

CABINET AGENDA



Monday 29th October 2007

at 9.00am

**in the Red Room, Avondale Centre,
Dyke House, Hartlepool
(Raby Road entrance)**

MEMBERS: CABINET:

The Mayor, Stuart Drummond

Councillors Hall, Hargreaves, Hill, Jackson, Payne and Tumilty

1. APOLOGIES FOR ABSENCE

2. TO RECEIVE ANY DECLARATIONS OF INTEREST BY MEMBERS

3. MINUTES

To receive the Record of Decision in respect of the meeting held on 15th October 2007
(previously circulated)

4. BUDGET AND POLICY FRAMEWORK

No items

5. KEY DECISIONS

- 5.1 The Hartlepool Compact Review – *Director of Regeneration and Planning Services*

6. OTHER ITEMS REQUIRING DECISION

- 6.1 Annual Library Plan – *Director of Adult and Community Services*
- 6.2 Hartlepool Climate Change Strategy – *Director of Neighbourhood Services*
- 6.3 Developing a Strategic Approach to the Voluntary and Community Sector in Hartlepool – *Director of Adult and Community Services and Director of Regeneration and Planning Services*
- 6.4 Corporate Driver Training Scheme – *Director of Neighbourhood Services*
- 6.5 Tees Valley Sub-Regional Housing Strategy – *Director of Regeneration and Planning Services*
- 6.6 Managing Radioactive Waste Safely: A Framework for Implementing Geological Disposal. A Public Consultation by DEFRA, DTI and the Welsh and Northern Irish Devolved Administrations – *Director of Neighbourhood Services and Director of Regeneration and Planning Services*

7. ITEMS FOR DISCUSSION / INFORMATION

No items

8. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

No items

9. LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

EXEMPT ITEMS

Under Section 100(A)(4) of the Local Government Act 1972, the press and public be excluded from the meeting for the following items of business on the grounds that it involves the likely disclosure of exempt information as defined in the paragraphs referred to below of Part 1 of Schedule 12A of the Local Government Act 1972 as amended by the Local Government (Access to Information) Act 1985

10. KEY ITEMS REQUIRING DECISION

- 10.1 Hartlepool College of Further Education / Albert Street Car Park – *Director of Neighbourhood Services and Director of Regeneration and Planning (Para 3)*

CABINET REPORT

29 October, 2007



Report of: Director of Regeneration and Planning Services

Subject: THE HARTLEPOOL COMPACT REVIEW

SUMMARY

1. PURPOSE OF REPORT

To update Cabinet on progress made towards revising the Hartlepool Compact and agree the way forward.

2. SUMMARY OF CONTENTS

An initial draft of a revised Hartlepool Compact is attached to the report as Appendix A for Cabinet approval. This has been prepared jointly between Council officers and the Hartlepool Voluntary Development Agency (HVDA), primarily for broader consultation and involvement purposes.

In terms of structure and content, the draft compact puts forward for consideration a series of “codes” providing ground rules of good practice for all signatories to strive to achieve, including:-

- 1) Funding
- 2) Consultation and Policy
- 3) Children and Young People
- 4) Minority and Small Community Groups
- 5) Representation
- 6) Volunteering

In contrast with the original Hartlepool Compact agreed in January 2003, which was essentially a Memorandum of Understanding between Hartlepool Borough Council and local voluntary organisations, the potential list of partners now extends way beyond the Council to include a variety of other public sector agencies.

This reflects both the strong “partnership approach” that now exists in Hartlepool, which exhibits itself in the way the Council and the voluntary

sector do business, and also is designed to be consistent with the Regional Compact developed in 2006 by Government Office NorthEast (GONE).

3. RELEVANCE TO CABINET

From a Council perspective, the protocol which the Compact is seeking to promote will need to be reflected in virtually all aspects of the Council's functions and responsibilities. It is therefore relevant to all Portfolio Holders.

4. TYPE OF DECISION

Key Decision Test (ii) applies

5. DECISION MAKING ROUTE

Cabinet 29th October 2007

(Note: Further iterations of the Compact will be brought back to Cabinet for final approval, and also submitted to the Hartlepool Partnership).

6. DECISION(S) REQUIRED

Cabinet is requested to:-

(1) approve the Draft Hartlepool Compact as the basis for wider consultation with the Hartlepool voluntary and community sector and other public sector partners.

(2) agree the provisional time-table and intended approach to wider consultation towards further development of the Draft Compact.

Report of: The Director of Regeneration and Planning Services

Subject: THE HARTLEPOOL COMPACT REVIEW

1. PURPOSE OF REPORT

- 1.1 To update Cabinet on progress made towards revising the Hartlepool Compact, and agree the way forward.
- 1.2 In particular, to approve the Draft Compact as the basis for wider consultation with other Council Officers and Members, the Hartlepool voluntary sector and other public sector agencies and agree a provisional timetable and method of approach to this work.

2. BACKGROUND

- 2.1 The first Hartlepool Compact was developed and agreed in 2003 as a framework that set out the shared values, principles and operational guidelines between Hartlepool Borough Council, community groups and voluntary organisations in Hartlepool. This included a commitment to extend the approach to encompass other agencies' relationships with the Hartlepool voluntary and community sector, such as the Primary Care Trust, Police, regeneration initiatives like New Deal for Communities, as well as the Hartlepool Partnership.
- 2.2 A key recommendation of the Borough Councils' Best Value Review of Strengthening Communities in 2006 was that the local Compact needed to be strengthened and re-launched. Consequently officers from the Council and HVDA have been meeting to agree the best way forward for undertaking this work, resulting in the Draft Hartlepool Compact attached as Appendix A to this report. A provisional timetable for undertaking further consultation with other Council Officers, Council Members, other voluntary sector organisations and public sector agencies, is also contained within the report, to progress the Compact from draft version to formal adoption.
- 2.3 In 2006 a Regional Compact was developed aiming to improve partnership working and relationships between a broad range of regional organisations within the voluntary and community sector and public sector in the North East, with an expectation by GONE that the Regional Compact will in turn be reflected in the principles contained within more localised compacts, including signatories beyond simply the local authority.
- 2.4 Such an approach is also consistent with that being adopted within a broader piece of work currently under consideration for presentation to Cabinet (separate agenda item refers) towards developing a strategic approach to

relations with the voluntary sector. This follows a recommendation in the Council's recent CPA report highlighting the need to improve the Council's approach to providing services with the voluntary and community sector and to develop a strategic view on the appropriate role for the sector in the town. Early indications suggest that there would be merit in extending too the scope of this work beyond the Council, to include other key partners and stakeholders within the Hartlepool Partnership.

3. DRAFT HARTLEPOOL COMPACT

- 3.1 In preparing the revised Draft Compact (attached as Appendix A) through discussion with the HVDA the primary objective has been to produce a simplified written agreement containing a series of "codes" designed to improve relationships between the voluntary, community and statutory organisations in Hartlepool. Amongst other things the codes include the following key features:-

Funding Code

- Recognition of the benefits of offering multi-year and roll-forward funding, ideally on a 3 year basis, to assist longer term planning.
- Recognition of the importance of funding core costs and repeat funding
- Assisting local groups to be able to compete for work being commissioned or contracted

Consultation and Policy Code

- Use of clear, simple language
- Early consultation on plans and strategies, ideally 8 weeks for written consultations where practicable
- Clear feedback and reasons for decisions made
- Supporting the 7 visions of the developing participation strategy for the involvement of children and young people (see below)

Children and Young People's Code

- Adopting the seven visions for Young People's Participation in Hartlepool (Appendix 2 refers), including:-
- Ensuring staff and children and young people we work with receive training and support
- Making sure there are different ways for our staff and the children and young people who we work with to be involved in participation
- Taking young people's views seriously about what all children and young people think is important

Minority and Small Community Groups Code

- Sharing of policy documents and best practice, ensuring that diverse community groups are properly represented in their preparation
- Working to promote and monitor policies and services that eradicate discriminatory practice, implementing equality and diversity policies

- Ensuring that staff and contacts receive training and awareness about specific needs and responses to particular sectors of Hartlepool's diverse community

Representation Code

- Adopting the principles on community and voluntary sector representation contained within the Protocol agreed between the Hartlepool Partnership and the Hartlepool Community Network (Appendix 3 refers)
- This includes the basic principle of representatives being selected through an open and transparent recruitment process, with accountability mechanisms built in

Volunteering Code

- Adopting the principles contained within the Volunteering Code of Good Practice included within the National Compact (Appendix 4 refers)
- This includes undertakings aimed at influencing behaviour to tackle barriers to volunteering

3.2 The revised Compact has been prepared in draft form only and primarily for consultation purposes. Consequently there are a number of "comment boxes" included within the text where further views will be invited through the consultation process to help finalise the Compact document.

3.3 Beyond the Council itself, it is envisaged that the Compact would also contain a list of other potential signatories (based upon named partners under a duty to co-operate with each other to agree relevant LAA targets) who would also agree to the established Compact principles, including e.g. the PCT, Police, Fire and Rescue authorities. (Appendix 1 of Draft Compact refers)

4. NEXT STEPS

4.1 In order to take forward the development of the revised Hartlepool Compact, and subject to the views and/or additional comments of Cabinet, it is planned to use the preliminary Draft Compact as the basis of further discussion with a range of key stakeholders from the public and voluntary sectors, including the following key milestones to progress the compact from draft to formal adoption:-

- Letter to all elected members updating on progress and inviting any views. Nov. 07
- Letter to named partners, requesting named contact person for the Compact and meetings where appropriate. Nov. 07
- Article in HVDA newsletter promoting the Compact and the proposed consultation process. Nov. 07
- Report and Draft Compact to the LSP (Hartlepool Partnership) Dec.07
- Consultation Event about the Compact, specifically for voluntary groups Jan. 08

- Formal adoption of the Compact by partner/signatories thereafter
(Jan. 08 onward)

5. RECOMMENDATIONS

Cabinet is requested to:-

- (i) approve the Draft Hartlepool Compact as the basis for wider consultation with the Hartlepool voluntary and community sector and other public sector partners
- (ii) agree the provisional time-table and intended approach to wider consultation towards further development of the Draft Compact.

CONTACT OFFICER: Geoff Thompson, Head of Regeneration, Regeneration and Planning Services Department.

Appendices

Appendix A – Consultation Draft: Hartlepool Compact 2007

Appendix 1 – Compact Partners

Appendix 2 - Participation Strategy: Children and Young People

Appendix 3 - Protocol between Hartlepool Partnership and Hartlepool Community Network

Appendix 4 - National Compact: Volunteering Code of Good Practice

Background Papers

Hartlepool Compact January, 2003.

**THIRD DRAFT (ii)
FOR CONSULTATION AND CONSIDERATION BY CABINET**

(This incorporates the views expressed at a meeting on 14th Sept between HBC and HVDA officers, the views of CMT and the Council's Diversity Officer)

HARTLEPOOL COMPACT 2007

FOREWORD (The Mayor?)

In Hartlepool there is a strong tradition of the public, private and community and voluntary sectors working in partnership to improve the environment and economic and social well being of the town.

This Compact sets out the agreed working practices between the voluntary, community and named public sector service providers and recognises the value of services provided by voluntary and community groups in Hartlepool.

This Compact aims to make a difference to our community by helping to deliver, directly and in partnership with others, high quality services which will improve the quality of life of our residents.

COMMENTS

May wish to extend the Compact to include setting out principles to be aspired to when dealing with particular groups of people, for example children and young people, the elderly, minority groups as well as VCS groups who represent these people.

1. PURPOSE OF COMPACT

The Compact is an agreement between Hartlepool Borough Council, local service providers and the voluntary and community sector.

The purpose of the Compact is to set out codes of practice and terms of engagement that organisations will agree to work to and more importantly sign up to. This will ensure that all partners are aware of and can be responsible for the level of engagement expected from them and what they expect from others when working in partnership. This mutual agreement between partners will improve their relationships and benefit the communities within Hartlepool.

2. BACKGROUND

The Voluntary and Community Sector (VCS) is a key partner in the design and delivery of services that communities want.

In recognition of this, in 1998 a national compact was launched which set out an agreement between the Government and the VCS to improve their relationships for mutual advantage.

Such an approach was also encouraged at regional and local levels.

Early in 2003 a framework was developed that set out the shared values, principles and operational guidelines between Hartlepool Borough Council, community groups and voluntary organisations in Hartlepool. This was the town's first local Compact and it included a commitment to extend the approach to encompass other agencies' relationships with the Hartlepool community and voluntary sector.

In 2006 a regional compact was developed aiming to improve partnership working and relationships between regional organisations within the VCS and the public sector in the North East. It provides a basic framework setting out the main principles and commitments that these relationships can be built upon.

One of the recommendations of the Borough Council's Strengthening Communities Best Value Review in 2006 was that the local Compact needed to be strengthened and re-launched. Hartlepool Partnership (the Local Strategic Partnership¹ (LSP)) considered these recommendations in February 2007. In addition, in line with the commitment in the first local Compact, and following the Regional Compact, which encompasses the whole of the public sector, this second local Compact has been developed to include other named partners, and therefore builds on the first Compact.

A full list of all the partners is included in **Appendix 1**.

3. STATUS OF THE COMPACT

This local Compact has been drawn up in partnership following consultation with the VCS, key public sector bodies and local organisations.

It is a written agreement containing a series of codes designed to improve relationships between the VCS and other organisations in Hartlepool (and sets out guidelines on consultation with various sectors of the community could be cross-referenced with Hartlepool Borough Council's Consultation Toolkit).

¹ The Hartlepool Partnership is the town's Local Strategic Partnership (LSP). Working through a Board and a set of Theme Partnerships; it brings together a range of local organisations to give the town a strong, united voice.

It is **not** a -

- Service level agreement
- Contract
- Legally binding document
- Funding guarantee
- Replacement for existing partnership agreements

It is hoped that the Compact will bring real change in culture and produce significant benefits to local communities by helping public agencies and local organisations, both voluntary and statutory, to work more effectively to provide better services.

4. IMPLEMENTATION AND REVIEW

There is need for an ongoing process of review to ensure effective implementation of the Hartlepool Compact, ensuring that it is made to work in practice.

The following arrangements have been made to keep its operation under review:-

It is proposed to set up a Steering Group of representatives from the public sector and local organisations and elected/selected VCS members, meeting regularly to monitor progress and develop annual action plans.

It is also proposed that the annual action plans need to be tied into Hartlepool's Local Area Agreement² Annual Performance Framework and they should be monitored through the Hartlepool Partnership.

5. THE HARTLEPOOL COMPACT CODES

The Hartlepool Compact puts forward a series of Codes which provide the ground rules for good practice. The Codes are for all parties to strive to achieve. They cover the following areas:-

- a. Funding code
- b. Consultation and Policy code.
- c. Children and Young People's code (to be discussed further)
- d. Minority and Small Community Groups code
- e. Code of Practice on Representation
- f. Volunteering Code

² Local Area Agreements (LAAs) are based on local Community Strategies that set out the priorities for a local area agreed between Central Government (represented by the Regional Government Office) and a local area (represented by the local authority and other key partners through the LSP).

a) Funding Code

- i) We will adopt processes that are non-discriminatory to small voluntary and community groups.
- ii) We will recognise the importance of funding core costs and repeat funding.
- iii) We will recognise the benefits of offering multi-year and roll-forward funding, preferably on a 3 year basis where possible, to allow for long-term planning.
- iv) We will adopt an open, transparent and timely funding process and ensure that voluntary, community and local organisations realise the principles of accountability and transparency in all areas of their activities.
- v) We will adopt the practice of written agreements which set out the objectives of funding, the payment arrangements and the monitoring requirements.
- vi) We will seek to allocate resources against clear and consistent criteria, including value for money.
- vii) We will seek to maintain high standards of governance and conduct and meet reporting and accountability obligations to funders and users.
- viii) We will respect and be accountable to the law and in the case of charities, observe the appropriate guidance from the Charity Commission.
- ix) We will seek to assist local groups to be able to compete for work which is being commissioned or contracted, where appropriate.

b) Consultation and Policy Code

- i) We will ensure inclusiveness with partners, and share strategy documents and consultation exercises.
- ii) All our documents will use simple, clear language and will be available in formats to meet the needs of residents.
- iii) We will build early consultation into plans for statutory policy and strategy development, ideally allowing 8 weeks for written consultation, where practicable.
- iv) We recognise the constraints upon, and resource implications for voluntary and community organisations, and will use a variety of consultation methods in order to be as inclusive as possible.

- v) We will make clear the purpose and scope of each consultation and will provide background information and contact details for additional information.
- vi) For each consultation ,information will include details of the timescale, any decisions already made, arrangements for expressing views and clarification on what influence those views will have on any other contributory factors to the final decision making process.
- vii) We will ensure there will be clear feedback setting out reasons for decisions made or the adoption of a specific approach.
- viii) To avoid duplication and consultation fatigue, and to ensure the best use of resources, we will use existing networks and forums to publicise and organise consultation.
- ix) We well seek to ensure respect and confidentiality in relation to the privileged information that may be exchanged, within the constraints of the law and the proper performance of public duties.
- x) We will support the 7 visions of the developing participation strategy to increase the effective involvement and participation of children and young people in shaping the town-wide services available to them across the statutory and non-statutory sectors (see below).

c) Children and Young People's Code

COMMENTS

Rather than have a separate code on children and young people these 7 commitments could be presented as generic as they could also be applied to other people, for example the elderly, the mentally ill, people with learning difficulties etc. etc. If presented in this way could then cross reference this using associated established consultation mechanisms where they are available, such as the Participation Strategy for Children and Young People, then the 7 visions could be put into an "appendix."

In response to the national 'Every Child Matters' agenda Hartlepool Borough Council is developing a Participation Strategy aimed at increasing the effective involvement and participation of children and young people in shaping the town-wide services available to them, across the statutory and non-statutory sectors.

The first stage of the Strategy, as outlined in the Cabinet Report of 25th June 2007, is attached as **Appendix 2**. It includes seven visions for Young People's Participation in Hartlepool, and the Compact adopts these, as follows:

- i) We will ensure our staff and the children and young people that we work with receive training and support on how they can take part to make things better;
 - ii) We will ensure that we inform and involve children and young people in the working of the organisation, including volunteering and work opportunities where appropriate;
 - iii) We will share evidence, knowledge and skills on how we involve, support and praise children and young people;
 - iv) We will identify what money, time and resources there is to support what we do;
 - v) We will make sure there are different ways for our staff, and the children and young people who we work with, to be involved in participation;
 - vi) We will take young people's views seriously about what all children and young people think is important;
 - vii) We will explain and respect the rights and responsibilities of children and young people.
- d) Minority and Small Community Groups' Code
- i) We will actively support the development of voluntary and community groups and related infrastructure organisations, recognising their local knowledge, expertise and perspective.
 - ii) We will share policy documents and best practice, and ensure that diverse community groups³ are properly represented in their preparation.
 - iii) We will include in this category other groups that may experience marginalisation, disadvantage, exclusion or discrimination.
 - iv) We will ensure that we do not discriminate against any voluntary or community group on the basis of faith, race, disability, age or sexual orientation (lesbian, gay and bisexual) and gender (transgender), and will respect the voluntary nature of their work.

³ Diverse community groups refers to Black and Minority Ethnic groups and other minority groups.

- v) We will work to promote and monitor policies and services that eradicate discriminatory practice, implementing equality and diversity policies, and setting objectives and targets as appropriate.
- vi) We will work with advocates and existing support mechanisms to maximise contributions. Named contacts will be identified within the Voluntary Sector and key organisations (?) to deal with issues raised by minority groups, and act as a conduit to access relevant officers and services.
- vii) We will seek to ensure that staff and contacts receive training and awareness as to specific needs and responses to particular sectors of Hartlepool's diverse community.
- viii) We will support existing Diverse Community Groups and will develop others so that people from diverse communities can raise concerns.
- ix) We will encourage involvement and networking between the VCS, diverse people, and small community groups thereby increasing skills and knowledge.

COMMENTS

It has been noted that the Council now has the duty to promote equality and diversity with its partners.
Whilst the points above (particularly iv and v) reflect this, as part of the process of monitoring policies equality targets need to be identified, defined, agreed and worked towards.
Once this Compact framework has been finalised, in consultation with public sector partners and the VCS, as indicated in Section 4 (Implementation and Review), an Annual Action Plan will be prepared and will be used to monitor progress. Targets will be set, and in line with the Council's duty to promote equality and diversity, equality targets could be included in the Annual Action Plan

e) Code of Practice on Representation

A Protocol between the Hartlepool Partnership and the Hartlepool Community Network⁴ was agreed by the Hartlepool Partnership Board on 21 October 2005.

A copy of this full Protocol is attached as **Appendix 3** or can be found on the Hartlepool Partnership Website at [www.hartlepoolpartnership@hartlepool.gov.uk](mailto:partnership@hartlepool.gov.uk) and it includes principles for community and voluntary sector representation on the Hartlepool Partnership.

A basic principle of this Protocol is that where there is a requirement for representation from the VCS representatives will be selected or elected through an open and transparent recruitment process and representatives will be accountable to the VCS.

The Compact adopts this basic principle on representation.

f) Volunteering Code

The National Compact includes a Volunteering Code of Good Practice. A copy of this Code is attached as **Appendix 4** or can be found on the Compact Website at www.thecompact.org.uk. The Code of Good Practice sets out principles and undertakings for both Government and the VCS in England on how to work together to support and promote volunteering and voluntary action. It includes undertakings aimed at influencing behaviour to tackle barriers to volunteering so that more people are able to volunteer and so that volunteering benefits both the individual and the organisation or cause where volunteering takes place. This Code including the principles on volunteering have been adopted into this local Compact.

COMMENTS: May wish to add in local information on the Volunteer Bureau and Millennium volunteers.

COMMENTS: We could break up the Codes with some case studies and examples of best practice, locally.

