-application discussions are evident. • Regular site liaison committees and user focus groups. • Low level of complaints.

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<p>3.</p> <p><i>The service actively seeks high quality outcomes by protecting the wider community and environment, by being pro-active and responsive in managing and regulating M&W developments, and through formal monitoring programmes and associated review processes.</i></p>	<ul style="list-style-type: none"> • Has adopted a regional framework for dealing with and delivering sustainable M&W development • Has policies in the Development Plan which encourage and promote sustainable M&W development and high quality development and restoration. • Has a clear and adopted policy for the effective and positive use Section 106 agreements to secure environmental enhancements and benefits which meet environmental, community and corporate objectives. • Has an agreed and co-ordinated strategy for assessing and measuring 'added value' and the quality of outcome achieved, which has been the subject of consultation with stakeholders. • Has adopted the enforcement concordat and has developed a clear Enforcement Policy in consultation with stakeholders, which has been approved, published, monitored and reported to members regularly. • Is implementing an approved Sustainability Strategy which addresses M&W issues. 	<ul style="list-style-type: none"> • Sets out comprehensive development standards required to inform potential applicants of issues in advance of submission. • Pre-application discussions are welcomed and encouraged to supplement policies and guidance. • Involves community / industry Liaison Groups in assessing and providing feedback on significant applications / developments, monitoring / reporting breaches of planning control, and discussing / resolving M&W issues. • Enforcement Policy has targets for initial visits, resolution and other key stages in the process which are publicised following consultation with users. • Complainants are kept informed of progress and it is possible to access enforcement officers outside normal office hours. 	<ul style="list-style-type: none"> • Actively promotes, encourages, monitors compliance and publishes measures to meet all government targets and standards in respect of the efficient use of minerals and minimisation of waste. • Procedures are in place for working with other council services and other local authorities / agencies to help deliver sustainable M&W development, and for formal liaison with the community and minority groups to discuss M&W issues. • Members regularly review M&W developments, feed back learning into the decision making process and undergo design awareness training. • A Monitoring Programme is in place, which enables the effective management and monitoring of performance in respect of compliance with planning control. 	<ul style="list-style-type: none"> • Conditions monitoring systems are formally approved and publicised, all mineral & landfill sites are monitored quarterly and annually, and results are reported to members. • Has a range of measures to assess the quality of outcomes, regularly monitors and reviews M&W developments, and carries out outcome surveys and outcome assessments. • Breaches of planning control are investigated and consistently actioned within target days set out in the authority's Enforcement Policy. 	<ul style="list-style-type: none"> • National, regional and local M&W needs are met. • High levels of satisfaction with the quality of the physical environment are evident. • Substantial number of approval decisions result from negotiations on proposals initially unacceptable on non-policy grounds. • Examples of good M&W policy and development are publicised and the authority acknowledges industry good practice. • A high percentage of breaches of control are resolved within a set timescale. • Stakeholders consider a 'seamless service' to be provided. • Members speak authoritatively about M&W issues, sustainable development requirements and local issues. • Positive results of outcomes surveys and assessments. • Evidence that sustainable M&W policies are applied and outcomes are positive.

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<p>4. <i>M&W Development Plan policies are up to date, have clearly defined objectives, have a logical strategy linked to targets and the authority has responded to changes in legislation and Government policy since adoption.</i></p>	<ul style="list-style-type: none"> • The authority has a published timetable for the review of strategic & local M&W policies in the Development Plan that would ensure the relevant plan was altered or replaced within 5 years of adoption. • Has clear policies in the most recently adopted Development Plan that assist industry investment decisions, and provide a planning framework for national / regional mineral supply, provision of waste management facilities consistent with National and Regional Waste Strategies and Municipal Waste Management Strategies, and provide for M&W facilities to meet community needs, sustainable development in M&W and environmental protection from M&W development. • Strategy in place to maximise linkages integration and feedback between M&W Control and Policy functions. • Allocates appropriate resources to support partnership working, joint funding, etc. • Positively engages in regional bodies and initiatives dealing with M&W. 	<ul style="list-style-type: none"> • Application reports relate to national, regional, local and corporate policy context. • Supplementary Planning Guidance is prepared in association with key stakeholders and subject to public consultation. • Proactive in communicating existing and new guidance and policies to owners and operators. • Promotes pre-application discussions and written advice to ensure understanding of the development framework, awareness of policies, strategies and guidance. • Encourages applicants to present innovative schemes. • There are no tensions between the time-scales of plan preparation and the need to keep the plan up to date, nor between land use allocations in different plan tiers. • There is a clear relationship between the MLP/ WLP/UDP and the Community Strategy. • The National Waste Strategy is integrated in policies in the WLP or UDP. • Annually monitors and publishes key DP objectives against performance indicators with review linked outcomes. • Private sector and community representatives are encouraged and supported to become involved in partnerships. 	<ul style="list-style-type: none"> • A systematic approach is in place to ensure that decisions are taken in the context of national, regional, local and corporate policies. • Publishes a report on the implications of for revisions of its development plan within 3 months of the issue of new or revised national or regional planning guidance or structure plan where appropriate. • Introduces procedures that manage and support flexible application of policy where appropriate. • Officers and Members visit completed schemes or award winning schemes in other local authorities, where appropriate, in order to assess the outcome of decisions and the merits of innovative approaches. • Mechanisms exist to ensure close and effective working between Development Control and Policy Planning officers. • Has published a full sustainability appraisal of the most recent stage of the development plan. • Have established procedures for working with adjacent authorities on applications that have implications across the boundary. • Monitoring outcomes are built into policy development and plan making. 	<ul style="list-style-type: none"> • Undertakes regular monitoring of committee reports and planning decisions to ensure that decisions are taken in the context of national, regional local and corporate policies and meet these policy objectives. • Monitoring of development control decisions is also used to formulate policy and aid the plan making process. • Members regularly review and assess the outcome of non-traditional solutions to inform future decision-making. • There is a pro-active approach to exploring implementation agreements for partnership working and pooling of resources. • Key objectives of M&W policies in the Development Plan are monitored annually. 	<ul style="list-style-type: none"> • Low proportion of appeals where the Council's decision has been overturned on policy grounds. • The greater proportion of M&W development takes place in accordance with the Development Plan. • The objectives of the MLP / WLP or UDP are achieved through development control decisions. • Strategic and local minerals and waste policies in the Development Plan were adopted within the last 5 years, were not successfully challenged in the courts and the authority is meeting a published timetable for their review to ensure the relevant plan was altered or replaced within 5 years of adoption. • A full sustainability appraisal of the most recent stage of the plan is published. • Partnership working enables effective sharing or resources where relevant. <p>The Council's partners effectively contribute to securing the objectives of the authority as set out in the development plan.</p>