⁴ Hartlepool Community Network is the town's Community Empowerment Network and is the means by which the community is brought together to influence the work of the Hartlepool Partnership. The aim is to bring the views of the VCS into the development of the decision making process and to encourage wider resident participation in neighbourhood renewal.

6. FURTHER INFORMATION

To include contacts and websites for groups etc. and information on national, regional compacts, LSP, etc.

E.g. further information on the national and regional Compacts is available on the Compact Website at www.thecompact.org.uk

Appendix 1

THE PARTNERS

• Hartlepool Borough Council
• Cleveland Police Authority
• Tees Valley Probation Services
• Hartlepool Youth Offending Team
• Hartlepool Primary Care Trust
• NHS Foundation Trusts (?)
• North Tees and Hartlepool NHS Health Trusts
• Tees Valley Learning and Skills Council
• Jobcentre Plus
• Cleveland Fire Brigade
• The Environment Agency
• One NorthEast
• Sports Council
• Hartlepool New Deal for Communities
• Housing Hartlepool
• Business Link

COMMENTS

This initial list has been based on the new named partners that will be placed under a duty to co-operate with each other to agree relevant targets in the LAA, plus other key local organisations which are partners on the Hartlepool Partnership.

THE VCS

COMMENTS

Need to establish how best to indicate signing up of all VCS partners.

CABINET REPORT**25TH JUNE 2007****Report of:** Director of Children's Services**Subject:** PARTICIPATION STRATEGY

SUMMARY**1. PURPOSE OF REPORT**

To present to Cabinet the first stage of a strategy aimed at increasing the effective involvement and participation of children and young people in shaping the town-wide services available to them, across the statutory and non-statutory sectors. To inform Cabinet of recent developments to increase the active involvement of children and young people. To approve the vision and principles for young people's participation.

2. SUMMARY OF CONTENTS

The report contains background information on the creation and development of the first phase of a town-wide participation strategy, consultation processes undertaken with key stakeholders and the subsequent development of seven vision statements that provide the cornerstones on which this strategy is being developed.

3. RELEVANCE TO CABINET

This report asks Cabinet to endorse the vision statements contained within the report. It is envisaged that all agencies working with children and young people in Hartlepool, across all sectors of provision, will be asked to formally subscribe to making these vision statements a reality and the political support of Cabinet is required to enable the future cooperation of key stakeholders. The strategy has wide ranging implications for the engagement of children and young people across all areas of the Council's work and with a wide range of partners.

4. TYPE OF DECISION

This is a non-key decision.

5. DECISION MAKING ROUTE

Cabinet.

6. DECISION(S) REQUIRED

Cabinet is recommended to:

a) endorse the seven vision statements devised by local children and young people and included in section 4 of this report.

b) champion the rights of children and young people in having a voice in service development, a voice in their communities and a voice in a democratic process.

c) commit to adopting the seven vision statements.

Report of: Director of Children's Services

Subject: PARTICIPATION STRATEGY

1 PURPOSE OF REPORT

The overall purpose of this report is to present to Cabinet the first stage of a strategy aimed at increasing the effective involvement and participation of children and young people in shaping the town-wide services available to them, across the statutory and non-statutory sectors.

This report will inform Cabinet of recent developments to increase the active involvement of children and young people. In so doing, it will highlight methods by which the children and young people of Hartlepool wish to be involved in future service delivery. Cabinet is being asked to approve this vision and encourage all agencies working with children and young people to adopt common principles that will ensure the vision of the children and young people becomes a reality embedded in local practice.

2 BACKGROUND

The vision and objectives of this Participation Strategy have been created by children and young people from Hartlepool. This strategy acknowledges that the best people to inform how local children and young people should be involved are the children and young people themselves. However, the strategy also links to the national, regional and local context.

2.1 National Context

The Government launched a nationwide "*Every Child Matters*" initiative in September 2003 and created five outcomes for all children and young people, that all agencies should work collaboratively to achieve: Be Healthy, Stay Safe, Enjoy and Achieve, Making a Positive Contribution and Economic Well Being. The effective local implementation of this strategy will ensure local children are better placed to achieve the required national outcomes; this is particularly true of the national targets to ensure children and young people make a positive contribution and achieve economic well-being.

As part of the "*Every Child Matters*" agenda, a "*Hear By Right*" toolkit was devised by the National Youth Service Agency. This is a national framework designed to ensure the effective involvement of children and young people. The local participation strategy has been developed in line with the national principles contained within "*Hear By Right*".

2.2 Regional context

The Hartlepool Participation Strategy has also been developed in line with the Regional strategy for *“Involving children and young people in Government Office North East”* launched in 2005. This regional strategy has three key areas of development. These are:

- Building the capacity of agencies to support the effective involvement of children and young people in the design, delivery and evaluation of services;
- Enabling children and young people to influence the development of policies that relate to services that they receive;
- Positively promoting areas of good practice so that other agencies can benefit from local areas of expertise.

This strategy for children and young people in Hartlepool is consistent with the aims and objectives of the regional strategy.

2.3 Local context

The vision, objectives and desired outcomes contained within the Hartlepool Participation Strategy have been developed by children and young people from the town. They have provided a clear steer as to how they wish to be involved in shaping services they will ultimately receive. It is important to recognise that this is intended to be town-wide strategy spanning the statutory, voluntary and community sectors.

The participation strategy includes service development and democratic processes. The vision statements presented as a key element of this strategy will ensure that all organisations that sign up to them will work towards children and young people's voices informing all aspects of their work. These developments will be monitored through a range of standards that partners will work towards. These standards will be developed as the second phase of this strategy.

The participation strategy is a key element of the Children and Young People's Plan and will be monitored by the Children and Young People's Partnership.

3 DEVELOPMENT OF THE STRATEGY

This strategy was developed via the consultation and extensive engagement of key local stakeholders. These processes are described in more detail below.

3.1 The Participation Network

A network of key agencies who work with children and young people including The Children's Fund, Barnardos Hartbeat, Barnardos B76, West

View Project, Café 177, The Youth Service, Child and Adolescent Mental Health Service, HBC Regeneration and Planning, HBC Children's Services, Housing Hartlepool, and the Participation Network was established to ensure the views of children and young people were reflected in the development of the participation strategy. The network agreed the following principles:

- To promote an increased understanding of 'participation' work throughout the town by providing clear definitions, practical advice and working examples of participation work;
- To map and record the range of participation work being undertaken across the town as an ongoing process in order that duplication is avoided, results are shared and that children and young people are protected and supported in the process;
- To support participation and disseminate examples of good practice in participation work being undertaken throughout the town to encourage further developments (for example through shared training, web site, newsletter, Co-ordinated Hartlepool Youth Provision Conference);
- To support the development of a town wide process that ensures that children and young people have the opportunity to have their voices heard with regard to any issue that affects them and facilitates a democratic process that has a local and national impact;
- To provide a link for children and young people into the Hartlepool Children and Young People's Strategic Partnership.

3.2 Hartlepool Young Voices

To assist in the development of this strategy a group of children and young people from a variety of backgrounds were identified by members of the Hartlepool Participation Network and became known as "Hartlepool Young Voices". This group is now well established and as well as having a gender balance it is representative of groups of young people who have traditionally been hard to engage. Hartlepool Young Voices meet weekly and have acted as a hub for other groups of children and young people who are interested in participation. Hartlepool Children's Fund in partnership with Barnardos Hartbeat and other partners from the voluntary and statutory sector have supported Young Voices in developing this strategy.

3.3 Awareness raising amongst children and young people

A number of activities have been undertaken to raise awareness and encourage young people to become engaged. Local examples of this awareness raising include:

- A TFM Radio campaign to promote the increased involvement of local children and young people;
- The development of "Sweet by the Sea" dances that proved so popular with children and young people that they are now held monthly;
- "Question Time" events that have allowed young people to question officers of the local authority on issues of their choosing;
- Involvement in the development of the Children and Young People's Plan;

- School based work with school councils.

3.4 Children's Services Scrutiny Forum

In January 2007 a group of six young people joined the Children's Services Scrutiny Forum to commence a six month pilot of their involvement. These young people have taken a full role in the core business of the forum and this is enabling them to learn more about local democratic processes. The learning process goes both ways and the adults involved in Children's Services Scrutiny Forum are also learning more about the issues that are important to the children and young people of the town. A process of mentoring is soon to be implemented to enhance the mutual learning of all involved.

3.5 United Kingdom Youth Parliament

Through the work of the Youth Service lead on the Hartlepool Youth Parliament project, and with the support of Hartlepool Young Voices and the Participation Network, the numbers of young people involved in the election have increased from under fifty in 2005 to nearly four thousand in 2006. The United Kingdom Youth Parliament elected representative and his local youth parliament members have been actively involved in the development of this participation strategy.

3.6 Corporate Parenting Forum

This strategy also links with the work of the Corporate Parenting Forum. This is a constituted body of the Council that seeks to maximise the potential of children and young people in the care of the local authority by acting in the way a good parent would. This Forum will link with this wider strategy in ensuring that some of the town's most vulnerable children and young people have a voice and can contribute to the configuration of services they receive.

4 SEVEN VISIONS FOR YOUNG PEOPLE'S PARTICIPATION IN HARTLEPOOL

Through the consultation methods highlighted in the previous section, Hartlepool Young Voices have devised the following vision statements that underpin the overall development of this strategy. The vision is that all agencies working with children and young people in Hartlepool will sign up to the following principles:

- **We will ensure our staff and the children and young people that we work with receive training and support on how they can take part to make things better;**
- **We will ensure that we inform and involve children and young people in the working of the organisation, including volunteering and work opportunities where appropriate;**

- **We will share evidence, knowledge and skills on how we involve, support and praise children and young people;**
- **We will identify what money, time and resources there is to support what we do;**
- **We will make sure there are different ways for our staff, and the children and young people who we work with, to be involved in participation;**
- **We will take young people's views seriously about what all children and young people think is important;**
- **We will explain and respect the rights and responsibilities of children and young people.**

5 MAKING THE VISION A REALITY

The implementation of this strategy will be managed through the Children's Fund operational plan that links into the Children's Services planning process to the Children's Services Portfolio Holder. The main actions will include:

Support the development of participation across the borough

Develop a participation strategy for Hartlepool Children's Services.

Ensure the implementation of participation standards as part 2 of the Participation strategy.

Manage the development of the Hartlepool Participation Network

Develop a Making a Positive Contribution Young People's Group to oversee the developments in the Children and Young People's Plan.

6 HOW WILL WE KNOW IF THE STRATEGY IS BEING SUCCESSFUL?

The effective involvement of children and young people is a key outcome of the Every Child Matters framework and the local authority is measured on its ability to ensure that local children and young people make a positive contribution. The lead officer for this work stream will be responsible for monitoring and evaluating the progress being made and for reporting such progress regularly through the Children and Young People's Strategic Partnership and to other interested bodies across the town.

The Hartlepool Participation Network members, and consequently all those who sign up to the vision statements, will be expected to have an action plan for developing their participative processes. These action plans will be

regularly monitored through the Children's Services operational planning process and will provide a wealth of learning with areas of good practice being shared with other stakeholders.

During 2007/08 partners will be supported by the Hartlepool Young Voices Team and the Hartlepool Participation Network in working towards participation standards that will enable them to show clearly the progress they have made.

The effective monitoring and evaluation of the above action plan will allow the local authority to gauge the effectiveness of this strategy and this will be undertaken via the existing mechanisms for monitoring and managing departmental performance.

7 RESOURCE IMPLICATIONS

There may be future resource implications in implementing the vision contained within this strategy. Professional leadership of the participation strategy lies within the Children's Services Department as part of the overall duties of a Senior Children's Services Officer in the Planning and Service Integration division. The current post holder has responsibilities for the Making a Positive Contribution outcome. This will ensure that participation is maintained as a priority for the Borough Council so there are no specific resource implications in taking forward this strategy.

Further information on future funding streams (post 2008) is awaited and some funding may be allocated from the preventative agenda to support increased participation as detailed in this strategy. However, each department of the council and key partner agencies in the town will need to consider how they will support the increased participation for children and young people in their work as they subscribe to the visions inherent within this strategy.

8. RISK IMPLICATIONS

This strategy has been developed in the belief that the best people to design and plan local services to children and young people in Hartlepool, are children and young people from Hartlepool. As such, failure to engage with this group could increase the risk that local services would be under-developed, inappropriately targetted and configured without the needs of the service-user at the forefront.

There is also a risk that by increasing the overall participation of children and young people that key stakeholders begin to receive feedback that challenges established methods of delivery. This can be mitigated by working with stakeholders to help them manage the change processes stemming from the implementation of this strategy.

There is also a need to manage the risks to children and young people themselves. There is a need to guard against any form of tokenistic participation. The children and young people also need to be aware that although their opinions are always welcomed, they may not always result in action and change. It will not always be possible to implement all suggestions made by the increased participation of children and young people. Work is ongoing with the Hartlepool Young Voices group to balance this risk.

In order that there is a safe development of the participation strategy, organisations will need to ensure that appropriate staff undergo enhanced Criminal Record Bureau checks.

9 STAFF CONSIDERATIONS

In order that the vision statements become reality a training and support programme will be put into place. This training could become an integral part of the “Be the Difference” programme and would be funded where possible by the Children’s Fund Partnership. Other training opportunities will be made available to stakeholders across the Borough. The longer term funding implications of this training will need to be evaluated at a later stage when demand can be better quantified; the prospect of partner agencies paying to cover their own future training costs may need to be debated further if other funding streams are unavailable.

10 DIVERSITY AND EQUALITY

This is an inclusive strategy to enable the effective participation and involvement of all children and young people in Hartlepool. The production of this strategy has resulted in the engagement of groups of children and young people who have proven difficult to involve in the past. This includes children and young people from black and minority ethnic backgrounds, children and young people with learning disabilities and children and young people looked after by the local authority.

11 RECOMMENDATIONS

Cabinet is recommended to:

- a) endorse the seven vision statements devised by local children and young people and included in section 4 of this report;
- b) champion the rights of children and young people in having a voice in service development, a voice in their communities and a voice in a democratic process; and
- c) commit to adopting the seven vision statements.

12 REASONS FOR RECOMMENDATIONS

By endorsing the vision statements Cabinet will provide a local mandate that can be used to re-inforce the views of children and young people. This mandate will be essential in encouraging all key partner agencies working with children and young people to sign up to make the vision statements a reality.

13 BACKGROUND PAPERS

Constitution Committee Report – 10 November 2006
Hear by Right

14 CONTACT OFFICER

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A protocol between the Hartlepool Partnership and the Hartlepool Community Empowerment Network.

Agreed by Hartlepool Partnership Board
21 October 2005

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1.0 Purpose and Context

This protocol sets out the relationship between the Hartlepool Partnership and the Hartlepool Community Network. It provides a framework to strengthen working relationships between the two partners to secure quality community and voluntary sector involvement in the Hartlepool Partnership. The protocol sets out how the Community Network can contribute to the work of the Hartlepool Partnership and how the Hartlepool Partnership and its associated Theme Partnerships can support the Community Network.

1.1 The Hartlepool Partnership

The Hartlepool Partnership is the town's Local Strategic Partnership (LSP). Working through a Board and a set of Theme Partnerships, it brings together a range of local organisations to give the town a strong united voice.

The Partnership has prepared a strategy that sets the planning framework for all services in the town called the Community Strategy. It sets out a long-term vision and the aims and objectives that are to be achieved to improve the well-being of the town. It also promotes local people's involvement in the planning of services and improving the area where they live.

The purpose of the Hartlepool Partnership as a whole is to realise the Community Strategy vision:

Vision

Hartlepool will be a prosperous, caring, confident and outward looking community, in an attractive environment, realising its potential.

Hartlepool Borough Council supports the provision of a Partnership Support Team to coordinate the day to day business of the Partnership and oversee the preparation and smooth running of meetings.

Contacting the Partnership Support Team

The Partnership Support Team can be contacted at:

Hartlepool Partnership
Bryan Hanson House
Hanson Square
Hartlepool
TS24 7 BT

Tel. 01429 284147

Fax. 01429 523536

Email hartlepoolpartnership@hartlepool.gov.uk

Web www.hartlepoolpartnership.co.uk

The Hartlepool Partnership supports the work of the Community Network by:

- Providing opportunities for elected representatives of the Network to be members of the Partnership Board and Theme Partnerships
- Holding regular meetings between the Partnership Support Team and Network staff to discuss future plans

1.2 The Hartlepool Community Network

The Hartlepool Community Network is the town's Community Empowerment Network and is the means by which the community is brought together to influence the work of the Hartlepool Partnership. The network's structure operates as a network of voluntary/community and residents groups which enables it to contribute in a way that adds value to the Hartlepool Partnership. The aim here is to bring the voluntary/community sector's views into the development of the decision making process and to encourage wider resident participation in neighbourhood renewal.

Hartlepool Voluntary Development Agency is the accountable body for the development of the Community Network in Hartlepool. The Community Network employs three Community Network officers to support the development of the Network

Contacting the Community Network

The Hartlepool Community Network can be contacted at:

Hartlepool Community Network
C/o Rockhaven,
36 Victoria Road
Hartlepool
TS26 8DD

Tel. 01429 262641

Fax. 01429 265056

Email communitynetwork@hvda.co.uk

Web. www.hvda.org.uk

The Community Network supports the work of the Hartlepool Partnership by:

- Providing a mechanism for the community and voluntary sector to be involved in the work of the Hartlepool Partnership
- Electing representatives to the Hartlepool Partnership and its associated Theme Partnerships
- Supporting elected representatives including providing a range of training opportunities
- Acting as or providing facilitators for neighbourhood meetings or work with specialist groups
- Commissioning research when the views of particular groups are sought through independently commissioned research which would be agreed with the relevant partnership

2.0 Community and voluntary sector representation on the Hartlepool Partnership

2.1 The general role of Partnership members

The Hartlepool Partnership Terms of Reference identify the general role of all partnership members to be:

The General role of Partnership Members

The general role of all members of the Partnership will be to take a town wide perspective and to develop consensus in the best interests of the town as a whole. Members will bring their own perspectives and also represent their own organisation, interest group or area, and will be recognised for their valuable contribution bringing ideas, knowledge and expertise to the process.

All members of the Partnership shall be committed to applying the principles established in the Hartlepool Community Strategy:

Principles

- | | |
|-------------------------------|---|
| • Accountability | • Maximise Opportunity |
| • Community Involvement | • Maximise Resources |
| • Co-ordination | • Partnership |
| • Equality & Social Inclusion | • Sustainability |
| • Integrity | • Quality Services & Continuous Improvement |

As flexibility and continuity are essential to partnership working, each member of the Hartlepool Partnership Board may identify a named substitute in a register held by the Partnership Support Team who may attend on their behalf when necessary. Substitutes should be suitable senior representatives who are able to speak on behalf of their organisation or constituency.

2.2 Declarations of interest

Decisions of the Hartlepool Partnership Board must be taken and be seen to be taken in the interests of the well-being of Hartlepool. Members shall record on a register any personal interest, which they believe could come into conflict with their responsibilities as a member of the Board or Theme Partnership. This could include business or financial interests, employment, membership of any organisation which may be affected by a decision and ownership of property. The declaration of interests records will be kept by the Partnership Support Team at Bryan Hanson House as public documents.

2.3 Opportunities for Community Network representatives on the Hartlepool Partnership Board

There are six places for Community Network representation on the Hartlepool Partnership Board. These *Community of Interest* representatives seek to represent specific sections of society whose voice is sometimes not heard or recognised. The Community Network had decided that the term of office for Community Network representatives would normally be two years.

Community of interest Representatives

Minority Ethnic Community	A representative elected via the Community Network
Older People	A representative elected via the Community Network in collaboration with the 50+ forum
Lifestyle and Recreation	A representative elected via the Community Network in collaboration with the Culture and Leisure Partnership
Disability, Health and Care	A representative elected via the Community Network
Young People 11-17	A representative elected via the Community Network
Young People 18-25	A representative elected via the Community Network

2.4 Opportunities for Community Network representatives on the Hartlepool Partnership's Theme Partnerships

The Community Network will be represented on all key Theme Partnerships and representatives will be elected by the Network. It is not appropriate for the Hartlepool Partnership to specify the exact level of Community Network representatives on Theme Partnerships. It is the Community Network's aspiration that this representation is not less than 25%

Community Network representation on Theme Partnerships

Hartlepool Economic Forum	4 representatives elected via the Community Network
Lifelong Learning Partnership	1 representative elected via the Community Network
Safer Hartlepool Partnership	6 representatives elected via the Community Network
Health and Care Strategy Group	2 representatives elected via the Community Network
Environment Partnership	3 representatives elected via the Community Network
Housing Partnership	3 representatives elected via the Community Network
Culture and Leisure Partnership	4 representatives elected via the Community Network

2.5 Opportunities for Community Network involvement in sub groups

When sub-groups of the Hartlepool Partnership Board and Theme Partnerships are established it is expected that consideration is given to representation from the Community Network, together with that from the wider community and voluntary sector, including service users. The membership of the subgroup should be agreed by the Board/Theme Partnership and should be balanced and appropriate.

In the particular event that the Hartlepool Partnership Board recommends that a sub group is set up with the sole purpose of disbursing funding that has been allocated directly to the LSP (e.g. NRF), discussions with the Community Network will take place in relation to representation and it is anticipated that representation from the Community Network should not normally be less than 25%.

2.6 Election process for Community Network representatives

The Community Network has agreed that the election of its representatives on the Hartlepool Partnership Board and its Theme Partnerships should take place according to the following guidelines.

Election process

- All representatives will be elected at an open meeting which will be externally advertised with nominations to be made prior to the meeting
- For the election of a single position, and where there are only two candidates the election will be by *first past the post*. Where there are more than two candidates and not one candidate has received more than 50% of the votes cast, a further election will take place with the top two candidates remaining in the ballot and the other candidates being eliminated
- Where the election is for several positions elected *en bloc* e.g. for three places, then those voting will be entitled to three votes of equal value, those who come first second and third in terms of the number of votes received will be deemed elected
- Elections will also take place to appoint substitute reps for Community Network representatives, ideally at the same meeting. However, where there are a number of representatives elected to a particular partnership only one substitute will be appointed for the block

2.7 Responsibilities of Community Network representatives on the Hartlepool Partnership Board and Theme Partnerships

The Community Network has agreed terms of reference and responsibilities for its representatives on the Hartlepool Partnership Board and Theme Partnerships. These are shown in the box below:

Terms of reference and responsibility of Community Network representatives

1. RESPONSIBILITIES

- To attend meetings at the relevant partnership
- To be contactable as being a representative of their particular area of interest or neighbourhood. (This may be as an individual or/either through the Community Network or their themed group or partnership)
- To attend Community Network meetings
- To attend meetings of the Community Network on a quarterly basis and give an account of their contribution to their respective partnership and feed issues identified by the Community Network to their themed group or partnership
- To attend any specific meetings outlined as the responsibility of the representative in relation to the work of the specific partnership
- At the end of the term of office for each representatives on a partnership, records of attendance at partnership meetings will be kept and made available to the election meeting should the said representative be seeking re-election. Attendance at feedback sessions at Community Network meetings will also be examined
- This information on levels of attendance can be requested at any time by the Community Network
- All candidates must be willing to sign up and agree to the roles and responsibilities outlined
- To be willing to participate in training activities
- In instances where representatives are unable to attend a feedback meeting of the Community Network, a copy of the feedback proforma should be completed in advance of the meeting and returned to a member of the Community Network staff team (who will feed back in their absence)

2. ELIGIBILITY

- Those nominated should be actively involved in a voluntary group in Hartlepool or be a resident of Hartlepool
- Elected members of the Council, other than those who have attended four Community Network Meetings in the last two years will be ineligible
- Officers of all public sector organisations at a comparable salary level to spine point 44 of the National Joint Council Pay Column, (£32,127 at December 2004) and above will be ineligible. Officers employed in the public sector whose role it is to support voluntary/community groups and fora shall also be ineligible

3. TERM OF OFFICE

- Representatives shall be elected for the period of two years after which a further election shall take place
- Any current post holder shall be eligible to stand for re-election

In the event of non-attendance at three consecutive meetings of the partnership, even where apologies have been tendered, then the partnership shall be able to declare a vacancy. If such an action is taken then a new nomination and election process shall take place.

2.8 Other routes for community and voluntary sector involvement in the Hartlepool Partnership

Not all representatives on the Hartlepool Partnership are elected by the Community Network. Residents are elected to the Hartlepool Partnership Board through the council's Neighbourhood Consultative Forums and additional *community of interest* representatives are drawn from local partnerships.

Wider involvement in the Hartlepool Partnership Board

Resident representatives

3 Neighbourhood Consultative Forum representatives	Resident representatives elected as the vice chairs of the north, central and south, Neighbourhood Consultative Forums from a meeting of the respective Neighbourhood Consultative Forum
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Community of interest representatives

Faith Communities	A representative chosen by Hartlepool Churches Together
Umbrella Voluntary Sector organisation	A representative from an organisation that provides general support for the development of the voluntary and community sector across the town. This place should be occupied by the accountable body for the Hartlepool Community Network

This wider participation is replicated at a Theme Partnership level with service users and service providers drawn from the community and voluntary sector alongside public and private sector service providers.

2.9 Roles and responsibilities of non-Community Network representatives on the Hartlepool Partnership Board and Theme Partnerships

All community and voluntary sector representatives should work to agreed roles and responsibilities that are determined through negotiation between the relevant partnership and constituency (i.e. the group that elected them). It is expected that these roles and responsibilities would cover:

- Eligibility criteria for representatives
- How representatives are elected
- Brief description of role, to include term of office and how representatives liaise with their respective constituencies
- Training and development opportunities

3.0 Consultation Activity

3.1 Hartlepool Partnership Board Consultation Activity

The Hartlepool Partnership is committed to promoting local people's involvement in the planning of services and improving the area where they live. In further developing its key strategies namely the Community Strategy and the Neighbourhood Renewal Strategy, the Partnership will strive to meet the standards set out in the COMPACT's code of practice on communication and consultation.

CODE OF PRACTICE FOR COMMUNICATION AND CONSULTATION

1.0 Purpose

- 1.1 As a prerequisite to engaging the community and strengthening partnership working there is a need for effective communication and consultation to achieve an understanding of each others perspectives and also to ensure that there are opportunities to collect the widest of views to inform strategies and actions
- 1.2 The aim of the active participation will be to build democratic consent, offer legitimacy to action and assists greatly in the implementation of decision making
- 1.3 This code seeks to set out and develop good practice with a commitment between Hartlepool Partnership and the wider community of Hartlepool to ensure effective systems and mechanisms for regular exchanges of information and views. The aim always being to encourage the fullest participation taking account of the need of minority groups, e.g. black and ethnic communities

2.0 Undertakings

- 2.1 As a key principle both the Hartlepool Partnership and the Hartlepool Community Network agree that:

- 2.2 Consultation should be undertaken in advance of any national/regional or local development of policy particularly when initiating new services or activities especially when there may be some impact on the other party
- 2.3 There should be a variety of consultation mechanisms but all exercises will be inclusive with every effort to encourage the participation of the widest relevant stakeholders identified through use of shared contacts
- 2.4 Consideration should be given to the development and publication of a forward plan or forecast of consultation exercises to enable those interested to be aware, participate and organise appropriate responses
- 2.5 The exercise will be clear and advise on the remit and scope of consultation activities including the provision of background information and contact details for those wanting additional detail, explanation or with queries
- 2.6 Information should include details of time scale, any decisions already made, arrangements for submissions and clarification for those consulted on what influence they may or may not have and any other contributory factors to the final decision making
- 2.7 There will be use of a comprehensive range of verbal and written exercises to ensure that views can be collected from all sectors and communities as appropriate
- 2.8 Once consultation is complete there should be clear and honest feedback to strengthen the credibility of the exercise setting out reasons for decisions made or the adoption of a specific approach. If there is a longer term or ongoing process there should be regular updates
- 2.9 Where possible joint consultation will be encouraged between officers and agencies to accept shared responsibilities and begin to work on creative solutions to problems whilst breaking down traditional professional barriers
- 2.10 To avoid duplication, consultation fatigue and ensure best use of resources, existing networks and fora will be utilised to disseminate and organise consultation thereby maximising the benefits
- 2.11 There will be respect and confidentiality in relation to privileged information that may be exchanged
- 3.0 **Standards**
- 3.1 Information should be of good quality and timely to allow individuals sufficient time to gain access and understanding

- | | |
|-----|--|
| 3.2 | Notwithstanding external pressures there should be a minimum period of 8 weeks for responses to allow the Community Network to consult with its constituent parts and particularly engage smaller community or minority groups |
| 3.3 | In practical terms meetings - will be held at suitable times, in accessible places with associated support to maximise attendance and participation |
| 3.4 | When communicating in written form all efforts will be made to ensure documents and literature are written in plain language that will be understood by the intended audience, is concise, clearly laid out and without jargon |
| 3.5 | All efforts will be made to see that documents are clear about the purpose, and available in an accessible format having regard to specific needs (i.e. large print, Braille, translations in different languages) |
| 3.6 | Consideration will be given to the widest use of formats including use of IT, the Internet, use of current networks and Forums, as well as use of focus groups, one to one activity and community planning exercises |

3.2 Partners' Consultation Activity

Individual organisations and partners that come together in the Hartlepool Partnership develop policy and initiate new services in their own right, the Community Network can facilitate involvement in consultation processes by organising specific theme, issue or neighbourhood meetings as appropriate. These meetings could take place early on when initial proposals or strategies are being developed to provide an opportunity to involve all interested individuals.

4.0 Hartlepool Partnership Board administrative arrangements

The Partnership Support Team is responsible for coordinating meetings of the Partnership Board, preparing agendas and distributing papers. Meetings are usually held every 6-8 weeks.

4.1 How agendas for Board meetings are set

Items for the agenda should be communicated to the Partnership Support Team at least three weeks before the meeting. An Agenda Item Request Form will then be forwarded for completion and return – on receipt, an agenda slot will be confirmed.

The Partnership Support Team should receive reports and any appendices electronically at least 2 weeks before the meeting. Reports received after this deadline are not guaranteed to be included on the agenda. Reports should be in the standard Hartlepool Partnership format – a template is available from the partnership support team.

Reports are presented on the agenda in three categories:

- Principal item for debate
- Items for decision
- Items for information

There will usually be only one Principal item for debate or presentation on each agenda; presentations should be kept concise allowing time for debate.

It is expected that reports brought before the Board will have been discussed at and referred by an appropriate Theme Partnership or sub-group. There is also the flexibility for individual partners or Community Network representatives to present reports to the board in their own right.

4.2 How papers for Board meetings are distributed

Papers for Hartlepool Partnership Board meetings will be made available by the Partnership Support Team at least a week before the meeting. Board members will be able to choose to receive their papers electronically or paper copies via the post. Copies of papers for meetings will also be placed on the Partnership's website www.hartlepoolpartnership.co.uk

5.0 Mediation

5.1 Managing conflict

If members of the Hartlepool Partnership Board, a Theme Partnership or the Community Network consider there has been a failure to agree the implementation or interpretation of elements outlined in this protocol a meeting to discuss the area of conflict between parties should be held. If this then fails to resolve the issue a mediator, acceptable to both parties will lead the process of reconciliation. This role could be played by the Chief Executive of Hartlepool Borough Council, a representative from Government Office for the North East (GONE) or an independent mediator.

6.0 Measuring progress

6.1 The Hartlepool Partnership Performance Management Framework

The Hartlepool Partnership has in place a performance management framework. Section 2 of the framework reviews progress in partnership working and contains a section examining how inclusive the Partnership is. The Hartlepool Partnership Board and Theme Partnership should consider progress in implementing this protocol annually when reviewing partnership delivery.

6.2 The Community Network Performance Management Framework

Each year the Hartlepool Community Network is required to form a view concerning how the Community Network has been involved in the decision

making of the Hartlepool Partnership. The Neighbourhood Renewal Unit has set a number of standards relating to LSPs. These are:

- That there is a sufficiently influential level and range of Voluntary/Community Sector representation on the Hartlepool Partnership, Thematic Partnerships and sub groups
- That there is an agreed protocol covering working arrangements between the Hartlepool Community Network and Hartlepool Partnership
- That Hartlepool Partnership decision-making processes have included the Voluntary Community Sector representatives in a way that has enabled them to contribute and have a real influence
- That Hartlepool Community Network representatives are fully involved in the LSP Performance Management Framework on an annual basis

6.3 Sharing performance management information

Annual performance management returns to Government Office by both the Hartlepool Partnership and the Community Network will be submitted to the Hartlepool Partnership Board for information in advance of submission.



Volunteering

Volunteering Volunteering Volunteering
a code of good practice a code of good practice
a code of good practice a code of good practice

Volunteering
Compact Code of Good Practice

The Compact

The Compact is the agreement between the Government and the voluntary and community sector to improve their relationship for the benefit of each other and the communities they serve. It was published in 1998.

The Compact sets out:

- a shared vision and principles;
- undertakings from both sides;
- Government's commitment to respect the independence of the sector; and
- systems to help make sure that the agreement works.

The Compact has been supported by five codes of good practice, covering:

- funding and procurement;
- consultation and policy appraisal;
- volunteering;
- black and minority ethnic (BME) voluntary and community organisations; and
- community groups.

Local Compacts have been agreed in most areas to cover relations between local councils and other local public bodies and the voluntary and community sector. The national codes of good practice inform local codes.

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Summary of undertakings

Government and the voluntary and community sector undertake to:

- Work together to expand the public perception of volunteering by improving the profile, status and range of volunteer activity;
- Work to effectively tackle discrimination to ensure that volunteering is open to all;
- Adopt clear policies regarding the payment of volunteer expenses;
- Make visible the value of volunteers' contributions, for example in publications;
- Ensure that arrangements made for volunteers do not unfairly exclude particular groups from volunteering;
- Recognise that voluntary activity should not be seen as a substitute for paid work;
- Work together to create and maintain a modern and dynamic volunteering infrastructure.

Government undertakes to:

- Consult the sector so that proposed legislation or regulation, guidance and policies take account of the ways they may affect volunteers and volunteering activities;
- Work to actively reduce barriers to volunteering resulting from existing legislation, regulation and policies;
- Recognise that it is legitimate for voluntary and community organisations to include the costs of enabling greater access to volunteering in relevant applications for funding;
- Recognise that organisations that make up volunteering infrastructure are independent voluntary sector bodies;
- Adopt policies to help ensure that specialist volunteering infrastructure can develop realistic sustainable long term funding.

The voluntary and community sector undertakes to:

- Promote volunteering opportunities including looking at how volunteers are recruited to ensure equal opportunities to volunteer;
- Include reasonable costs for reducing barriers to volunteering in relevant funding bids;
- Ensure that they have both the time and resources to support and train volunteers;
- Encourage the involvement of volunteers in ongoing decision-making and include them in internal communications;
- Identify a named person within their organisations to be responsible for volunteer involvement, and for monitoring and reporting on it. Also identify a trustee board champion for volunteering.

1. Introduction

What is the Volunteering Code of Good Practice?

- 1.1** This Code of Good Practice sets out principles and undertakings for both Government and the voluntary and community sector in England on how to work together to support and promote volunteering and voluntary action.
- 1.2** It includes undertakings aimed at influencing behaviour to tackle barriers to volunteering so that more people are able to volunteer and so that volunteering benefits both the individual and the organisation or cause where that volunteering takes place
- 1.3** This Code offers good practice guidance, but in itself is not a best practice guide for the management of volunteers. Appendix B – Signposting offers further broad guidance on volunteering.
- 1.4** Each section in this Code outlines a key topic that covers volunteering, and provides undertakings for Government and voluntary and community organisations to help improve volunteering and resolve potential problems.

Who is the Code of Good Practice for?

- 1.5** The Code applies to central Government departments, including Government Offices for the regions, 'Next Steps' Executive Agencies in England and Non-Departmental Public Bodies. The Code also applies to the range of organisations in the voluntary and community sector. Separate Compacts have been developed in other parts of the United Kingdom.

How does the Code of Good Practice complement the Compact?

- 1.6** This Code of Good Practice is one of five codes complementing the Compact. The others cover funding and procurement, consultation and policy appraisal, black and minority ethnic voluntary and community organisations and community groups. This Code should inform the development and implementation of Local Compacts and local volunteering codes.

2. Understanding Volunteering

- 2.1** Volunteering is an important expression of citizenship and fundamental to democracy. It is the commitment of time and energy for the benefit of society and the community, and can take many forms. It is freely undertaken and not for financial gain. The principle of non-payment of volunteers is central to this Code and to the wider sector and society's understanding of volunteering.
- 2.2** We understand the term volunteering to include formal activity undertaken through public, private and voluntary organisations as well as informal community participation and campaigning. For the purpose of this Code, volunteering is defined as an activity that involves spending time, unpaid, doing something that aims to benefit the environment or individuals or groups other than (or in addition to) close relatives.
- 2.3** People volunteer for many different reasons. They may choose to volunteer to develop skills or gain experience, to socialise or to give something back to society. They may also volunteer because they feel a moral duty or compelling reasons to take part in voluntary action or support a particular cause. The key element is that it is freely undertaken.

Principles of Volunteering

The Compact recognises four principles fundamental to volunteering. These are Choice, Diversity, Mutual Benefit and Recognition. These inform every aspect of this Code.

Choice:

Volunteering must be a choice freely made by each individual. Freedom to volunteer implies freedom not to become involved.

Diversity:

Volunteering should be open to all, no matter what their background, race, colour, nationality, religion, ethnic or national origins, age, gender, marital status, sexual orientation or disability.

Mutual Benefit:

Volunteers offer their contribution and skills unwaged but should benefit in other ways in return for their contribution. Giving time voluntarily must be recognised as establishing a reciprocal relationship in which the volunteer also benefits and feels that his or her contribution is personally fulfilling.

Recognition:

Explicit recognition that valuing the contribution of volunteers is fundamental to a fair relationship between volunteers, voluntary and community organisations and Government. This includes recognising the contribution to the organisation, the community, the social economy and wider social objectives.

3. The Importance and Scope of Volunteering

What is this section about?

- 3.1** Because volunteers are active in all areas of life, all decision-makers need to be aware of ways that their actions and decisions may affect volunteering and voluntary activity. Government can play a vital strategic role by supporting and enabling volunteering and community activity.
- 3.2** Volunteering is a powerful force for change, both for those who volunteer and for the wider community. Volunteers offer support, expertise and innovation to any organisation, enhancing impact and adding value.
- 3.3** Though not an exhaustive list, volunteering can include:
- Helping provide a service as a volunteer within a voluntary or community organisation, or the public sector;
 - Community activism, campaigning and action to change society or identify and tackle unmet needs;
 - Befriending and mentoring;
 - Organising sports and physical recreation;
 - Taking part in running a voluntary or community organisation as a trustee or member of a board or committee;
 - Serving as a non-executive member of a public body or participating in civic governance, for instance serving as a school governor or a community representative;
 - Leading a voluntary initiative, usually as part of a voluntary organisation or community group, to improve the quality of life for people in a neighbourhood or community of interest;
 - Group activity, within a neighbourhood or community of interest, providing a community service, or campaigning for a public cause;
 - Helping develop public policy through involvement in consultation processes and campaigning;
 - Volunteering overseas;
 - Helping raise funds for an organisation.

What is the undertaking?

- 3.4** The Government and voluntary and community sector agree that there should be a greater understanding about the scope of volunteering and for there to be increased publicity about the achievements of volunteers. They agree to work together to expand the public perception of volunteering by improving the profile, status and range of volunteer activity, enabling volunteering and community activity.

4. Overcoming Barriers to Volunteering

What is this section about?

- 4.1** There can be significant barriers that stop people from volunteering. Government and the voluntary and community sector will challenge barriers to volunteering through their policy and practice.
- 4.2** Barriers to volunteering can be due to a variety of causes. They may include physical barriers, attitudes and behaviour by individuals, or access to opportunities in society. Examples include opportunities to volunteer being located far from where potential volunteers live or where transport is poor, the cost to the individual of volunteering or the institutional behaviour and culture of organisations themselves.

What are the undertakings?

- 4.3** Government and the voluntary and community sector will:
- Adopt clear policies regarding the payment of volunteer expenses. Volunteers should not be out-of-pocket because of their voluntary activity. Volunteers are entitled to reimbursement of all reasonable expenses and volunteers should be encouraged to claim;
 - Recognise that volunteering is freely given but not cost free. Resources, support, development and promotion for volunteers may incur costs;
 - Work to effectively tackle discrimination to ensure that volunteering is open to all;
 - Commit to free England wide access to criminal record bureau checks for volunteers.
- 4.4** Government will:
- Take forward 'joined-up thinking' across Government departments and agencies;
 - Consult the sector so that proposed legislation or regulation, guidance and policies take account of the ways they may affect volunteers and volunteering activities;
 - Work to actively reduce barriers to volunteering resulting from existing legislation, regulation and policies;
 - Recognise that it is legitimate for voluntary and community organisations to include the costs of enabling greater access to volunteering (eg removing physical barriers) in relevant applications for funding.
- 4.5** The voluntary and community sector will:

- Challenge volunteer-involving organisations to offer opportunities that match volunteers' motivation and abilities and that are diverse and inclusive;
- Work to put in place equalities schemes or other means to effectively remove unfair discrimination;
- Promote volunteering opportunities, including looking at how volunteers are recruited, to ensure equal opportunities to volunteer;
- Include reasonable costs for reducing barriers to volunteering in relevant funding bids.

5. Valuing Volunteer Contributions

What is this section about?

- 5.1** The contribution of volunteers and voluntary activity can often go unacknowledged. Volunteers make significant contributions to society. Volunteering is more than performing a service. Volunteers can spot and articulate unmet needs and emerging issues, and they campaign as activists. Their contribution should be measured, recognised and celebrated.
- 5.2** Government and the voluntary and community sector will develop policies that ensure that volunteer time is recognised as a significant contribution and of value. Volunteers contribute to the economic output of a country. They also bring added value through diversity, increase local accountability and help to build strong cohesive communities.

What are the undertakings?

- 5.3** In supporting the Code, Government and the voluntary and community sector will:
- Develop, promote and celebrate volunteering as an expression of both active citizenship and the basic human rights of freedom to assemble and associate;
 - Keep good data on volunteering;
 - Assess how volunteering can contribute to achieving Government policy objectives;
 - Make visible the value of volunteers' contributions, for example in publications;
 - Tell volunteers how their volunteering has benefited the organisation or group they are volunteering for;
 - Demonstrate that the contribution of volunteers is recognised as having more than economic value;
 - Acknowledge that volunteering can help tackle social exclusion. Individuals can improve their skills and employability and can show that they have a contribution to make to society. It can also bring people together from different backgrounds and contribute towards more cohesive communities;
 - Recognise and be clear that volunteers need support, management and other resources to work effectively;
 - Involve volunteers when developing new policies and ideas;
 - Ensure that arrangements made for volunteers do not unfairly exclude particular groups from volunteering, for example the timing and accessibility of activities.

6. The Volunteering Experience

What is this section about?

- 6.1** The relationship volunteers have with a volunteer-involving organisation is distinct from that of an employee. Government and the voluntary and community sector will ensure that they will work together to promote policies which recognise differences in volunteers' motivation and contribution, in the relationship they develop with a volunteer-involving organisation and in the need for this to be understood and reflected in the way they are managed.
- 6.2** Volunteers, while not paid staff, should have many of the same entitlements as employees – clarity about their roles and responsibilities, induction, managerial supervision and support, and relevant training and development opportunities. They are also subject to the same obligation to abide by, and be subject to, the organisation's agreements, policies and procedures. Quality of volunteering can enhance impact and add value broadly and should be supported to benefit volunteers and the place where they volunteer.

What are the undertakings?