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<p>5.</p> <p><i>The service demonstrates transparency, probity, fairness and consistency.</i></p>	<ul style="list-style-type: none"> • Decisions made, whether by committee or by officers under delegated powers, are consistent, and in accordance with Section 54a of the Act. • A Code of Conduct for Officers / Members is in place to set out their roles and responsibilities in decision-making. • There is a clear and appropriate schedule of delegated powers to Committee, Cabinet and officers as appropriate, which is published and communicated to Members and stakeholders. • Clear policies are published to set out how and when reports are available to the public. • Clear and published policies are in place explaining how the public can expect to be treated and there is a process for regular updates on probity issues. 	<ul style="list-style-type: none"> • The Code of Conduct for Officers and Members is made available to the public. • The scheme of delegation to officers and referral to committee is clear and transparent to users, staff and councillors. • There are opportunities to address the Planning Committee with all interested parties notified and made aware of their role at the meeting and the likely format of the meeting. • Clear reports with supporting plans where appropriate are widely available in advance of Committee meetings with unambiguous officer recommendations. • Reports are available in different languages / mediums to reflect local needs. • Clear committee procedures are in place and widely publicised, including information leaflets available for the public outlining the Planning Committee process and how it is managed. • There are clear presentation methods at committee, which maximise the use of IT and visual methods. • There is provision for applicants / agents to amend proposals and / or submit additional information up until time of decision. • Produces and disseminates information on what stakeholders can expect and their role in the decision making process. • Applicants and objectors are informed in advance of committee date/agenda. • Committee meetings are held at times and locations to meet local needs. 	<ul style="list-style-type: none"> • Defines and clarifies relationships between Cabinet, Executive / Scrutiny Committees and the Planning Committee and officers within the context of the new local government decision - making arrangements, including protocols for officers serving both Cabinet and Scrutiny Committee, and delegation levels / procedures. • Procedures and protocols clarify the different levels of responsibility and legitimacy of member roles in decision making including the distinction between planning committee members, area committee and ward members. • The Code of Conduct includes information on processes and procedures, such as dealing with correspondence, lobbying, meetings with applicants, overturning officer recommendations and conduct on Committee site visits. • A mandatory and regular training programme for Members is in place, supplemented by training on the M&W process, new legislation and guidance. • All members and staff are aware of probity issues. • Written reports are produced and made available for the public for all decisions whether delegated or not.. • Decisions are clearly recorded. 	<ul style="list-style-type: none"> • Review systems are in place to evaluate the outcome of decisions. • Ethnic monitoring of decisions where appropriate is undertaken in consultation with under represented groups. • Monitoring includes public and member feedback on reports and committee processes. • Customer surveys are regularly undertaken to test the perceptions of fairness and transparency in decision making. • Regular reports are presented to Members on key performance results: e.g. numbers of applications received and determined, processing speed, appeal decisions, S106 agreements, enforcement, complaints and outcomes, consistency of decisions, performance against locally set targets and comparison with other authorities. 	<ul style="list-style-type: none"> • The percentage of decisions in accordance with officer recommendations is higher than the national average. • There are no adverse Ombudsman decisions regarding this issue. • There are no challenges or cases referred to the Standards Committee. • Low proportion of successful appeals. • Appeal costs have not been awarded against the Council. • Stakeholders perceive that decision-making is fair, transparent and in accordance with the scheme of delegation. • High level of delegation. • District Audit probity Audit demonstrates an excellent service.

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<p>6. <i>The provision of advice and information is integrated with other agencies and a corporate approach is taken to development and policy advice.</i></p>	<ul style="list-style-type: none"> • Policies are in place clarifying how M&W will contribute to the achievement of national objectives. • Strategies are in place to achieve national and regional guidance / recommendations and National Performance Indicators. • There is a strategy for electronic exchange of information with other agencies. • Corporate strategic guidance sets out a clear integrated policy framework for all development related advice and information. • A corporate development charter is in place, together with a protocol for the provision of “joined-up” advice and integrated policy framework for M&W in conjunction with key stakeholders. 	<ul style="list-style-type: none"> • Consultation arrangements are in place to ensure all relevant organisations are involved in policy development and consulted on relevant proposals. • Local Performance Indicators are set in consultation with industry and the community. • Two tier working does not slow down processes or confuse customers. • There are Customer Protocols with external consultees to provide consistent advice. • The continuous monitoring and improvement of the service and the corporate approach to the provision of advice are undertaken by regular customer and stakeholder surveys and user fora. • A single point of contact is available for development related advice which is clearly communicated to potential applicants. 	<ul style="list-style-type: none"> • Procedures are in place to ensure that the development control process addresses national and regional guidance, legislation and emerging priorities and best practice guidelines. • Regular seminars and other training sessions are held to inform Members and officers of new legislation and other initiatives. • There is no overlap and uncertainty over waste functions with the Environment Agency. • There is regular effective liaison with all relevant development agencies and authorities to address emerging issues and major schemes, with outcomes linked to continuous improvement of liaison processes. • There is regular effective liaison between all development related services within the authority to address emerging issues and major schemes. • Development Teams are established for major projects with lead officers to manage and co-ordinate internal and external development advice and subsequent application processing. • A programme of information exchange seminars for other agencies is in place to increase the awareness of development related issues. 	<ul style="list-style-type: none"> • Incorporates national and local performance indicators into targets and monitoring systems. • Monitors committee reports to ensure they take a corporate approach to relevant issues. • Monitors implemented proposals to ensure they meet objectives as envisaged. • All M&W legislation and other guidance is reported to Members. • Continuous improvement is measured and made available externally as well as internally. • A corporate charter measures integrated service delivery. • Key Performance Indicators of the development control charter and protocol are annually monitored and published, with outcomes linked to the continuous improvement process. 	<ul style="list-style-type: none"> • Developments that have achieved national objectives or incorporated recommended principles can be identified. • Officers and Members are aware of emerging M&W legislation and ensure its implementation through local decision-making. • Exemplifies best practice. • Emerging issues are anticipated by effective external and internal liaison. • Customer and stakeholder surveys confirm the above. • Accreditation (eg Beacon Status) confirms the above.