- 6.3** Government and the voluntary and community sector will work together to encourage clarity, consensus and consistency about the appropriate roles for volunteers. They will:
- Acknowledge the distinctiveness of volunteering. Government and the voluntary and community sector recognise that voluntary activity should never be a substitute for paid work;
 - Challenge volunteer-involving organisations to examine their overall purpose, values and objectives, particularly focusing on how involving volunteers might relate to the purpose, values and objectives of the organisation.
- 6.4** The voluntary and community sector undertakes to:
- Encourage volunteer-involving organisations to ensure that they have both the time and resources to support and train volunteers and can provide something that will make volunteering with that organisation a valuable experience for the volunteer – for example increasing skills and confidence as well as supporting finding ways back to work;
 - Encourage the involvement of volunteers in ongoing decision-making and include them in internal communications, so that volunteers are acknowledged as important partners and stakeholders in the organisation where they volunteer;
 - Identify a named person in organisations or groups to be responsible for volunteer involvement, and for monitoring and reporting on it. Also identify a trustee board champion for volunteering.

7. The Volunteering Infrastructure

What is this section about?

- 7.1** The volunteering infrastructure is the physical facilities, structures, systems, relationships, people, knowledge and skills that exist to support and develop, co-ordinate, represent and promote front-line organisations to help them to deliver their aims more effectively. Organisations that make up volunteering infrastructure include volunteer centres.
- 7.2** The volunteering infrastructure has a unique role in supporting volunteers and the organisations where they volunteer, as well as delivering volunteering initiatives and programmes.
- 7.3** Both the Government and the voluntary and community sector agree that public funding should be invested in creating and maintaining a modern, dynamic volunteering infrastructure.

What are the undertakings?

- 7.4** Government undertakes to:
 - Recognise the volunteering infrastructure as independent voluntary sector bodies;
 - Adopt policies to help ensure that specialist volunteering infrastructure can develop realistic sustainable long term funding.
- 7.5** Government and the voluntary and community sector will work together to create and maintain a modern and dynamic volunteering infrastructure.

Volunteering Infrastructure

At national and regional level, a range of umbrella organisations deliver different aspects of the volunteer development function. At a local level there should be at least one specialist volunteer development agency delivering the volunteer development functions. That agency should work with other agencies locally to develop volunteering. The volunteer development functions will be delivered from different perspectives at a local, regional and national level but in complementary ways to include:

Brokerage

The volunteering infrastructure will hold information on volunteering opportunities. It will offer potential volunteers accessible support and advice in matching their motivations to volunteer with appropriate volunteering opportunities.

Marketing Volunteering

The volunteering infrastructure will aim to stimulate and encourage interest in voluntary and community activity. It will market and promote volunteering through local, regional and national events and campaigns.

Good Practice Development

The volunteering infrastructure will have a commitment to promoting good practice in working with volunteers to all volunteer-involving organisations, and will actively support and maintain this.

Developing Volunteer Opportunities

The volunteering infrastructure will work in close partnership with other statutory, voluntary and private sector agencies, as well as with community and faith groups, to develop imaginative opportunities (both formal and informal) for potential volunteers. It will work to ensure that volunteering opportunities are available for all.

Policy Response and Campaigning

The volunteering infrastructure will devise and lead on policy development which serves to influence a policy environment in England (and by extension the UK and Europe) which takes account of the ways this may affect volunteers and volunteering activities. It will challenge received wisdom about the capacity of existing service provision and about the ways in which people can or cannot get involved in volunteering and its development.

Strategic Development of Volunteering

The national volunteering infrastructure will take strategic responsibility for the support and development of local and regional infrastructure, good practice development and networks, and support for the development of social policy that facilitates volunteering.

8. Taking the Code forward

- 8.1** The sector's Compact Working Group will put this Code into practice in partnership with Government. The Code applies to voluntary and community organisations in England. The Compact Working Group will promote the Code to voluntary and community organisations so that they know, use, understand and follow its undertakings and recommendations.
- 8.2** The Code applies in England to all central Government Departments; 'Next Steps' Executive Agencies; Non-Departmental Public Bodies; Government Offices for the Regions; and Regional Development Agencies. Departmental Compact champions and voluntary and community sector liaison officers will advance the Code in Government. Government will promote this Code as good practice and make suitable mention of it alongside the Compact and Local Compacts in relevant publications and communications.
- 8.3** Local Government and local public bodies are expected to take appropriate notice of the principles of this Code as recommended best practice in their work. This Code should inform the development and implementation of Local Compacts and local codes of practice on volunteering.
- 8.4** The Compact Annual Review Meeting will review progress on use and implementation of the Code. This will draw on Departments' own reporting for the meeting and any surveys of the voluntary and community sector carried out by the Compact Working Group. The Compact Annual Review meeting agrees the Joint Action Plan for the Compact. This sets out steps to achieve full implementation of the Compact and Codes in Government and the sector. Copies of the annual report and action plan are available from the Compact Working Group (www.thecompact.org.uk) or Active Communities Directorate in the Home Office (www.activecommunities.homeoffice.gov.uk)
- 8.5** In particular, the Compact Annual Review Meeting will monitor the following headline undertaking:
- Where there are new initiatives Government and the voluntary and community sector will agree that the definitions of volunteering are consistent with this Code.

8.6 The Compact sets out a general framework for enhancing the relationship between Government and the voluntary and community sector. As far as possible, disagreements over the application of that framework should be resolved between the parties. To assist this process, where both parties agree, mediation may be a useful way to try to reach agreement in line with the Government's commitment to use alternative dispute resolution methods. The Compact Mediation Scheme is available to help in these situations. Where behaviour which contravenes this framework constitutes maladministration, a complaint may be brought to the Parliamentary Ombudsman in the usual way. Cases involving Local Government may be referred to the Local Government Ombudsman.

Appendix A – The Local Dimension and Local Compacts

A1 Do you need a local volunteering code?

A Local Compact should be the catalyst for developing better local relationships that deliver results. This Code should be used to inform Local Compact development, but more important than developing a local volunteering code is local public bodies having a good understanding of volunteering issues.

A2 Ensuring volunteering is well positioned in Local Compact development

Local Compact Working Groups should ensure that volunteering is well positioned on their agenda. Entirely volunteer-run small groups form the majority of the local sector and contribute to key services such as hospitals. Communications should enable volunteers to know about their Local Compact and be involved if they wish.

A3 Policy and practice issues

Whether or not a local volunteering code is produced, it is useful to develop mechanisms that identify and resolve policy and practice issues, including training and checks. Examples may include: what job centre staff tell claimants; the scope allowed for asylum seekers to volunteer; sector workforce development properly covering volunteer needs; local funders being sensitive to the difference between paid and volunteer staff, prisons having a budget for volunteer expenses, and the timing of joint meetings.

Issues Checklist

- Adopting this Code in Local Compact development should also be subject to the same annual review as the Local Compact itself.
- Are volunteering issues included in the Local Compact Action Plan?
- Does the local infrastructure plan cover volunteering support adequately?
- How does the Local Compact support partnerships to address volunteering?
- How can cross-sector engagement on volunteering issues be made more effective?
- How can the local public sector better support their staff volunteering?
- When was the volunteer contribution to your local area last measured?
- Are volunteers and volunteering themes part of your Compact Week activities?
- What would increase BME volunteers and deploying volunteers to BME groups?
- How can schools and the youth sector help boost volunteering?
- Is there a local guide on how to volunteer?

Appendix B – Signposting

B1 Websites

www.thecompact.org.uk

Comprehensive resource on the Compact includes materials to download, good practice examples and news and articles.

www.volunteering.org.uk

Offers a range of resources for anyone who works with or manages volunteers as well as to those who want to volunteer.

www.russellcommission.org

Details of the national framework for youth action and engagement

www.energizeinc.com

Specifically aimed at volunteers' leaders

www.voluntarysectorskills.org.uk

Skills development in the voluntary and community sector – for paid staff, volunteers and trustees.

B2 The following publications will be useful in implementing the Compact Code of Practice on Volunteering.

A detailed guide to the national minimum wage, Department for Trade & Industry, London, 1999

ChangeUp: Capacity Building and Infrastructure Framework for the Voluntary and Community Sector, Home Office Active Community Unit, London, 2004

Compact Black and Minority Ethnic Voluntary and Community Organisations: a Code of Good Practice, London, 2001

Compact Code of Good Practice on Community Groups, London, 2003

Attwood, Chris, et al, *2001 Home Office Citizenship Survey: people, families and communities*, (Home Office Research Study 270), Home Office Research Development and Statistics Directorate, London, 2003

Davis Smith, Justin, *The 1997 national survey of volunteering*, Institute for Volunteering Research, London, 1998

Forster Andy; Hurley Gail, *The Legal Position of volunteers in the United Kingdom*, Association of Voluntary Service Organisations, European Volunteer Centre, Brussels, 2004

Gaskin, Katharine, *A choice blend: what volunteers want from organisation and management*, Institute for Volunteering Research, London, June, 2003

Penberthy, Chris and Forster, Andy, *Building on Success: a strategy for the Volunteering Infrastructure in England 2004-2014*, Volunteering England, Birmingham, London, 2004

Volunteering for All? Exploring the link between volunteering and social exclusion, Institute for Volunteering Research, London May, 2004

The Good Practice Guide, Kate Bowgett, Kathryn Dickie & Mark Restall, National Centre for Volunteering, 2nd edition 2002.

Bhasin, S: *My Time, My Community, Myself – Experiences of Volunteering within the Black Community*, National Centre for Volunteering, London, 1997

Disability Equality in Volunteering by Rachel Wilson on behalf of Skill published by Skill: National Bureau for Students with Disabilities: 1998

The A-Z of Volunteering And Asylum: A Handbook for Managers by Ruth Wilson published by Volunteering England: 2003

This publication and further information
is available on the Compact website at
www.thecompact.org.uk
or at
www.activecommunities.homeoffice.gov.uk

Or for hard copies of this publication, please contact:

Compact Working Group
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Regents Wharf
8 All Saints Street
London N1 9RL
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E-mail: compact@ncvo-vol.org.uk

Active Community Unit
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E-mail: public_enquiry.acd@homeoffice.gsi.gov.uk

Volunteering

a code of good practice



CABINET REPORT

29th October 2007



Report of: Director of Adult & Community Services

Subject: ANNUAL LIBRARY PLAN

SUMMARY

1. PURPOSE OF REPORT

To consider the Annual Library Plan for submission to Council in November

2. SUMMARY OF CONTENTS

The Plan describes the priorities and actions of the library service during 2007/8 and how they contribute to delivery of the Departmental and Corporate plans.

3. RELEVANCE TO CABINET

The Annual Library Plan is part of the Budget and Policy Framework proposed by the Executive Cabinet for approval by Council.

4. TYPE OF DECISION

Non-key

5. DECISION MAKING ROUTE

Cabinet 29th October 2007
Council 13th December 2007

6. DECISION(S) REQUIRED

The Cabinet is requested to approve the Plan for submission to Council in November

Report of: Director of Adult & Community Services

Subject: ANNUAL LIBRARY PLAN

1. PURPOSE OF REPORT

To consider the Annual Library Plan for submission to Council in November

2. BACKGROUND

The Plan (attached as **Appendix 1**) describes the proposed priorities and actions of the library service during 2007/8 and how they contribute to delivery of the Departmental and Corporate plans. Consultation with stakeholders, library users and the public including a presentation at each of the Council's Neighbourhood Forums has taken place.

3. PROPOSALS

3.1 DCMS highlights 3 principle service areas for public libraries,

- The promotion of reading and informal learning,
- Access to digital skills and services including E-Government
- Measures to tackle social exclusion, build community identity and develop citizenship.

3.2 Library services in these areas contribute to delivering Corporate Plan Objectives: LAA29 - 'Enrich individual lives, strengthen communities and improve places where people live through enjoyment of leisure, culture and sport' and LAA30 'Cultural and Leisure Services, including libraries, better meet the needs of the community, especially disadvantaged areas', also Corporate Plan Objective 'Increase provision of high quality learning and skills opportunities that drive economic competitiveness, include participation, and build social justice participation of adults in learning' and Corporate Plan Objective: LAA12. Mental Wellbeing: 'To promote a positive approach to the mental wellbeing of Hartlepool residents.'

3.3 The plan highlights actions to be undertaken this year, which include the introduction of the restructured vehicle services, improvement of family history services, increased use of libraries as venues for literary and author hosted events and close working with Children's Services to support children's literacy and family learning. During 2007/8 the library service will review current services and develop a longer-term forward plan.

4. CONSULTATION

- 4.1 Consultation with the public and with stakeholders is part of the planning process. This will be through the Neighbourhood Consultative Forums, through library-based consultations and consultation with stakeholders. The library will also seek increased involvement of the community in development and delivery of services.

5. RECOMMENDATIONS

- 5.1 Members of the Cabinet are requested to approve the draft Annual Library Plan for submission to Council.

Contact Officer: Graham Jarritt, Borough Librarian



Library Service

(Draft)

Service Plan 2007/08

Contents

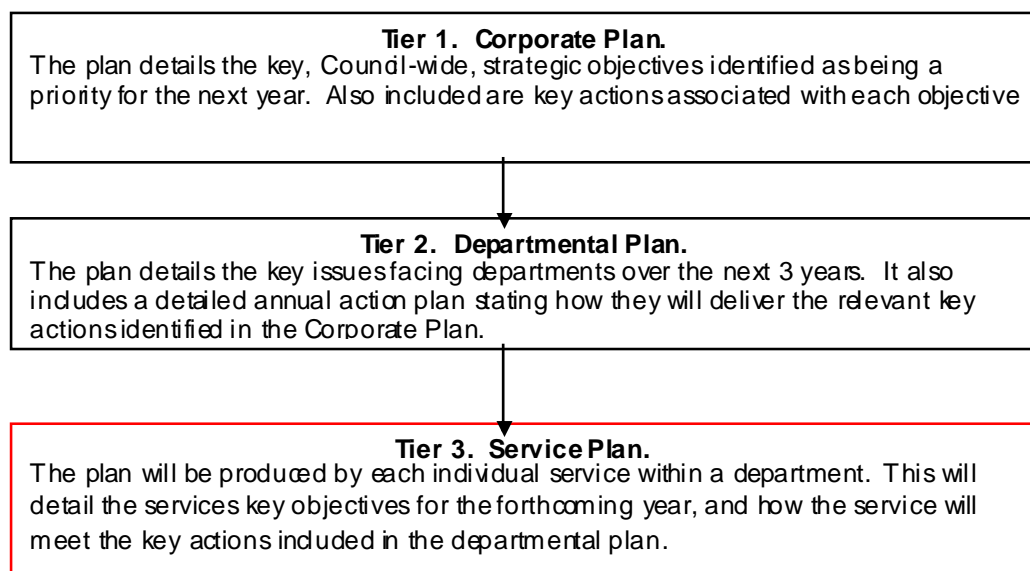
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Introduction

This document is the Library Service Plan for 2007/08 and forms part of the Council's overall Service Planning arrangements. The plan details the key priorities and issues facing the Library Service over the next year, and includes a detailed action plan showing how these priorities will be delivered.

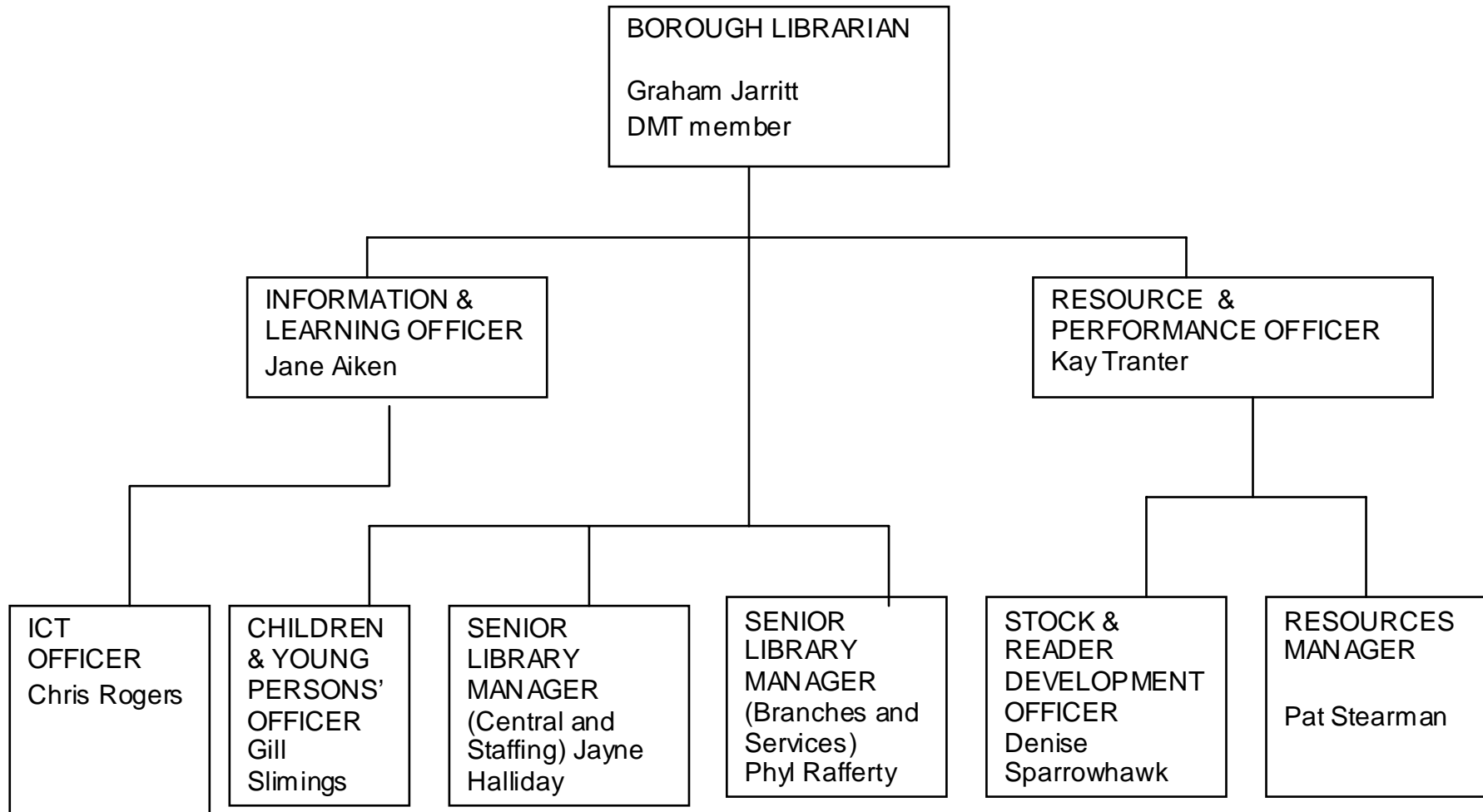
The plan details how the Library Service will meet the Council's key priorities as stated in the Corporate Plan and the Adult & Community Services Department's key priorities as stated in the Adult & Community Services Departmental Plan 2007/08-2009/10.

This plan should be looked at in conjunction with both the Council's Corporate Plan, and the Adult & Community Services Departmental Plan, that together form part of the Council's overall Service Planning Arrangements. Figure 1, below, demonstrates how the plans are linked: -

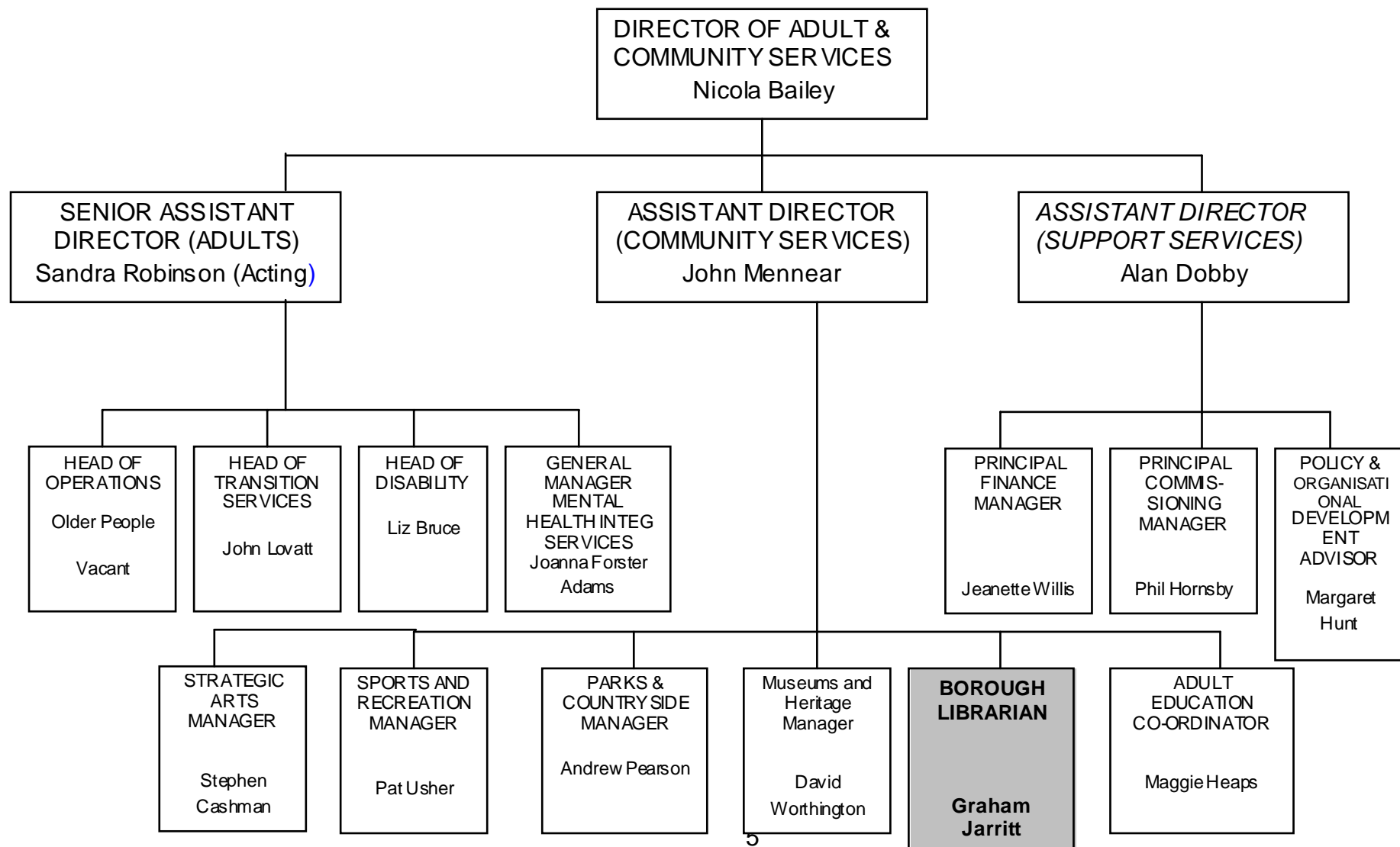


This approach ensures that any objective that appears in the Corporate Plan can be traced through the Departmental plan to specific actions in the service plan, and vice versa. It allows the employees delivering services to explicitly see how their actions contribute to the Council's overall objectives.