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<p>7. The M&W service is efficient and effective.</p>	<ul style="list-style-type: none"> • Adopted and explicit policies, objectives and priorities are in place to ensure speed of preparing plans and processing applications and a quality outcome. • A sound Service Business Plan is in place to clarify budget issues, ensure adequate resources, and help achieve efficient and innovative use of resources. • A published Charter / policy is in place that is reviewed annually and includes pre-application discussion, target dates for all application processes, publicity and neighbour notification procedures, consultation response times, keeping people informed of progress, representation procedures, delegation procedures, presentation by applicants and public at committee, and notification of decisions to applicants, consultees, and those making representations. • Has an adopted ICT strategy which meets e-governance targets and is tailored to the needs of the M&W service. 	<ul style="list-style-type: none"> • Promotes Development Team approach in service delivery. • Users and staff are involved in setting out aims, objectives and priorities that are monitored through action plans. • Service and Performance Plans are effectively communicated both internally within the organisation and externally to relevant stakeholders to ensure that all parties are clear about what they are trying to achieve and their own roles within the process. • There is a published monitoring and enforcement protocol / charter which is reviewed annually and includes site monitoring standards, complaint procedures and response times, site liaison committees, availability of a telephone hot-line, and enforcement guidelines. • Key users are engaged in the review of service performance and satisfaction levels and informed of what has changed as a result. • Customer satisfaction surveys are undertaken at least every 3 years and results are used to make continuous improvements. 	<ul style="list-style-type: none"> • There is a published programme for the adoption and / or review of the development plan which will ensure that M&W policies are not more than 5 years old. • Clear and robust procedures and rationale are in place for identifying service objectives and priorities. • Uses project management tools to manage activities such as major planning applications and plan preparation. • Operates an effective case management system, including the early setting of target dates for reports/decision, systematic recording on file of all stages and matters arising. • Time recording systems are used and regularly monitored to manage staff resources to maximise the time spent on core activities (as defined in objectives). • Annual staff performance reviews emphasise the contribution staff make to meeting objectives, attaining wider corporate goals and achieving outcomes. 	<ul style="list-style-type: none"> • Objectives and priorities have clear targets / milestones which reflect the policy on speed vs. quality and are monitored. • Charter identifies targets for processing of applications. • Continuous assessment of current operational and service delivery achievements against published local and national targets /objectives, including national Best Value performance indicators and local customer charters. • Survey results are fed back to Members and into the policy making process and used to improve and adapt the service towards meeting user expectations. • Regularly monitors, updates and reviews processes and procedures, including those for recording and managing information, the response to enquiries, and complaints. 	<ul style="list-style-type: none"> • No costs are awarded against the Council. • Customer surveys show high levels of satisfaction. • Issues such as consideration under Human Rights Act are implicit in processes • M&W service delivery is not adversely affected by staff recruitment, retention and internal learning difficulties. • There are adequate staff resources devoted to M&W. • The competence and Technical knowledge of outside organisations including operators is fully utilised. • Well above national average processing time for M&W applications. • Percentage of M&W appeals dismissed is well above national average.

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<p>8. <i>The service offers access for all stakeholders to a level of skilled professional and technical advice that enables all relevant planning issues to be identified and debated.</i></p>	<ul style="list-style-type: none"> • Has a Human Resources Strategy to secure the quantity and quality of staff required which sets out a range of imaginative and innovative approaches to ensure all elements of the M&W service are appropriately resourced. • Training & development programmes, including career development opportunities, ensure that skills, knowledge and expertise of all staff match the requirements for service provision and are driven by a training policy that is delivered and monitored. This includes professional, technical, customer care and project management skills. • Sufficient resources are allocated to training for all staff, including agency or temporary staff and enforcement officers, which is not restricted to professional grades. • Up-to-date and agreed working practice and procedures / guidance is issued to all staff and regularly reviewed for accuracy and relevance and updated where necessary. Guidance is used in induction training programme for all new staff. 	<ul style="list-style-type: none"> • Customer satisfaction surveys undertaken at least every 3 years. • All staff (including those in other service areas and contract staff) are able to give competent, timely and relevant advice with certainty and integrity. • Ensures ongoing staff awareness and training on complaints procedures, use and responses. • Provides adequate resources for M&W monitoring & enforcement. • Customers have confidence working with appropriately qualified staff with M&W experience, skills and knowledge. • Balanced focus groups are facilitated to help develop M&W development plan policies. • Ensures an adequate range of in-house skills are available to meet expected demands for M&W services. 	<ul style="list-style-type: none"> • Staff dealing with initial enquiries are at an appropriate level with appropriate experience and qualifications and where possible become the case officer. • Corporate and Departmental training plans together with personal development plans (or any other formal process for identifying M&W training and development needs) are in place, up-to-date and monitored. • Has a formal programme of staff and member training to address current and emerging issues, e.g. managing change, best value, new legislation etc. • A formal and agreed process is in place for ensuring the wide dissemination of information and skills amongst staff, including a manual of working practices / guidance for staff available electronically to allow for on site / remote working. • Incorporates training and career development needs in staff performance appraisals. • A continuous learning scheme is in place that ensures CPD for all staff which is related to the outcomes the service is expected to deliver. • All experienced staff available for pre-application discussions within 10 working days of request. 	<ul style="list-style-type: none"> • Customer surveys show less than 10% of applicants are dissatisfied with pre-application advice. • Systems are in place to evaluate the effectiveness of recruitment and training. • Monitors compliance where appropriate with staff CPD requirements and ensures provision of support and opportunities so that staff fulfil those requirements. • All professional staff able to demonstrate CPD training plans and minimum 50 hours activity over last 2 years. • Not less than 75% of professional staff, whether in-house or contracted, are members of a professional institute (eg. Royal Town Planning Institute, institute of Quarrying, Institute of Waste Management, Institute of Chartered Surveyors) or qualified in an appropriate discipline. • More than one form of external accreditation (eg. IIP, ISO 9001, Chartermark). 	<ul style="list-style-type: none"> • Low level of complaints. • High staff morale, including low sickness levels. • Staff turnover levels in the service are at their optimum. • Staff appraisals generally indicate career development. • Staff skills and competencies are aligned to meet the required outcomes of the service. • Annual member site inspections. • Annual member training in M&W. • More than one professionally facilitated stakeholder focus group relevant to its plan making function.