Library Service Senior Management Structure



Where Libraries fit within Adult and Community Services Departmental Management



|

Performance Management

- **Monitoring and Reporting**

The action plan detailing how the department will meet its main objectives for the forthcoming year will be monitored constantly, and reported regularly to Departmental Management Team on a quarterly basis.

Throughout the year, in certain circumstances, it may become necessary to either remove or amend an objective or specific action from the action plan. This could be for a number of reasons, such as changing priorities or a delay in implementing a particular scheme through unforeseen circumstances. Any amendments to the plan will only be made with full agreement of DMT.

- **Reviewing the Plan**

As previously explained the action plan will be constantly monitored and reviewed, with any proposed changes being presented to DMT for agreement.

The plan will also be used as a management tool to monitor library senior managers' performance through the monthly update meeting.

- **Communication**

The Library will communicate performance internally through the staff newsletter, through the library section heads meetings, through the library managers' service team meetings and through individual and collective staff-update meetings.

Externally, the library will communicate and consult on its plan, aims and objectives directly with the public, through the Neighbourhood Forums, with users at all service points and with stakeholders through electronic or postal communication.

The Library Service

The Library in Hartlepool provides services from the Central Library and six branches. It also operates a mobile library bus and a van delivered home library service. It supports and provides stock for Brougham Annexe Library, which is run by the voluntary Wharton Trust.

Although traditionally seen as somewhere that lends books and provides a place to study, the public library provides a far broader range of services. Framework for the Future, the ten year forward plan for libraries sets the priorities for library provision as:

- The promotion of reading and informal learning.
- Access to digital skills and services including E-Government
- Measures to tackle social exclusion, build community identity and develop citizenship.

The library promotes and supports reading and literacy for all ages. For adults there are reading groups, literary events and creative writing projects as well as a large range of books and materials in other formats. Children and young people are supported through a large selection of reading materials, homework clubs and a robust programme of events throughout the school holidays. The Summer Reading Challenge annually encourages reading throughout the summer school break. Bookstart, run by a partnership of the Library, Children's Services and Health Visitors, provides special packs of books and other materials to encourage development of reading and learning throughout the early years.

The library supports learners. It provides study places, books and materials, public free access to ICT and a number of online databases. It also works with Adult Education in the hosting of training courses and works closely with Hartlepool College of Further Education. The library is the principal provider of free, open public access to computers and the internet in Hartlepool.

The library seeks to provide services to hard to reach groups. In Partnership with the Tees, Wear and Esk Valleys Mental health Trust and MIND it provides mental wellbeing book collections for information and self help and runs a reading group for people with mental health issues. The Library supports basic skills learning and works with the Youth Service to provide services to young people at risk. The library is open to all and is highly regarded by many people in the town who value its services and role as a community resource.

The Library in Hartlepool scores well in satisfaction ratings and national standards measurement. At the same time, within a broader national debate it is necessary to consider the appropriate direction of travel to ensure a sustainable and high quality library service in the town. In 2007/8 the library will produce a strategic document to consider the longer-term development of the town's library services

Priorities

Library Service Priorities for this 2007/8 are

- Ensure Library Services are easily accessible to vulnerable groups and contribute to the preventative mental wellbeing agenda.
- Develop milestones and strategies to deliver improvements of facilities and services areas.
- To contribute to the review of all Community Services literature
- Contribute to the establishment of key centralised information points across the town and publicise these.
- Implement the delivered library services review and action plan.
- Provide Library services targeted towards hard to reach groups and individuals
- Reduce sickness levels within the library service
- Implement policies and actions that contribute to the Council's Diversity Action Plan
- To increase community engagement in planning and delivering library services.
- Improve the library service's capacity to provide strategic management and its ability develop strategic forward planning
- To develop a strategic forward plan for library services in Hartlepool

The actions the library service will take to work towards delivering these priorities are detailed in the Action Plan section of the Service Plan

Library Service Action Plan 2007/08

The Library Service Action Plan identifies actions that are linked to the Corporate Plan through the Adult and Community Services Departmental Plan. The action plan expands on both of these and gives more detail as to how this will be achieved.

Objectives that are linked to the Corporate Plan, through the Adult & Community Services Departmental Plan

SERVICE/TEAM (IF APPLICABLE)				
Corporate Plan Objective: LAA12. Mental Wellbeing: To promote a positive approach to the mental wellbeing of Hartlepool residents (Ref: CO)				
Departmental Plan Objective: To increase social inclusion of people with mental health issues (Ref:) HC 13.1				
Service Plan Objective: Ensure Community Services are easily accessible to vulnerable groups and contribute to the mental wellbeing agenda				
Ref:	Action	Date to be Completed	Responsible Officer	Associated PIs
	Establish Alzheimers Bookchat group	Sept 07	Phyl Rafferty	BV 220
	Explore establishment a Reading group in Sandwell Park mental health unit	Dec 07	Phyl Rafferty	BV 220
Corporate Plan Objective: LAA29 Enrich individual lives, strengthen communities and improve places where people live through enjoyment of leisure, culture and sport				
Departmental Plan Objective: Develop and improve cultural and leisure facilities and events (Ref:) CL2.1				
Service Plan Objective: Develop milestones and strategies to deliver improvements of facilities and services areas.				
	Achieve Matrix Standard for information and Guidance provision for Central Reference Library	Mar 08	Jane Aiken	BV 220

	To gain Investing in Children status for one library service point.	Mar 08	Gill Slimings	
	Establish a library strategic planning group	May 07	Graham Jarritt	
	Develop a library community engagement strategy	Sept 07	Graham Jarritt	
	Develop a library forward strategy for Hartlepool taking into account local need and national strategies and policies	Oct 07	Graham Jarritt	
	Implement staff training plan & ensure that staff receive appropriate training for their role.	April 07	Jayne Halliday	
	Regularly monitor performance against PLSS targets and CIPFA indicators and propose remedial actions if required	Mar 08	Kay Tranter	BV220 LPI ACS 6
	Explore potential funding sources and potential partners for a project to organise and preserve the special collections. Produce a timeframe and plan	Mar 2008	Jane Aiken	
	Maritime Archive – work with the NEEMARA project team to catalogue their collection on Talis.. Train a member of staff to input records . Create a Maritime Archive web link from the portal to the catalogue	Sept 07	Jane Aiken	
	Promote Ancestry.com and Britannica on-line. Total of 14 workshops to be held through year across all static service points	Mar 08	Jane Aiken	BV 220
	Organise an event to promote learning/local history in partnership with Middleton Grange & Hartlepool Hospice	May 2007	Jane Aiken	
	To deliver a minimum of 4 literary events	March 08	Denise Sparrowhawk	BV 220

	To review library support services and library stock procurement within Hartlepool Libraries with reference to national/MLA ' <i>Better Stock, Better Libraries</i> ' proposals	Dec 07	Kay Tranter	
	To take part in a regional pilot within national/MLA ' <i>Better Stock, Better Libraries</i> ' proposals	Mar 08 (within regional timeframe)	Kay Tranter Graham Jarritt	
	Analysise current stock issues and identify performance of different formats. Draw up revised stock purchasing plan and plan to improve performance of underachieving stock	Dec 07	Kay Tranter Denise Sparrowhawk Chris Rogers	BV 220
	Conduct Children's PLUS survey	Sept 07	Gill Slimings	BV 220
	Monitor customer care and service standards in all service points, and take any remedial or training actions as may be indicated	Sept 07	Jayne Halliday Phyl Rafferty	BV 220 BV118 BV119C
Departmental Plan Objective: Ensure the public have access to a wide range of information about leisure, culture and sporting opportunities in a variety of accessible mediums. (Ref:)				
Service Plan Objective: Revision of all Cultural Services service literature to be undertaken to confirm information availability and identify gaps.				
Ref:	Action	Date to be Completed	Responsible Officer	Associated PIs
	Take part in Cultural services literature and publicity review	Mar 2008	Graham Jarritt	
	Three 'How to guides' & three 'Facilities and services guides to be published (in hard copy and on the portal)	Mar 2008	Jane Aiken	

	Revise Bookstart and children's library service literature to market new initiatives and expanding services.	Mar 2008	Gill Slimings	BV 220
	Produce quarterly events programme posters for each library.	April 07	Chris Rogers	
	To participate in the Departmental Portal Development Group to ensure continual development and updating of the Portal	Mar 2008	Chris Rogers	
Service Plan Objective: Establish key centralised information points across the town and publicise these				
Ref:	Action	Milestone	Responsible Officer	Associated PIs
	Working with other Section Heads, establish key centralised points, a method of information gathering and coordinating the distribution of materials to these	May 2007	ADCS/Graham Jarritt	
	Agree method of publicising key information sites	May 2007	ADCS/Graham Jarritt	
Corporate Plan Objective: – LAA30 Cultural and Leisure Services, including libraries, better meet the needs of the community, especially disadvantaged areas				
Departmental Plan Objective: To increase opportunities for participation in a wide range of cultural and leisure activity focussing on areas of disadvantage (Ref:).				
Service Plan Objective: Conduct review of concessionary charging policy across Community Services with a view to establishing one consistent approach. CL6.1				
	Contribute to the review of the Community Services concessionary charging policy	April 2007	Graham Jarritt	

	Ensure any management information systems are reprogrammed to meet any new service requirements	Mar 2008	Chris Rogers	
Service Plan Objective: Implement the delivered library services improvement plan CL 6.1				
	Monitor implementation of new routes and timetables and service user reactions	May 07	Phyl Rafferty	BV 220 LPI CS 12a
	Respond to any user concerns and make adjustments to service delivery as appropriate and possible	July 07	Phyl Rafferty	BV 220 LPI CS 12a
	Carry out 6 month user survey to measure effectiveness of implementation	Oct 07	Phyl Rafferty	BV 220 LPI CS 12a
Service Plan Objective: Provide library services targeted towards hard to reach groups and individuals				
	Deliver 3 family learning weekends in library service points	Mar 08	Gill Slimings	BV 220
	Expand read and rhyme sessions and toys and tales to include village stops on mobile library route.	Mar 08	Gill Slimings	BV 220
	Develop and deliver family learning package 'Leaming is Fun Together (LIFT)' to disadvantaged families in partnership with Early Years consultants.	Mar 08	Gill Slimings	BV 220
	To establish further reading/book groups for specific users VIP Sheltered Accomodation	Oct 07 Nov 07	Phyl Rafferty	BV 220
	Work with Adult Services to explore opportunities for partnership working, including hosting DIRS group	July 07	Graham Jarritt	

	Work with Commissioning Team to draw up Service Level Agreement between Libraries, Adult Services and DIRS	Nov 07	Graham Jarritt, Phil Hornsby	
	Establish children's reading group in Central library	Mar 08	Gill Slimings	BV 220
	Work with NDC to develop Connecting Communities programme	Oct 07	Phyl Rafferty	
Corporate Plan Objective: Increase provision of high quality learning and skills opportunities that drive economic competitiveness, include participation, and build social justice participation of adults in learning				
Departmental Plan Objective: (Ref:) To increase universal access to high quality learning and skills opportunities.				
Service Plan Objective: LL 9.2 Increase percentage of adults holding nationally recognised qualifications				
Ref:	Action	Date to be Completed	Responsible Officer	Associated PIs
	Work with Adult Ed. and organise learning events in Adult Learners' Week and in Family Learning Week	May 07 Oct 07	Jane Aiken	
	Liaise with Adult Ed./HCFE tutors for start of 2007/8 academic year and use reading lists to inform stock selection.	Oct 07	Jane Aiken	
	Work with HCFE and Adult Education Dept to run The Quick Reads 6 Book Challenge with Skills for Life Students. Launch in Adult learners week in May 07.	Mar 08	Denise Sparrowhawk	

Corporate Plan Objective: Links to the Corporate Plan – Implement the People Strategy and the Workforce Development Strategy				
Departmental Plan Objective: Effectively use resources and invest in the future				
Service Plan Objective: Lower Departmental Sickness Levels				
Ref:	Action	Date to be Completed	Responsible Officer	Associated Pls
	Ensure sickness procedures are carried out and that all new managers receive appropriate training	April 07	Jayne Halliday	

Corporate Plan Objective: Links to Corporate Plan – Enhance Equality and Diversity arrangements and mainstream into all Council activities				
Departmental Plan Objective: Improve Service delivery and customer care (Ref:)				
Service Plan Objective: Complete INRA's for all services and DIA's as agreed				
Ref:	Action	Date to be Completed	Responsible Officer	Associated Pls
	Complete INRA's and DIA's for library service	May 2007	Graham Jarritt	
	Work with NDC to develop Connecting Cultures project	May 2007	Graham Jarritt	

	Work with Disability Information Resource Service and Adult Services to establish DIRS in Central Library	May 2007	Jane Halliday	
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Performance Indicators

The action plan detailed a number of Performance Indicators that will be used to measure the successful implementation of the actions. Those indicators are included in more detail in the table below.

Ref	Definition	Responsible Officer	Outturn 2006/07	Target 2007/08
BVPI 220	Public Library Services Standards checklist		4	4
LPI ACS 6	Number of physical visits per 1000 population to public libraries		7139	6800
LPI CS 12a	Number of housebound people receiving a home visit from the home library service once every three weeks, for as long as they require the service		508	505
BVPI 118a	Percentage of library users who found the book they wanted		82.4%	3 yearly survey – next 2009
BVPI 118b	Percentage of library users (<i>who reserved the book they wanted and were satisfied with the outcome</i>) – who found the information they were looking for		80.1%	3 yearly survey – next 2009
BVPI 118c	Percentage of library users who were satisfied with overall service		95.4%	3 yearly survey – next 2009
BVPI 119c	Percentage of residents by targeted group satisfied with the local authority's cultural and recreational activities: Libraries		80%	78%

CABINET REPORT
29th October 2007



Report of: Director of Neighbourhood Services

Subject: HARTLEPOOL CLIMATE CHANGE STRATEGY

SUMMARY

1.0 PURPOSE OF REPORT

To present Cabinet Members with a final draft of a Hartlepool Climate Change Strategy for their endorsement.

To seek comments on the draft Hartlepool Climate Change Action Plan.

2.0 SUMMARY OF CONTENTS

The report:

- i) provides background information on Climate Change.
- ii) informs Members of the progress of the Hartlepool Climate Change Strategy.
- iii) introduces a draft Climate Change Action Plan for Hartlepool that encompasses actions to reduce our emissions and adapt to climate change.

3.0 RELEVANCE TO CABINET

The report is of corporate significance.

4.0 TYPE OF DECISION

Non-key

5.0 DECISION MAKING ROUTE

Local Strategic Partnership (Hartlepool Partnership) and Cabinet.

6.0 DECISION(S) REQUIRED

Members are requested to note and endorse the final draft of a Climate Change Strategy and provide feedback on the draft Climate Change Action Plan.

Report of: Director of Neighbourhood Services

Subject: HARTLEPOOL CLIMATE CHANGE STRATEGY

1. PURPOSE OF REPORT

- 1.1 To present Cabinet Members with a final draft of a Hartlepool Climate Change Strategy for their endorsement.
- 1.2 To seek comments on the draft Hartlepool Climate Change Action Plan.

2. BACKGROUND

- 2.1 At the Earth Summit in 1997 at Kyoto, a protocol was agreed to reduce the emission of greenhouse gases and this was signed by the UK government. 141 countries have now ratified the treaty, which pledges to cut the emissions of six gases believed to be exacerbating global warming by 5.2% by 2012.
- 2.2 The UK Government has acknowledged that climate change is our biggest environmental threat:

“The scientific evidence is now overwhelming”, that “climate change is underway” and presented “very serious risks”.

Sir Nicholas Stern, the Stern Report, October 2006.

It is therefore essential that efforts are made to tackle this problem. The government has also developed strategies to reduce emissions of greenhouse gases from the UK and to develop energy sources as alternatives to fossil fuels, but there is also scope for local action.

- 2.3 In March 2007 Defra published a draft Climate Change Bill, the first of its kind in any country. This bill provides a legal framework to manage future emissions. The Climate Change Bill makes challenging carbon dioxide reductions targets for 2020 and 2050 legally binding. This Bill requires the UK to reduce carbon dioxide emissions through domestic and international action by 26-32% by 2020 and 60% by 2050 against a 1990 baseline.
- 2.4 In response to the threat of climate change, the Hartlepool Partnership signed the Hartlepool Declaration on Climate Change in October 2004. By signing the declaration the Partnership agreed to commit to taking action and develop a climate change strategy across all elements of, and sectors within, the Partnership. This would involve establishing a baseline of greenhouse gas emissions for Hartlepool to enable comparison and producing an action plan to reduce emissions and

develop actions to adapt to and mitigate against, climate change. A theme group of the Partnership - The Environment Partnership - were tasked with producing a Climate Change Strategy for Hartlepool.

3. HARTLEPOOL CLIMATE CHANGE STRATEGY

- 3.1 Officers from the Tees Valley Local Authorities have been working in partnership over the last two years to develop and produce a Tees Valley Climate Change Strategy. This overarching strategy, along with a first draft of a Hartlepool Climate Change Strategy, was considered by the Hartlepool Partnership on 19th January, and by Cabinet on 22nd January 2007.
- 3.2 The Hartlepool Climate Change Strategy adheres to the overarching aims and targets of the Tees Valley Climate Change Strategy. The aim of which is to achieve a minimum 8.75% reduction in CO₂ equivalent emissions below 2000 levels from 2006-2012. This equates to an annual 1.25% reduction target for this period. For 2012-2030 the minimum target will be 27% (an annual target of 1.5%).
- 3.3 Over the lifetime of the Hartlepool Climate Change Strategy, the Hartlepool Partnership aims to achieve the above targets by progressively moving towards a future low carbon economy. This will result in increased resource efficiency, leading to competitive and innovative businesses, low fuel bills, and to communities that are pleasant and healthy places in which to live, learn and work.
- 3.4 A formal consultation, which included the Partnership and Cabinet took place between January 31st and April 13th 2007. The consultation responses were collated and published on the Hartlepool Partnership website.
- 3.5 The strategy has now been amended following comments from the consultation (see **Appendix 1**).

4. HARTLEPOOL CLIMATE CHANGE ACTION PLAN 2008-9

- 4.1 A consultation event for the Climate Change Strategy was held at the 'Hartlepool Maritime Experience' on 3rd April 2007. Delegates included representatives from statutory organisations, business sector, the general public, schools and the voluntary sector. Several workshops were carried out to determine the most important actions to be included in the Climate Change Action Plan. These potential actions have been developed, alongside actions identified as exemplars of good practice, and are included in a draft Climate Change Action Plan (see **Appendix 2**).

5. COUNCIL ROLE IN CLIMATE CHANGE

- 5.1 The Partnership is best placed to provide overall leadership on the Climate Change Strategy as it incorporates all of the major stakeholders in the Borough.
- 5.2 A report was taken to the Partnership on 19th October 2007 recommending that the Board approve the final draft of the Hartlepool Climate Change Strategy and inviting feedback on the draft Hartlepool Climate Change Action Plan.
- 5.3 The Council has a major contribution to make by providing community leadership and ensuring actions are undertaken and progress is made in tackling Climate Change issues.
- 5.4 The Council is also leading in the preparation of the draft Climate Change Action Plan for the Environment Partnership. This involves working with various partners, for example, Environment Agency, Tees and District Energy Advice, Hartlepool Water and local businesses and the voluntary/community sector.

6. RECOMMENDATIONS

- 6.1 Members are requested to note and endorse the final draft of a Climate Change Strategy and provide feedback on the draft Climate Change Action Plan.

CABINET REPORT

29 October 2007



Report of: Director of Adult & Community Services and Director of Director of Regeneration & Planning Services

Subject: DEVELOPING A STRATEGIC APPROACH TO THE VOLUNTARY AND COMMUNITY SECTOR IN HARTLEPOOL

SUMMARY

1. PURPOSE OF REPORT

The report seeks (Cabinet) approval for the proposal to develop a strategic approach in relation to future work with the voluntary and community sector, in the town, and the development of the sector.

2. SUMMARY OF CONTENTS

The report outlines the context for developing a strategic approach to the voluntary and community sector, and the remit of the work.

3. RELEVANCE TO CABINET

The report is of relevance to the whole town.

4. TYPE OF DECISION

Non-Key

5. DECISION MAKING ROUTE

Cabinet approval prior to consideration by the Local Strategic Partnership in December 2007

6. DECISION(S) REQUIRED

Cabinet are requested to note the contents of the report, and ratify the approach.

Joint Report of: Director of Adult & Community Services and Director of
Director of Regeneration & Planning Services

Subject: DEVELOPING A STRATEGIC APPROACH TO THE
VOLUNTARY AND COMMUNITY SECTOR IN
HARTLEPOOL

1. PURPOSE OF REPORT

- 1.1 The report seeks (Cabinet) approval for the proposal to develop a strategic approach in relation to future work with the voluntary and community sector, in the town, and the development of the sector.

2. BACKGROUND

- 2.1 The attached draft (**Appendix 1**) proposal outlines the context for developing a strategic approach to the Voluntary and Community Sector (VCS) in Hartlepool. The proposal has already been considered by the Local Strategic Performance Management Group on 31st August 2007, it was agreed to present the report to a future partnership meeting on the basis of developing the strategy (and Compact) more broadly than just the council by extending the strategy to the wider partners of the Local Strategic Partnership.

3. VOLUNTARY AND COMMUNITY SECTOR ISSUES

- 3.1 The recommendation in the Council's recent CPA report is of particular relevance highlighting the need to improve the Council's approach to providing services with the voluntary and community sector and the need to develop a strategic view on the appropriate role for the sector in the town.
- 3.2 Although there is significant benefit in developing the approach for the Council, it is suggested that the original brief should be widened to include key partners and stakeholders within the Local Strategic Partnership. This would help develop a more coherent and consistent approach to community and voluntary sector support for all key partners in the town. It also reflects the approach similarly being adopted for work in relation to the Hartlepool Compact, details of which appears in a separate report on the agenda.

4. VOLUNTARY AND COMMUNITY IN HARTLEPOOL

4.1 There is a significant VCS in Hartlepool. It is estimated to comprise:

- 550 groups in total
- 5000 volunteers
- 50 organisations with paid staff
- It provides employment to 400 people

4.2 It is reported, however, that both the number of organisations with paid staff and the number of those staff is declining.

The main areas of activity that the sector is involved in are:

- Culture/leisure/sports/arts
- Health/disability/care
- Children and young people
- Residents and community groups.

4.3 The sector is organised into a Community Network which is particularly linked to its role in the Hartlepool Partnership. The role of the network is to promote and support communities, the voluntary sector and residents to participate effectively in neighbourhood renewal in Hartlepool.

4.4 There is also a local development agency for the sector, HVDA, which promotes the development of the sector and provides support to new and existing organisations.

5. PROPOSED WAY FORWARD

5.1 The original proposal attached at **Appendix 2**, set out a suggested approach to developing the strategy for the Council.

5.2 Key areas that we would need to address in carrying out this work include:

- Understanding the overall strategic objectives of the Council and the sector, how these relate to each other and any congruencies or divergences between them
- Developing a shared vision of the potential role of the sector in the future and of the relationship that should exist between it and the Council
- Building an appreciation of the state of current relationships between the sector and the Council and any barriers that exist to improving these
- Pulling together previous and current work on the size, composition and overall value of the sector including building a picture of its strengths and weaknesses
- Mapping out the threats and opportunities that exist for the development of the sector and the capacity of the Council and the sector to address these

- Identifying current good practice in the town. Identifying the implications of national policy and guidance and how these would affect the relationship between the Council and the sector
- Developing an understanding of the current support that the Council provides to the sector, both financially and in other ways, and any future plans for this support.
- Understanding the risks to the sector and the Council and how these could be minimised.

5.3 The outputs to this work would be built around:

- An analysis of the national and local context within which the work has been carried out
- An assessment of the current state of the VCS, its relationship with the Council and the potential for future development
- A database of organisations currently supported by the Council.
- A draft strategy that would set the future relationship between the Council and the sector including:
 - How the Council will work to aid the development and success of VCS organisations working in the town
 - What the Council wants from the voluntary sector and how it is prepared to support it both financially and in other ways
 - How the Council will engage with the sector and involve the sector in its ongoing processes
 - The contribution that the sector can make both to the general civic life of Hartlepool and in terms of service delivery.
- Processes and mechanisms for the procurement of services including policies and key issues such as full-cost recovery
- Options for future development including:
 - How the Council should support the sector
 - How the sector could become more effective and rise to the challenges facing it and the Council
 - Other funding opportunities that may be open to the VCS.
- The financial implications of any changes for the Council

Outputs could potentially extend to:

- Developing a single gateway and processes for all funding applications from the VCS to the Council
- Extending the approach to include other statutory organisations (we understand the PCT has already expressed potential interest in being involved) and the Hartlepool Partnership.
- The terms of reference for the consultancy will be amended to extend the remit.

6. RECOMMENDATIONS

Cabinet are requested to agree the approach outlined in paragraph 5 above, and in the attached proposal, and offer comments as appropriate.

Developing a Strategic Approach to the Voluntary and Community Sector in Hartlepool

Hartlepool Partnership Report

By: Joint Report of Director of Regeneration and Planning and Director of Adult and Community Services (HBC)

1. PURPOSE OF REPORT

- 1.1 To seek the LSP agreement on the proposal to develop a strategic approach in relation to future work with the voluntary and community sector in the town, and the future development of this sector.

2. LINKS TO COMMUNITY STRATEGY

- 2.1 The Voluntary and Community Sector is a cross cutting theme across the Community Strategy but is of particular relevance to the Strengthening Communities theme.

3. BACKGROUND

- 3.1 The attached draft proposal (**Appendix 2**) outlines the context for developing a strategic approach to the voluntary and community sector (VCS) in Hartlepool. The proposal has already been considered by the Local Strategic Performance Management Group on 31st August 2007, it was agreed to present the report to a future partnership meeting on the basis of developing the strategy (and Compact) more broadly than just the council by extending the strategy to the wider partners of the Local Strategic Partnership.

4. VOLUNTARY AND COMMUNITY SECTOR ISSUES

- 4.1 The recommendation in the Council's recent CPA report is of particular relevance highlighting the need to improve the Council's approach to providing services with the voluntary and community sector and the need to develop a strategic view on the appropriate role for the sector in the town.
- 4.2 Although there is significant benefit in developing the approach for the Council, it is suggested that the original brief should be widened to include key partners and stakeholders within the LSP. This would help develop a more coherent and consistent approach to community and voluntary sector support for all key partners in the town. It also reflects the approach similarly being adopted for work in relation to the Hartlepool Compact, which will be supported and strengthened by the development of a Voluntary Sector strategy, details of which appears in a separate report on the agenda.

5. THE VOLUNTARY AND COMMUNITY SECTOR IN HARTLEPOOL

5.1 There is a significant VCS in Hartlepool. It is estimated to comprise:

- 550 groups in total
- 5000 volunteers
- 50 organisations with paid staff
- It provides employment to 400 people

It is reported, however, that both the number of organisations with paid staff and the number of those staff is declining.

5.2 The main areas of activity that the sector is involved in are:

- Culture/leisure/sports/arts
- Health/disability/care
- Children and young people
- Residents and community groups.

5.3 The sector is organised into a Community Network which is particularly linked to its role in the Hartlepool Partnership. The role of the network is to promote and support communities, the voluntary sector and residents to participate effectively in neighbourhood renewal in Hartlepool.

There is also a local development agency for the sector, HVDA, which promotes the development of the sector and provides support to new and existing organisations.

6. PROPOSED WAY FORWARD

6.1 The original proposal attached at **Appendix 2**, set out a suggested approach to developing the strategy for the Council.

Key areas that we would need to address in carrying out this work include:

- Understanding the overall strategic objectives of the Council and the sector, how these relate to each other and any congruencies or divergences between them
- Developing a shared vision of the potential role of the sector in the future and of the relationship that should exist between it and the Council
- Building an appreciation of the state of current relationships between the sector and the Council and any barriers that exist to improving these

- Pulling together previous and current work on the size, composition and overall value of the sector including building a picture of its strengths and weaknesses
- Mapping out the threats and opportunities that exist for the development of the sector and the capacity of the Council and the sector to address these
- Identifying current good practice in the town. Identifying the implications of national policy and guidance and how these would affect the relationship between the Council and the sector
- Developing an understanding of the current support that the Council provides to the sector, both financially and in other ways, and any future plans for this support.
- Understanding the risks to the sector and the Council and how these could be minimised.

The outputs to this work would be built around:

- An analysis of the national and local context within which the work has been carried out
- An assessment of the current state of the VCS, its relationship with the Council and the potential for future development
- A database of organisations currently supported by the Council.
- A draft strategy that would set the future relationship between the Council and the sector including:
 - How the Council will work to aid the development and success of VCS organisations working in the town
 - What the Council wants from the voluntary sector and how it is prepared to support it both financially and in other ways
 - How the Council will engage with the sector and involve the sector in its ongoing processes
 - The contribution that the sector can make both to the general civic life of Hartlepool and in terms of service delivery.
- Processes and mechanisms for the procurement of services including policies and key issues such as full-cost recovery
- Options for future development including:
 - How the Council should support the sector
 - How the sector could become more effective and rise to the challenges facing it and the Council
 - Other funding opportunities that may be open to the VCS.

- The financial implications of any changes for the Council

Outputs could potentially extend to:

- Developing a single gateway and processes for all funding applications from the VCS to the Council
- Extending the approach to include other statutory organisations, the PCT (has already agreed a £10,000 contribution to the project) and the Hartlepool Partnership.
- The terms of reference for the project will be amended to extend the remit.

7. RECOMMENDATIONS

- 7.1 The Partnership is requested to agree this approach as outlined in paragraph 6.1 above the attached proposal and offer comments as appropriate.

Developing a strategic approach to the voluntary and community sector in Hartlepool

**Proposal to Hartlepool Borough Council
by
Peter Fletcher Associates**

February 2007



Peter Fletcher Associates Ltd
Research and Consultancy

Introduction

Peter Fletcher Associates is pleased to respond to the invitation from Hartlepool Council to submit a proposal to develop a strategic approach to relations with and the development of the voluntary and community (VCS)¹ sector in the town.

The proposal sets out: our understanding of your brief, the national and local context for the work and our suggested approach to carrying out the work, (including indications of the potential timescale and cost) and our experience and skills to undertake the work. We understand that at this stage this is more of a scoping proposal than a firm bid and, therefore, we look forward to having further discussions with lead officers and amending, if necessary, our proposal in order to ensure that it meets your requirements.

We believe that we are well equipped to undertake the work for you, given our earlier and other work in the borough and similar work that we have undertaken elsewhere. We have a skilled team, which is based in the North-East, has knowledge of the borough, and which has direct experience of this issue.

Context

Why the voluntary and community sector?

Why have a specific focus on the VCS? After all the term covers a huge range of organisations from a small mother and toddlers group run entirely by volunteers and living from hand-to-mouth in terms of funding to large national (in some cases multi-national) organisations with multi-million pound budgets and professional employed staff. What unites all of these diverse organisations and suggests there should be a specific approach to their development and relationship with statutory agencies?

There are a number of roles which VCS organisations play which statutory agencies find more or less difficult. These include:

- ❑ **Community engagement:** VCS organisations are often closer to their communities. In particular they have a record of being able to engage with 'hard-to-reach' groups (such as disaffected young people, homeless people, BME communities) which are often reluctant to become involved with statutory agencies.

¹ We take the voluntary and community sector to refer to non-governmental, not-for-profit organisations (which may also be charities). The Government increasingly refers to 'the third sector' which also covers 'for profit' organisations which work to dear social values and objectives e.g. social enterprises, mutual organisations and co-operatives. In this proposal we refer to just voluntary and community organisations but the work could be extended to cover a broader range.

- ❑ **Service delivery:** there is a long tradition of VCS organisations being involved in service delivery. Often they can be more effective in this role because, for example, of their engagement with different communities and their ability to lever in additional resources either in terms of volunteers or additional funding. VCS organisations can also be more flexible in their service delivery and able to respond quickly to changing policy and the needs and demands of their service users.
- ❑ **Innovation:** it is recognised that in many cases the sector is more easily able to innovate and pilot new approaches in areas such as service delivery and community engagement than statutory organisations and there is a good track record of this in many areas. However it is also the case that sometimes elements of the sector can be less likely to adopt new approaches and continue to provide services in traditional and sometimes out-dated ways.
- ❑ **Community cohesion:** the sector can play a substantial role in enabling community cohesion through, for example, its ability to bring together people from different communities, its links with some of the more vulnerable and excluded groups and its encouragement of people to play an active role in their communities through volunteering.

Increasingly the VCS is being seen as an equal partner alongside government and one which is likely to play a more important role in the future.

It is, however, also important to recognise the diversity of the sector and understand and differentiate between the different roles that organizations (in some cases the same organization) play as, for example, service delivery organizations and community/citizen organizations. Developing a relationship around service delivery with the Council as a commissioner will need a different approach from a relationship built around community leadership and citizen and community engagement. Both will need to be encompassed within this overall piece of work.

National context

Central Government has recognised the need to develop a more effective approach to working with the VCS² and in the last few years has taken a number of steps to do this.

In 2002 the Treasury published a cross-cutting review of the role of the sector in the delivery of public services. This recognised the need for a more strategic and systematic approach across both central and local government and emphasised the importance of developing a stronger partnership between the sector and

² More recently the work has been extended to cover the third sector rather than just the VCS.

government agencies at all levels – especially at a local level where 70% of organisations operate. The review identified a number of obstacles which VCS organisations faced in becoming more involved in the delivery of public services and the review has been followed by guidance from the Treasury on the funding of third sector organisations³. The Department of Health established a Third Sector Task Force which has produced guidance on the commissioning of health and social care services from the sector⁴ and most recently an Office of the Third Sector has been set up within the Cabinet Office to take forward work on developing the sector as a whole. In December 2006 the Office produced an action plan on developing the partnership between the sector and central Government.⁵

Some of the issues addressed in these reports have included:

- ❑ The need for clarity about the nature of the relationship between funders and VCS organisations and the status of any funding (e.g. grant aid or contract)
- ❑ The importance of stability and achieving value for money
- ❑ The need to ensure funding is given for an appropriate purpose and not just because it has been in the past
- ❑ The importance of providing funding at an appropriate level and the validity of a 'full-cost recovery' approach⁶
- ❑ The need to ensure application procedures and monitoring and inspection procedures are clear, straightforward and proportionate
- ❑ The importance of developing a partnership approach between funders and the VCS based on mutual trust and understanding and focused on improving services and quality of life.

Whilst it is the case that the Government is concentrating on the potential role of the VCS in delivering public services it is the case that this is not the only role that the sector plays. It has a vital role in developing more effective citizen engagement, especially with groups that traditionally have been seen as unwilling to engage with statutory authorities, an ability to develop new structures or enterprises that respond to local needs and an increasingly recognised role in the social and economic regeneration of deprived areas.⁷

³ *'Improving financial relationships with the third sector: Guidance to funders and purchaser's*, HM Treasury May 2006

⁴ *'No excuses. Embrace partnership now. Step towards change!'* Department of Health, July 2006

⁵ *Partnership in public services An action plan for third sector involvement*, Cabinet Office December 2006

⁶ Full-cost recovery (FCR) means that the price of contracts and grants reflects the full costs of delivery, including the legitimate portion of overhead costs

⁷ See *'The future role of the third sector in social and economic regeneration; interim report'*, HM Treasury and Cabinet Office, December 2006

Challenges to the VCS

Of course this is not a purely one-sided process of development. Whilst it is the case that there are many barriers placed in the way of the development of better relationships with VCS organisations by government agencies it is also the case that the sector itself needs to undergo change in a number of areas since good practice varies widely within it. These changes could be best described as a need for the sector to develop a more business like approach to its operations, to understand that it operates in a competitive environment and that if it wants to be more involved in the delivery of public services then it must expect some change in the nature of its relationship with organisations commissioning those services – away from one of grant aiding to a contractual basis. It must be able to demonstrate that it can operate effectively under some of the same constraints as public and private sector organisations e.g. the need to demonstrate continual improvements in quality and efficiency. Finally the sector needs to be able more clearly to articulate the added value that it brings – not just to service delivery but also more generally to civic life and the development of vibrant communities and to differentiate between its different roles and be clear about what role it is taking in a particular context.

Some organisations exist at a regional level to assist community & voluntary organisations to meet these challenges. VONNE (Voluntary Organisations Network North East) seeks to facilitate links between VCS organisations and other relevant bodies and to promote the role and potential of the sector in regional matters. In matters of procurement the North East Centre for Excellence, one of nine regional centres set up in response to a recommendation in the National Procurement Strategy and the Gershon Efficiency Review, is working with the VCS in the region to identify their development needs in relation to procurement and the opportunities for greater engagement with the public sector. Within Hartlepool HVDA plays a role of supporting the development of the sector and providing advice and expertise in some of these areas as well as representing the sector in its dealings with statutory agencies and bodies such as the Council and Local Strategic Partnership.

Local context

The voluntary and community sector in Hartlepool

There is a significant VCS in Hartlepool. It is estimated to comprise:

- ❑ 550 groups in total
- ❑ 5000 volunteers
- ❑ 50 organisations with paid staff

- ❑ It provides employment to 400 people⁸

It is reported, however, that both the number of organisations with paid staff and the number of those staff is declining.⁹

The main areas of activity that the sector is involved in are|:

- ❑ Culture/leisure/sport/arts
- ❑ Health/disability/care
- ❑ Children and young people
- ❑ Residents and community groups

The sector is organised into a Community Network which is particularly linked to its role in the Hartlepool Partnership. The role of the Network is to promote and support communities, the voluntary sector and residents to participate effectively in neighbourhood renewal in Hartlepool.

There is also a local development agency for the sector, HVDA, which promotes the development of the sector and provides support to new and existing organisations.

Council officers describe relations with the VCS as generally very positive (we have not spoken to anyone from the sector itself but have no reason to believe their view would be any different). The sector is seen as playing an especially important role in the area of community engagement and also delivers a number of services under contract especially in social care. The diversity of the sector is generally seen as a strength.

However officers also identified a number of weaknesses – both in relations between the Council and the sector and in respect of the VCS itself. These included:

- ❑ The Council does not know how much funding it gives the sector nor how such funding supports their overall corporate and strategic objectives and whether it remains appropriate. Neither does it have a clear understanding of what it is getting for its money
- ❑ The Compact between the Council and the VCS has not been fully implemented
- ❑ The recent CPA has highlighted weaknesses in the Council's approach to procuring services from the VCS
- ❑ The Council does not have a strategic view on what it sees as the appropriate role for the sector in the town
- ❑ The very success of the sector in recent years in attracting a disproportionately high amount of e.g. European funding could become a liability in the future with concerns for the viability of a number of

⁸ Information taken from a report by HVDA to the Regeneration and Planning Scrutiny Forum, January 2006

⁹ Scrutiny investigation into partnerships, May 2006

organisations that are heavily reliant on such resources. Neither the Council nor the sector has a clear plan for dealing with this

- ❑ The sector is very diverse and contains lots of small organisations. There is a concern this leads to duplication and lack of co-ordination
- ❑ There is little evidence of co-operation amongst organisations e.g. in the use of buildings or the provision of backroom services. There is considered to be scope for delivering efficiencies in these areas.
- ❑ There is a concern there are relatively poor organisational skills in a number of organisations e.g. in relation to business and financial processes
- ❑ The sector itself lacks a strategic focus and tends to follow the funding that is available.

Community Strategy

The Community Strategy published in 2002 identifies the importance of the voluntary and community sector in the life of the town. It states that the sector makes a significant contribution to direct service provision and the well-being of residents but also accepts that progress needs to be made in recognising this fully. It refers to the voluntary sector Compact and the Hartlepool Partnership as mechanisms for doing this. There is particular emphasis on promoting the sector in the sections on health and social care and strengthening communities.

This emphasis is repeated in '*Hartlepool's Ambition*' the first draft of a new community strategy published in 2006. This contains specific objectives relating to the sector's role in:

- ❑ Creating employment opportunities for local people
- ❑ Extending recreational facilities for children and young people.

The draft also recognises the need to fully value the sector and to support them to secure their long-term future through contracted service delivery and the agreement of longer term funding settlements.

Compact

A compact between the Council and the voluntary sector was agreed in 2003. The compact is:

“an expression of the commitment of Hartlepool Borough Council and the voluntary and community sector to work in partnership for the betterment of the people of Hartlepool and to nurture and support voluntary and community activity.”¹⁰

¹⁰ A compact between the voluntary sector in Hartlepool and Hartlepool Borough Council, para 2.1

The Compact sets out the key principles and undertakings which should underpin the relationship between Hartlepool Borough Council and the voluntary and community sector. It contains undertakings from both the Council and the sector in relation to areas such as:

- ❑ The independence of voluntary and community organisations
- ❑ funding and accountability
- ❑ policy development, consultation and partnership
- ❑ better government
- ❑ good practice

There is an action plan attached to the Compact but it would appear that progress in implementing it has been patchy with most of the actions that have fallen behind schedule being the responsibility of the Council. A Best Value Review (BVR) of the Council's Strengthening Communities Strategic Improvement Plan ¹¹ identified a concern from partners that the Council was failing to take forward its responsibilities under the Compact because of a lack of capacity.

Support for the sector was given a high priority by the Joint Sounding Board set up as part of the BVR and a number of actions that needed to be taken were identified:

- ❑ The Compact – strengthen and relaunch.
- ❑ Increase support for the VCS and its infrastructure.
- ❑ Increase Council familiarity with VCS services and expertise.
- ❑ Enable VCS to access Council training programmes that both Officers and Councillors participate in.
- ❑ Review Community Pool.
- ❑ Create list of VCS groups and services.

The BVR implementation plan includes a review of the Compact. This is being taken forward by the Council's Head of Regeneration. Discussions with him have identified the potential for this piece of work to support that review as it deals with some of the same issues (e.g. around commissioning and procurement), will cover a similar timescale (approximately 6 months) through providing capacity to undertake it.

Scrutiny report

In May 2006 the Regeneration and Planning Services Scrutiny Forum published a report of its scrutiny of partnerships in Hartlepool. This included a specific remit to clarify the role of the community and voluntary sector, and determine how better links can be established with Community and Voluntary Sector organisations.