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<p>9.</p> <p><i>The service seeks to encourage the delivery of sustainable development and sustainable solutions.</i></p>	<ul style="list-style-type: none"> • The Authority has adopted the approach to sustainable development throughout its M&W service as set out in Ch 12 of the POS BV Guide (edition 2). • The sustainability agenda encompasses Agenda 21, Development and Transport Plans, sustainability appraisals and links into the Community Strategy. 	<ul style="list-style-type: none"> • The Authority is leading by example. • Members debate key national policy issues in M&W. • The National Waste Strategy is adopted. • Adequate supplies of minerals are safeguarded • Formal liaison groups discuss and explain sustainability issues related to the M&W service and secure changes. 	<ul style="list-style-type: none"> • Procedures in M&W planning provide for the protection of the natural and historic environment as well as planning policies. • A regional framework has been adopted and procedures exist for working with other councils and agencies to deliver sustainable development. • There is evidence that sustainability principles are adopted procedurally and applied in the M&W planning process. • Responsive monitoring systems are in place to assess the effectiveness of sustainability policies and actions. • Sustainability criteria are identified through the LA21 process and publicised. 	<ul style="list-style-type: none"> • There is evidence that positive steps are being taken to raise awareness of sustainability issues throughout the community. • Local Indicators link conservation, the efficient use of mineral resources and waste minimisation. • Secondary and re-cycled aggregates are encouraged and supported. • M&W policies encourage, promote and monitor sustainability principles including conservation of minerals, waste hierarchy principles, minimisation of mineral waste, efficient mineral use, proximity principle, BPEO principles, sensitive working practices to preserve and enhance the quality of the environment, and protection and enhancement of designated landscape and nature interests. • There is evidence that these policies are applied through the M&W control process. 	<ul style="list-style-type: none"> • High Standards of restoration and after use of sites is evident. • The authority takes a recognised lead in innovation. • Re-cycling targets and rates achieved are higher than the national average. • Use of secondary and re-cycled aggregates is increasing. • Council leads by example in sustainable procurement and as a waste producer through adopting waste minimisation and waste recovery practices. • Council adopts BPEO in its decision making.

Notes on Terms Used in the Matrix:

*** Stakeholders**

A stakeholder is anyone with an interest in the service. The breadth of impact of the M&W planning service means that this term covers a broad range of individuals and collectives and can include the local resident or business community, visitors, neighbours, applicants, owners, operators, local amenity or community groups, individual businesses etc.

Therefore in designing consultation & engagement processes it is important to distinguish between at least the following groups:

- a. Individuals
- b. Groups of users or groups with a common interest.
- c. Applicants, owners and operators
- d. Commentators / objectors
- e. Agents and other representatives of parties involved in the process
- f. 'Target users' (i.e. those for whom a service or aspect of a service is designed)
- g. 'Hard to reach' groups are defined as the young, the elderly, those whose first language is not English, the homeless and those with disabilities. There may be other 'hard to reach' groups that can be defined in a locality.

An excellent authority will understand, and its practise will reflect, that different groups and individuals have different agenda in the development process.

****Accessibility:** Consultation with existing and potential user groups informs:-

- a. the design, layout, signage and provision of facilities (both internal and external, e.g. disabled parking), ensuring obstacle-free access for people with disabilities, older or less ambulant people and those with responsibility for young children
- b. the office opening times to reflect the needs of different users, with regular reviews and adjustments to meet customer expectations and clearly communicated and consistently applied.
- c. the availability of professional advice (eg duty officer), to be available in person and by telephone at all times during office opening hours. To provide extended opening hours beyond normal office hours where appropriate in response to customer (including potential applicants) demand, along with the ability to leave messages in the evening and weekends.
- d. the availability of appropriate seating, work areas and meeting rooms, with customer access to satisfactory facilities to view and copy plans and other documents and to IT terminals to allow easy access to routine information.
- e. Information, documents, and plans are available at a price that is reasonable, and affordable for all individuals and groups.

*****Information**, including signage, must:

- a. be up-to-date, well designed, clearly written with illustrations and photographs used to convey information wherever possible;
- b. produced in suitable media formats and languages (where appropriate) and publicly available through a variety of channels and widely-publicised;
- c. available in a range of different media eg. Internet, audio tapes, leaflets. Verbal communication should be clear and confirmed in writing wherever possible;
- d. available in alternative forms for people with sensory disabilities and in translated form for people for whom English may not be the first language;
- e. planning information web site available on the Internet and locally accessible terminals, to include standard forms and documents and guidance on the M&W planning process;

- f. include a programme of providing registers, development plans and policies, and progress on planning applications on the Internet and locally accessible terminals, with the potential for 'hands-on' interaction and feedback on-line.

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