¹¹ Hartlepool Borough Council, September 2006

The Forum took evidence from the sector which included the view that

“there had been a lot of progress in terms of Community and Voluntary Sector involvement in partnerships over recent years...However, maintaining this level of activity and progress requires continued (financial) support. In addition, the VCS felt that it had had less success in getting the services it provided onto the mainstream agenda of the public sector. The representative from the Community Network also indicated that the VCS should be considered more seriously as a potential provider of services.”¹²

One of the report's recommendations was:

“That the need for infrastructural organisation offering support to the wider VCS be recognised by the Council and be appropriately funded.”

Building Links programme

The Council and VCS have jointly taken part in this programme, funded by the North East Centre for Excellence, aimed at building capacity in a number of organisations that deliver health and social care services in the town. Activities have included

- ❑ Developing a shared understanding of the role of the VCS and of commissioning and procurement processes
- ❑ Support for business planning processes in the VCS organisations involved
- ❑ Developing a better understanding the model of 'Full Cost Recovery'

The programme is coming to an end and has discussions with the lead officer¹³ have suggested a number of areas for further work including:

- ❑ Developing the skills base in some VCS organisations e.g. financial administration and management
- ❑ Investigating more effective ways of organisation to improve efficiency
- ❑ Supporting organisations to develop more business like approaches so they can better take advantage of new opportunities
- ❑ Looking more closely at issues of sustainability in the sector.

This proposal would address some of these issues.

¹² Report of the Regeneration and Planning Services Scrutiny Forum to Cabinet, May 2006

¹³ The Policy and Organisational Development Advisor in Adult and Community Services

Conclusions and suggested approach

There is a strong VCS in Hartlepool which currently plays an active role in the economic, social and community life of the town. The sector is diverse and this is seen as one of its strengths but also a potential weakness. It plays an important role in community engagement processes and is also a significant deliverer of services – especially in relation to health and social care.

However it also has a number of weaknesses. It is not on a secure financial footing being heavily reliant on short-term funding. It is thought that there may be significant duplication in a number of areas which leads to inefficiencies and there is a need to strengthen the sectors' financial and business planning processes. There is some evidence that the numbers of people employed in the sector is declining reflecting its relatively weak financial position.

Relations between the Council and the sector are good and both are receptive to new approaches. The Council invests a significant amount of money in the sector – but does not have a clear picture of how much that is. Nor does it have a clearly expressed view of how it sees the future of its relationship with the sector and what future it envisages for the sector – especially as a potential provider of services. The recent CPA has highlighted some risks in this area. The Council also has some concerns about the viability and sustainability of the sector but is keen to see it strengthened and remain as a vital force in the life of the town.

Both the Council and the VCS have been relatively slow to take forward the new agenda set out by the Government in recent years. A Compact has been agreed but it is not a live document and is in the process of being reviewed. Some work has been done with a number of organisations delivering health and social care services to improve their business processes and give them a greater understanding of the commissioning opportunities in these areas but it has been short-term and is finishing shortly even though it is acknowledged there is more work to do.

There is a need to develop a more strategic approach, building on the positive base that currently exists, and working with both the Council and the VCS to address these issues.

Your brief and our approach

Our understanding of your brief

Your brief asks us to work with the Council and the VCS to:

- ❑ Develop a strategy that would set the future relationship between the Council and the sector including:
 - how the Council will work to support the development and success of VCS organisations working in the town.
 - what the Council wants from the voluntary sector and how it is prepared to support it both financially and in other ways
 - how the Council will engage with the sector and involve the sector in its ongoing processes
 - the contribution that the sector can make both to the general civic life of Hartlepool and in terms of service delivery.
- ❑ Help the Council gain a full understanding of the support that it currently provides to the sector, why this is being given and its appropriateness
- ❑ Draw up a picture of the current financial state of the sector and how this will change over the short-term; identifying any risks that this poses and how these might be managed
- ❑ Identify ways in which the sector could become more efficient and effective and make better use of the resources provided by the Council
- ❑ Develop a shared understanding of the potential future role for the VCS in service delivery and ensure that effective mechanisms are in place for the Council to procure services from the sector ensuring both value for money and the financial stability of the organisations delivering services
- ❑ Identify options for a way forward.

Key areas that we would need to address in carrying out this work include:

- ❑ Understanding the overall strategic objectives of the Council and the sector, how these relate to each other and any congruencies or divergences between them
- ❑ Developing a shared vision of the potential role of the sector in the future and of the relationship that should exist between it and the Council
- ❑ Building an appreciation of the state of current relationships between the sector and the Council and any barriers that exist to improving these
- ❑ Pulling together previous and current work on the size, composition and overall value of the sector including building a picture of its strengths and weaknesses

- ❑ Mapping out the threats and opportunities that exist for the development of the sector and the capacity of the Council and the sector to address these
- ❑ Identifying current good practice in the town. Identifying the implications of national policy and guidance and how these would affect the relationship between the Council and the sector
- ❑ Developing an understanding of the current support that the Council provides to the sector, both financially and in other ways, and any future plans for this support
- ❑ Understanding the risks to the sector and the Council and how these could be minimised.

The outputs to this work would be built around:

- ❑ An analysis of the national and local context within which the work has been carried out
- ❑ An assessment of the current state of the VCS, its relationship with the Council and the potential for future development
- ❑ A database of organisations currently supported by the council
- ❑ a draft strategy that would set the future relationship between the Council and the sector including:
 - how the Council will work to aid the development and success of VCS organisations working in the town.
 - what the Council wants from the voluntary sector and how it is prepared to support it both financially and in other ways
 - how the Council will engage with the sector and involve the sector in its ongoing processes
 - the contribution that the sector can make both to the general civic life of Hartlepool and in terms of service delivery.
- ❑ Processes and mechanisms for the procurement of services including policies on key issues such as full-cost recovery
- ❑ Options for future development including:
 - how the council could support the sector
 - how the sector could become more effective and rise to the challenges facing it and the Council
 - other funding opportunities that may be open to the VCS.
- ❑ The financial implications of any changes for the Council.

Outputs could potentially extend to:

- ❑ Developing a single gateway and process for all funding applications from the VCS to the council
- ❑ Extending the approach to include other statutory organisations (we understand the PCT has already expressed potential interest in being involved) and the Hartlepool Partnership.

Our approach

Our overall approach is that we want to work in partnership with our commissioners to ensure that our product meets their requirements. We look for ongoing engagement recognising that a brief of this nature will often need to change during the course of the work in response to changes in the external environment.

Also in relation to this piece of work we would want to include the VCS in that partnership and ensure their active engagement in the process and ownership of the outcomes. Preferably we would be looking for the Council and the VCS to 'jointly' commission the work. This, we understand, is in line with the Council's approach.

We would propose setting up a Steering Group for the work. The Group would be made up of key officers from the Council and representatives of the VCS. We will aim to place this work within the principles and objectives of the borough's Community Strategy.

We want to ensure that our work is focused and cost effective, and that the outputs address and meet your local issues and priorities. To achieve this we will:

- ❑ Make use of any information already available (including any survey data, reports together with information from other planning documents)
- ❑ Use examples of good practice from other areas, national government and advisory bodies (such as NCVO) to inform the development of the vision and strategy
- ❑ Link with other work going on in the region e.g. North East Centre of Excellence's work on procurement, the Northern Rock Foundation's state of the voluntary sector research programme, so we can import relevant lessons from this

We will ensure that the outputs and recommendations not only identify the potential for change, but most importantly reflect the local strengths and potential in the borough, so that the proposals are realistic and achievable. We will ensure that the outputs are produced in Plain English.

Phases of the work and Project Plan

We have set out our initial thoughts on how the work could be carried out. We would provide a more detailed proposal if the Council decides that it wishes to proceed with this commission.

Phases of the work

The proposed work programme would be carried out in stages. Much of the work could run concurrently. The suggested stages are:

Stage 1 – Set up

We would wish to begin with a set-up meeting to:

- Understand how this work fits into the wider strategic planning and change agenda
- Identify documentation to analyse.
- Identify agencies and individuals to interview
- Agree how we will work with our commissioners including the role and composition of a Steering Group
- Agree a named officer from the Council as our day to day link
- Confirm a work plan and timetable for the work and the reporting process

Stage 2 – understanding partner's strategic objectives and agreeing a vision

Identifying the key strategic objectives of the Council and the sector through interviews with e.g. leading members and officers, representatives of the sector. This phase of the work could include a broader workshop/event that brought together a range of people (including from other agencies) to agree a shared vision for the VCS in Hartlepool.

Stage 3 – understanding the support currently given to the sector

Undertaking an audit of current support and developing a database of the organisations supported, the extent and nature of that support and why it is considered appropriate. This could include working with council officers to undertake a review of the appropriateness of this funding and to identify how it is assisting the council to meet its corporate objectives or, where it is not, options for future support (including withdrawal). We would use a model of funding that divides support into one of three categories: *shopping, giving, investing* (see box below)

Stage 4 – national, regional and local context, identifying best practice

Carrying out desk top research to identify relevant national and regional policy guidance and examples of good practice from all levels

Stage 5 – SWOT analysis

Undertaking an analysis of the strengths and weaknesses of the sector and its relationship with the Council and the threats and opportunities open to both parties to further develop both that relationship and the role of the sector.

Stage 6 – review of the sector

This stage would look at the size of the sector and the value that it brings to the town. It would include a survey of all VCS organisations and would aim to identify opportunities for the sector to become more efficient e.g. by sharing backroom functions.

Stage 7 – procurement mechanisms and processes

This stage would develop proposals for how the Council should procure services from the VCS including addressing issues such as full cost recovery. It would incorporate good practice guidelines such as those developed by the treasury and build on the work in this area undertaken by the North-east Centre for Excellence.

Shopping, giving, investing – types of funding for the VCS

There are basically 3 reasons why the Council will provide funding to voluntary and community organisations.

‘Shopping’ – here the Council is seeking to procure a specific service or activity e.g. provision of day care services, sports activities for young people. The Council will want to specify in some detail exactly what it expects an organisation to provide in terms of volume, location etc and the outcomes it wishes to achieve. In the majority of cases procurement of a service will be through open tender and voluntary sector organisations may be competing against the Council itself and/or private sector providers. Services will be provided under contract either for a fixed amount or an amount that is related to the volume of work carried out. Contracts will be for a fixed term – the length of which will depend upon the nature of the service being provided and usually funded on the basis of ‘full-cost recovery’. Contracts will need to be actively managed at a level appropriate to the size and risk attached to the contract concerned.

‘Giving’ – here the Council is seeking to support a worthy cause without this support being tied to specific activities. An example would be general support to a tenant’s group or youth club. Support will be provided as a grant and it is likely that the Council will only specify high-level outcomes it wishes to achieve e.g. provide support to tenants living on X estate. Grants are normally awarded on an annual basis and should not be used to fund ongoing commitments e.g. staff costs. The need to show equity suggests that grants should be made available to support particular types of activity and organisations involved in that field should be able to apply through a published and open process. Grants will need to be reviewed but using a light-touch. Grants will generally be for relatively small amounts (e.g. less than £10,000 per annum). Funding that falls under this heading still needs to be related to the Council’s priorities and objectives and Departments need to be clear about why they are grant aiding an organisation.

‘Investing’ – here the Council is seeking to build the capacity of the voluntary sector and enable it to operate more effectively. Examples could include funding an organisation such as HVDA, to provide support to voluntary organisations throughout the borough or provide capital support to enable several organisations to share premises. The Council will need to be able to specify what it wants to achieve through the funding and relate this to its priorities and objectives but it is likely to be at a higher level of detail than for a specific service with funding linked to the delivery of specific outcomes rather than outputs. Funding is likely to be directed to a specific organisation so tendering will not be appropriate (although a restricted tender may be useful in some situations). Rather than a detailed contract it would be better to draw up an agreement (although this will still have the legal force of a contract). Agreements will need to be actively managed – but this should be more of a collaborative process with the provider.

Stage 8 - Developing options and recommendations

This stage of the work combines the inputs from all of the previous stages, together with best practice experience to produce a draft strategy, options and recommendations. We would envisage that a central part of this stage would be an event with a broad range of participants (usefully bringing back together people involved in the event in stage 2) to review the work done and test out the recommendations and options (possibly using an approach called 'real time strategic change' – a technique for redesigning organisational processes)

Stage 9 - Producing the Final Report The final report would set out our proposals including costings and outline an action plan for their implementation. The report would include an executive summary.

Timescale and outputs

Timetable and costings

At this stage we have just produced an indicative time scale and costings

	<i>Phase</i>	<i>Estimated time</i>
Month 1	1. Set-up 2. Begin work on auditing current financial support 3. Understanding strategic objectives 4. first meeting of Steering Group 5. planning for vision event	6 days
Month 2	6. Developing a shared vision 7. discussions with other agencies 8. vision event	6 days
Month 3	9. SWOT analysis 10. survey of VCS 11. second meeting of Steering Group	10 days
Month 4	12. Identifying local and national good practice 13. analysis of survey and preparation of report on results 14. designing procurement processes	10 days
Month 5	15. Developing options and recommendations 16. real time strategic change event	6 days
Month 6	17. third meeting of Steering Group 18. Producing the final outputs	5 days
Total days		43 days

The Team and our experience

Peter Fletcher Associates Ltd – our experience

Peter Fletcher Associates Ltd (PFA) is an independent research and consultancy organisation. We undertake research and social policy analysis for Government departments and national bodies. We also carry out research, strategic and community development consultancy at a local level for health and local authorities, partner agencies such as RSLs, other service providers, and community groups.

PFA have completed a number of national research studies for the Housing Corporation and Government Departments. Examples include:

- *Guidance on Preparing Older People's Strategies – linking housing to health, social care and other strategies* (ODPM/DH 2003)
- A strategic commissioning workbook, for the Change Agents Team, *Strategic Moves: Thinking, Planning and Delivering Differently – Strategic Commissioning for Older People's Services*, (DH January 2005)

Local consultancy work includes experience of working across almost all the citizen groups that the VCS addresses at both strategic and community levels, for example:

- Whole system strategies for older people crossing regeneration, housing, social care and health, as well as building community engagement models with older people as partners. Examples include Hounslow, Stockton, Liverpool, County Durham, St Helens and Knowsley
- Supported Housing and Supporting People strategies, and strategies for specific groups such as people with mental health problems, people with learning disabilities, homeless people and all socially excluded groups such as people with drug and alcohol problems
- Partnership working and joined up commissioning across health, social care and housing
- Working with provider organisations, particularly VCS organisations around needs analysis, option appraisals and business plans for service delivery. Examples include a study on the need for low level services for older people in Newcastle – *A Little Bit of Help* and work with Leicester Aids Support Service
- Community development to set up and support citizen consultation and engagement structures and models, such as Older People's Forums and Partnerships, for example in Newcastle, Warrington and Devon

Iain Kitt and Peter Kenrick have done specific work in two local authorities looking at their relationship with the VCS. This has included reviewing the support provided to organisations and designing a new approach to funding of VCS organisations that is in line with the Council's corporate objectives.

The team

Our team would be drawn from the following people. We will finalise the balance of the team once we have agreed a final brief. It is likely that Iain Kitt will be the project manager for this commission if it goes ahead.

Peter Fletcher: Founder and Director of Peter Fletcher Associates. Consultancy skills and experience working across the housing, health and social care sectors in relation to adults, older people and socially excluded groups. Main consultancy experience in: strategic 'whole systems' and partnership working; development work with provider organisations, in particular the voluntary and community sectors; citizen and consumer research and community engagement; regeneration and community care; health and housing. This is complemented by a range of national research studies on. Peter is co-author with Moyra Riseborough of the housing strategy for older people template for ODPM and DH (*Preparing Older People's Strategies*, 2003), and a workbook on strategic commissioning for DH and CSIP (2005). Peter is currently leading the PFA work in Devon to set up a network of 29 Senior Councils across the county, which will link together at district and county levels.

Until Peter set up PFA he had worked in the Voluntary and Community Sector all his life, firstly as a manager and then Director of NACRO (1983-96) working with offenders and homeless people. The work included supporting local offender support organisations and groups across the country. He then joined Anchor Trust (1986-97) as a Director, developing a range of housing and support services for older people. Peter was seconded to DH as a Member of the Community Care Support Force in 1993. For the past 6 years (until October 2006) he has been Chairman of Housing 21.

Iain Kitt is an Associate of PFA. He has over 15 years experience as a senior manager in the NHS and Social Services ending up as Director of Health Improvement and Commissioning for Newcastle Primary Care Trust, where he was responsible for the commissioning of a comprehensive range of services to meet the needs of the City's population. This included responsibility for commissioning services from the VCS worth over £4m per annum. As part of this aspect he established regular meetings with the sector and during 2004, led a review of the support given by the PCT to ensure it remained fit for purpose.

Since becoming a consultant in September 2004 he has undertaken a number of pieces of work which have reviewed the links between the voluntary and community sectors and their local authorities. With Peter Kenrick he carried out a review of the way North Tyneside Council allocates funding to the voluntary sector, making recommendations on procurement practice and systems for implementing financial support to the sector; has worked with Newcastle City Council and Newcastle Council for Voluntary Service to examine their future relationship. He has also worked with Leicester Aids Support Service reviewing

their role and relationship with their major funders and evaluations in different areas of the contribution voluntary organisations make to government programmes including NDC and Sure Start.

For the last 30 years he has had various roles in voluntary organisations including being chair of the Board of a major charity in Newcastle dealing with homelessness. He is currently on the Board of the Newcastle Healthy City Project and is a voluntary sector representative on the City Council's Health and Adult Care Scrutiny Panel

Peter Kenrick: has considerable experience of working with the community and voluntary sectors at both operational and strategic levels over the past thirty years. At a senior level in Newcastle City Council he worked to ensure the involvement of the voluntary sector in citywide partnerships and regeneration initiatives; managed a programme that involved local community and voluntary organisations across the City in addressing disadvantage in their areas; was responsible for the Council's links with key voluntary organisations and set up corporate systems to distribute and monitor the Council's financial support to the voluntary sector.

Since becoming a consultant in April 2002 Peter has undertaken a number of pieces of work which have reviewed the links between the voluntary and community sectors and their local authorities. This work has included a review of the way North Tyneside Council allocates funding to the voluntary sector, making recommendations on procurement practice and systems for implementing financial support to the sector; a staged inspection for the Audit Commission of Northumberland County Council's review of its links with the voluntary & community sector; and evaluations in different areas of the contribution voluntary organisations make to government programmes including regeneration, Sure Start/Children's Centre and worklessness.

Peter has a good understanding of the voluntary & community sector as a result of giving practical support and advice to organisations as part of his professional and consultancy work and, in a personal capacity, having set up and run homeless organisations in the past to currently being Chair of a citywide voluntary organisation (Community Action on Health) and trustee of another organisation in the West End of Newcastle.

Eileen Waddington is an independent consultant and an Associate of Peter Fletcher Associates Ltd with whom she has worked on a number of commissions. Eileen has a background in health and social care management and has been commissioned by national voluntary organisations to explore their contribution to "whole system working". Eileen worked with Age Concern England to develop their national quality standards and whilst at the Nuffield Institute, University of Leeds, took the lead on prevention and promoting well-being and worked with voluntary organisations to explore their contribution to practical support services.

Louise Graham joined PFA in 2003 primarily in a research role, and has since been working on a number of Supporting People projects, Older Persons Strategies and Housing Needs projects. She has a background in academic and field research, adult education, and development work. Louise has considerable experience of carrying out comprehensive evidence searches and literature reviews, translating complex language into plain English, and communicating findings to service users, service providers, managers and grass-roots workers. She has also carried out a wide range of large-scale analysis and interpretation of qualitative and quantitative data. Her professional interests are in the field of methodology and process. Prior to joining PFA, Louise worked with a wide range of vulnerable people to develop and improve health and social care services, and other local initiatives in Darlington and County Durham. Based in the voluntary sector, Louise established extensive networks with service users and key professionals across all sectors, and built a reputation for effective partnership working.

Louise Craig joined PFA in September as Information and Research Co-ordinator. Previously, Louise was employed as a Research Associate at the Centre for Urban and Regional Studies at the University of Birmingham. Projects within this department included the development of a national model of best practice in the education and employment of refugees in the UK for The Home Office, and an evaluation of refugee and asylum seeker services in Birmingham on behalf of Birmingham City Council. Other projects included an evaluation of the South Yorkshire Housing Market Renewal Area. Louise has completed a Masters Degree in Sustainable Regeneration, which focussed closely on the processes involved in physical, social and economic regeneration and developed her skills in research methodologies. Current work for PFA includes the evaluation of the Older People's Quality of Life Partnership in Newcastle, in particular the work of the Elders Council outreach work to build a socially inclusive membership that reflects the diversity of the older population in the city.

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Cabinet Report

29th October 2007



Report of: Director of Neighbourhood Services

Subject: **CORPORATE DRIVER TRAINING SCHEME**

SUMMARY

1.0 PURPOSE OF REPORT

The purpose of this report is to seek approval to implement a Corporate Driver Training Scheme to all Council Departments where members of staff are required to drive on official business.

2.0 SUMMARY OF CONTENTS

The report includes information relating to the driver training course content, estimated costs and safety, environmental and financial benefits.

3.0 RELEVANCE TO CABINET

This is an issue that affects the whole Council.

4.0 TYPE OF DECISION

Non key

5.0 DECISION MAKING ROUTE

Cabinet 29 October 2007.

6.0 DECISION REQUIRED

That Cabinet approves the introduction of a Corporate Driver Training scheme to be adopted by all Council Departments where staff are required to drive on official Council business.

Report of: Director of Neighbourhood Services

Subject: CORPORATE DRIVER TRAINING SCHEME

1. PURPOSE

- 1.1 The purpose of this report is to seek approval to implement a Corporate Driver Training Scheme to all Council Departments where members of staff are required to drive on official business

2. BACKGROUND

- 2.1 Nationally, it is estimated that up to a third of all road traffic accidents involve somebody who is at work at the time. This may account for over 20 fatalities and 250 serious injuries every week. Regionally, it is estimated that over a quarter of all road traffic collisions occur on the regions roads where a driver is driving as part of their work duties.
- 2.2 Many local authorities' insurers are now endorsing driver training programmes as they recognise the positive effect they have on driving skills, accident reduction, claims history etc. In many cases this can result in reduced insurance premiums.
- 2.3 A reduction in incidents should also result in a reduction in uninsured losses which are paid directly by the Authority, and a reduction in lost output via accident-related sickness.
- 2.4 The Department for Transport, Royal Society for the Prevention of Accidents, the AA and RAC encourage organisations to develop work related road safety policies and procedures. As a responsible employer the Council would set an example to others when this scheme is implemented.
- 2.7 There have been a number of high profile cases in the media where Directors, Managers, Transport providers, Health and Safety Officers and others have been found guilty of Corporate Manslaughter through the lack of implementing robust driver policies to protect their workforce. In many of these incidents, a member of staff has caused an accident when driving on official business, without there being any formal corporate driver safety policies in place. Common examples of corporate prosecutions are: -

- work-related serious/fatal accidents arising out of unsafe systems of work,
 - serious/fatal accidents resulting from the provision of unsafe goods or services,
 - serious/fatal road traffic accidents in cases where company vehicles are unsafe.
- 2.8 The Corporate Driver Training Scheme can ensure that, should a blameworthy accident occur as a result of the actions of an employee driving on Council business, the Council can demonstrate that driver policies and procedures are in place to negate officers from criminal prosecution.
- 2.9 The basic requirement that underpins the driver training scheme is to ensure that staff in receipt of a car allowance (casual and essential), and those staff required to drive a Council supplied vehicle can legally drive. This is undertaken through the checking/validation of driver documents on a regular basis.
- 2.10 Further to this basic requirement a pilot driver training scheme is currently being undertaken in the Technical Services Division of Neighbourhood Services involving over 160 staff. This scheme is being delivered by Road Safety staff with an expected completion date of March 2008.

3. PILOT SCHEME CONTENT

The driver training pilot scheme involves three key elements, they are:

3.1. CHECKING/VALIDATION OF DRIVER DOCUMENTS

- 3.1.1 Staff driving on Council business, whether using their own vehicle, a hire vehicle or a Council supplied vehicle, are expected to ensure that they have a valid legal driving licence, a current tax disc, a MOT and insurance certificate (where applicable.)
- 3.1.2 Staff in receipt of a car allowance are required to provide all documents, and those staff currently driving hired vehicles, or those supplied by the Council, are expected to provide a valid current driving licence only. All information is stored on a restricted access, secure database managed by Road Safety staff and licences are verified through a specialist driving licence validation company.

3.1.3 All documents will be checked annually, however the following applies: -

- Staff with nil or 3 penalty points on their licence – documents checked every 12 months
- Staff with 6 penalty points on their licence – driving licences checked every 6 months
- Staff with 9 penalty points on their licence – driving licences checked every 2 months.

3.2 ON-LINE ASSESSMENTS

3.2.1 All staff are expected to undertake an on-line computer based driver assessment in order to categorize their driving risk based on their driver profile, knowledge of the Highway Code and hazard perception.

3.2.2 From initial consultations with the Haymen Quantril, the company delivering the on-line assessments, it is estimated that, for a typical organisation:

- 20% of drivers will be ranked in the highest risk category and this would require immediate action in the form of a practical driver training programme.
- 25% of drivers would be ranked as medium/high risk requiring short/medium term action.
- 35% of driver would be ranked as medium risk possibly requiring a classroom based training programme.
- 20% of drivers would be ranked as low risk requiring no further action.

Not all staff undergoing the first two stages will be required to complete the final practical driver training module.

3.3 DRIVER TRAINING

3.3.1 Staff ranked as high and medium/high will be required to undertake additional training in the form of either theory only, or theory and practical based sessions.

3.3.2 The practical driver training model consists of a half day theory and half day practical driver training with Advanced Driving Instructors (ADI) who provide their own vehicles for the training.

3.3.3 The theory element of the course covers 6 modules: -

- Barriers to Good Driving,
- Driver Stress and Aggression,

- Accident Prevention,
- Tips for Safer Driving,
- Hazard Perception and
- Fuel Efficient Driving.

- 3.3.4 ADI's will undertake the practical driving assessments in their own supplied vehicles, and offer tips and advice to improve a person's knowledge, ability and awareness.
- 3.3.5 Any staff not demonstrating sufficient improvement will be offered further coaching/training in order to improve performance at a cost to the Department.
- 3.3.6 For the purposes of the Technical Services pilot scheme, all staff will undergo each stage of the Driver Training Scheme in order to fully evaluate the project.

4. FINANCIAL IMPLICATIONS

- 4.1 The total cost per person to complete the full course is £75 – this includes the checking/validation of driver documents, the completion of an on-line driver assessment and each person completing the theory/practical driver training programme.
- 4.2 The Technical Services pilot scheme is being funded through existing budgets. In the pilot scheme 165 members of staff will undergo the full training programme at a cost of £12,375.
- 4.3 Typical example:
- 4.3.1 The cost of delivering a full Driver Training Scheme to a division comprising of 150 employees is approximately £11,000 – this includes the checking/validation of driver documents, completion of an on-line assessment and undertaking of a theory and practical training programme for all staff.
- 4.3.2 However if only 45% of staff are required to undergo theory/practical training this estimate is approximately £7000.

Estimated Costs Per Department – based on Car Users Only (does not include staff driving Council vehicles)

Car Users by Department					
	CASUAL	ESSENTIAL	All Users	Cost Full Course (£) *	2 Stage Course **
CHIEF EXECUTIVES	91	32	123	9225	5485
REGENERATION & PLANNING	49	94	143	10725	6385
NEIGHBORHOOD SERVICES	63	135	198	14850	8910
CHILDREN SERVICES	224	198	422	31650	18890
ADULT SERVICES	212	155	367	27525	16,415
				Total All Departments	
		Total All Users	1253	£93,975	£56,085

NOTES

* **Full Course** - Document Checks, On-line Assessment and full day practical training – this is the worst case scenario whereby every member of staff requires a full driver training scheme.

** **2 Stage Course** - Document Checks, On-line Assessment, 45% of all car users complete practical course – this figure is based on experiences of other organisations where approximately 45% of staff have required the full driver training scheme.

5. BENEFITS TO HARTLEPOOL BOROUGH COUNCIL

5.1 There are a number of safety, financial, efficiency and environmental benefits of adopting a Corporate Driver Training Scheme, they are: -

- Reduction in incidents/collisions involving staff driving on Council business.
- Reduction in uninsured losses which are paid directly by the Authority.
- Reduce lost output via accident-related sickness.
- Improved efficiency of the Council fleet
- Reduced operating costs
- Reduced emissions and efficient use of vehicles
- Improved environmental performance.

5.2 In the last 5 years the Councils fleet have been involved in over 770 incidents requiring repair of our own vehicles or a third party vehicle. In claims over £500,000 has been paid out to repair vehicles (no figures are

available for casual and essential car user collisions). This figure does not take into account the hidden costs of lost time due to sickness, vehicles being off the road, hired in vehicles/drivers or the administration time in processing claims and dealing with repairs etc.

- 5.3 This scheme, if adopted across all Council Departments, will seek to make a reduction, in operating costs of approximately 15%. In monetary terms this equates to a saving of £15,000 per year in claims alone and does not include other cashable savings of vehicle consumables such as tyres, clutches, oil etc.
- 5.4 In addition the fuel efficient driving module, when directed at those driving Council supplied vehicles, will seek to save an average of 15% in fuel savings in addition to consumable items.
- 5.5 The environmental implications of a fuel efficient driving course can result in an average saving of approximately 2-3 tonnes of carbon dioxide per annum, per vehicle.

6. DECISIONS REQUIRED

- 6.1 The Cabinet approves in principle the introduction of a Corporate Driver Training Scheme to be adopted by all Council Departments where staff are expected to drive on official Council business.

CABINET REPORT

29 October 2007



Report of: Director of Regeneration & Planning Services

Subject: Tees Valley Sub-Regional Housing Strategy

SUMMARY

1. PURPOSE OF REPORT

To inform Cabinet of the current position in respect of the Tees Valley Sub-Regional Housing Strategy.

2. SUMMARY OF CONTENTS

Further to the report to Cabinet in September 2007, the Report reprovides information on the development of the Tees Valley Sub-Regional Housing Strategy, and seeks endorsement to the final version which has recently been published and submitted to the North East Housing Board (NEHB).

3. RELEVANCE TO CABINET

The report has core strategic relevance to housing, regeneration and liveability and the agenda for creating and supporting sustainable and mixed communities.

4. TYPE OF DECISION

Non-key.

5. DECISION MAKING ROUTE

Cabinet at it's meeting of 29 October.

6. DECISION(S) REQUIRED

Cabinet is requested to endorse the Tees Valley Sub-Regional Housing Strategy.

Report of: Director of Regeneration & Planning Services

Subject: Tees Valley Sub-Regional Housing Strategy

1. PURPOSE OF REPORT

- 1.1 To inform Cabinet of the current position in respect of the Tees Valley Sub-Regional Housing Strategy.

2. BACKGROUND & CONTEXT

- 2.1 The NEHB produced its first Regional Housing Strategy in 2003, and an updated version in 2005. Alongside the development of a revised Strategy in 2007, it has requested that sub-regions across the north-east submit detailed sub-regional strategies which will assist in informing resource allocations and commissioning decisions in respect of 2008-11 housing capital allocations.
- 2.2 The NEHB has moved away from traditional formulaic allocations of housing capital resources through the Single Housing Investment Pot (SHIP) in favour of allocations based on agreed strategic priorities. It has stated that identified sub-regional housing priorities will be used to inform future SHIP investment decisions.
- 2.3 The imposed timescales for completion of the Sub-Regional Strategy have been challenging, with final guidance not being issued until early July and a final draft submission being required in early August. Given this position, over recent months officers have been working together through the Heads of Housing Group with the other Tees Valley Local Authorities and the Joint Strategy Unit to develop and refine the Sub-Regional Strategy and associated Action Plan. The Strategy has now been submitted to NEHB. A copy is available in the Members Room and on the intranet.
- 2.4 The primary objectives of the Tees Valley Sub-Regional Housing Strategy are to draw together housing issues that have a common thread across the sub-region, to facilitate partnership working between local authorities and housing providers, and to better inform other strategic plans such as the Regional Housing Strategy. The Strategy also aims to assist the economic regeneration of the Tees Valley through the delivery of a step-change in the type and quality of housing on offer, making the sub-region a more attractive place to live. Its core priorities align with those embedded within successive Regional Housing Strategies as mentioned above, ie they are concerned with
- Rejuvenating The Housing Stock
 - Providing Choice and Quality
 - The Improvement and Maintenance of Existing Housing

- Meeting Specific Community and Social Needs

2.5 The aims and objectives of the Strategy are consistent with those previously identified and agreed at a local and sub-regional level through such documents as the Hartlepool Housing Strategy 2006-2011 and the Tees Valley Living Housing Market Renewal Strategy. The Tees Valley is the first sub-region in the North East to have produced a strategy.

2.6 The immediate strategic housing priorities identified within the Tees Valley Sub-Regional Housing Strategy can be summarised as follows:

- supporting and aligning other investment with the Tees Valley HMR programme, to achieve transformational change in areas of low and changing demand;
- supporting the provision of affordable housing;
- facilitating complementary improvement of sustainable housing within or adjacent to HMR priority areas and strategic housing sites;
- supporting the development of largely family housing in HMR priority areas
- working with Planning professionals to secure the appropriate mix of new housing;
- continued work to address the housing and support needs of all vulnerable groups;
- continued development of joint procurement and commissioning.

2.7 In the context of Hartlepool, officers have endeavoured to ensure that the key priorities identified in the Hartlepool Housing Strategy, the Housing Regeneration Strategy, Homelessness Strategy, Private Sector Renewals Policy and other strategic and policy documents are reflected in the priorities of this document. The Sub-Regional Housing Strategy and Action Plan therefore, for instance, recognises central Hartlepool as a core priority for HMR investment and the importance of partnerships between the Council, Housing Hartlepool and Hartlepool Revival. Other key priorities within it reflect our objectives towards meeting decent homes targets, addressing homelessness, continuing activity to address the problem of empty homes and improve standards in the private rented sector, and a range of initiatives to support vulnerable people.

3. FINANCIAL & RISK CONSIDERATIONS

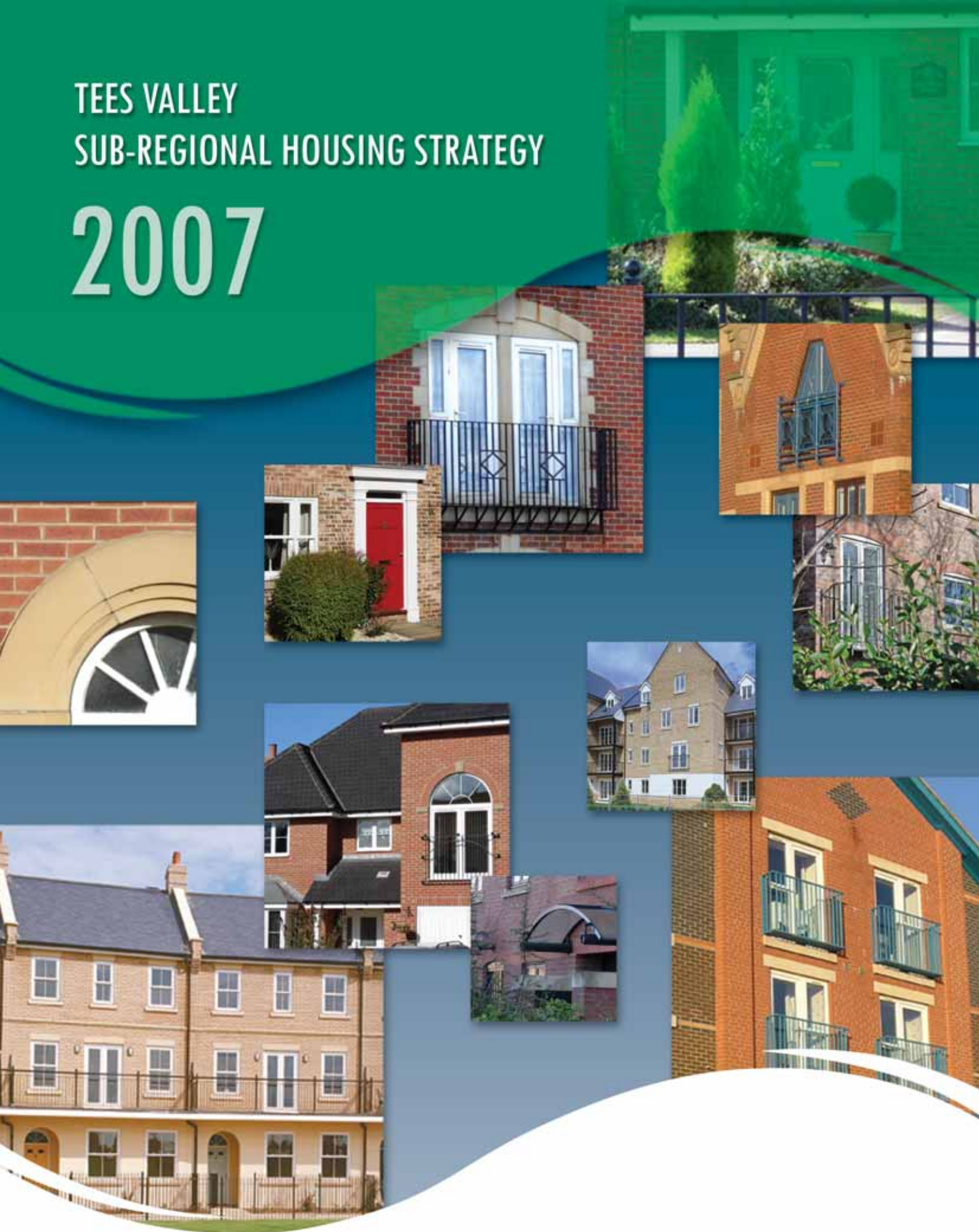
3.1 Preparation of the Sub Regional Housing Strategy is an important step in ensuring that housing resources continue to be directed to the Tees Valley sub region. Hartlepool's participation in the process will help to ensure that we remain a priority for support and that appropriate levels of funding are secured for the town.

4. RECOMMENDATIONS

4.1 Cabinet is requested to endorse the Tees Valley Sub –Regional Housing Strategy.

TEES VALLEY SUB-REGIONAL HOUSING STRATEGY

2007





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TEES VALLEY SUB REGIONAL HOUSING STRATEGY

TEES VALLEY SUB REGIONAL HOUSING STRATEGY

PREFACE

Tees Valley is now actively demonstrating a new-found confidence and will to succeed. Our aspirations are powerfully described within our area's City Region Development Plan and it presents a compelling case for a better future. A new governance structure - "Tees Valley Unlimited" - has been developed to realise opportunities within a Multi Area Agreement between Councils and stakeholders, to bring the most benefit to the city region.

In Tees Valley, we recognise the very real challenges of addressing the needs of some severely marginalised elements of the community. There remain a number of communities facing spiralling decay and terminal decline. They are characterised by a poor quality of life, declining health and an inevitable lack of aspiration. These problems confront not only individuals and communities but also impose a great financial burden on the public purse. We must aim to solve the underlying problems rather than simply relieve the symptoms.

Our Sub-Regional Housing Strategy (SRHS) addresses a comprehensive range of challenges facing the City Region until 2021. Tees Valley has always seen Housing Market Renewal (HMR) as a fundamental to the wider economic regeneration of the whole City Region. We have started a massive job, engaged the and support of both our communities and the private sector and we are now well placed to deliver.

Government has provided the resources to enable us to make a start in arresting the decay. The process will of course require long term support. The SRHS interprets Regional Housing Strategy objectives at local level. A comprehensive evidence base has been assembled to enable us to understand the challenges to formulate relevant solutions. We will rejuvenate the local housing stock to cater for 21st century aspirations by both redevelopment and refurbishment. The evidence base helps us to target our resources and attention into the priority areas to maximise impact.

Choice and quality will be provided by aligning Section 106 Obligations to cater for identified needs. New housing areas should be predominantly owner occupied family housing. Some affordable units will also be provided.

The drive towards the provision of decent homes in both the private and social sectors is a priority. Effective neighbourhood management systems will be introduced where most needed.

We will continue successful initiatives such as Supporting People, Extra Care for the Elderly, the prevention of homelessness and the targeting of housing to cater for specific needs.

Our declared priorities recognise that ongoing revenue costs of supporting vulnerable communities are both substantial and untenable. Our interventions are designed to ultimately reduce the demands on the public purse by transforming failing areas into truly sustainable communities.

Major commitment is needed, resource. is an issue. But we must honour the commitments that we have made to our communities and deliver on their behalf. Until this task is complete, the urban renaissance will continue to elude the most disadvantaged and, to a degree, partially invalidate effective regeneration elsewhere.

Our aspiration is to create a real sense of place in those areas that have been stigmatised. To build confidence, to create sustainable communities, to build new homes in which people will want to live and want to stay. To create 'new' communities to attract new residents and investors alike. The collective commitment reflected in this Strategy, our ability to work together and the dynamism of new agencies such as Tees Valley Unlimited, put Tees Valley in the strongest position to meet the challenges ahead.

1.0 EXECUTIVE SUMMARY

1.1 INTRODUCTION

- 1.1.1 Tees Valley produced the first Sub Regional Housing Strategy (SRHS) in the North East in April 2006. This document brings it up to date. The SRHS has been produced by the five Tees Valley housing authorities and adopted by partners and stakeholders. The updated version has been adapted to take account of changing priorities in the sub-region and to reflect changes in policy at regional and national levels. The Partnership continues to grow in maturity. Collaborative working between Councils and stakeholders is a reality in Tees Valley. The incorporation of "Housing" into the emerging Tees Valley Unlimited (TVU) governance structure to implement a future Multi Agreement Area is further evidence of Tees Valley's ability to see the "big picture" and maximise its opportunities.

Embracing the New Agenda

- 1.1.2 The SRHS has been prepared during a climate of significant change in Central Government, which is likely to affect their approach to housing at all levels. The Tees Valley local authorities and partners are ideally positioned to readily adapt and modify local strategy and delivery to take account of change at national and regional level. Tees Valley has always shown a willingness to embrace the new housing agenda.

Regional Housing Strategy Objectives

- 1.1.3 The SRHS is structured around the four objectives in the Regional Housing Strategy (RHS)¹ and will interpret them locally i.e.:
- the rejuvenation of the housing stock;
 - ensuring the type and mix of new housing provides choice;
 - securing the improvement and maintenance of existing housing; and
 - addressing specific community and social needs.

1.2 UNDERSTANDING THE HOUSING MARKETS

- 1.2.1 The Tees Valley partners commissioned a Housing Market Assessment (HMA) in 2004² to inform both the SRHS and the Tees Valley Housing Market Renewal Strategy³ (TVHMRS). The HMA sits alongside a comprehensive range of housing research reports which form the TVL evidence base. There are a number of key messages which emerge from the evidence base which the SRHS will address.

Population loss

- 1.2.2 Firstly all five Boroughs have suffered population loss over the past decade. There are, however, now signs that the rate of loss may not only be slowing down but may be turning into modest growth in some parts of the City Region. As the most mobile sectors of the population tend to be the younger and economically active, it is important that each Borough provides opportunities for population growth to assist regeneration.

Housing Aspirations

- 1.2.3. Attitude surveys within the HMA indicate that there is still a strong desire on behalf of many households contemplating a house move in the next five years to move to North Yorkshire. It is seen as aspirational and offering a better "quality of life". This is a key message and suggests that the current failing neighbourhoods should be transformed into areas within which the next generation of Tees Valley residents aspire to live, if sustainable communities are to be achieved at the heart of the city region. This will not be achieved by only improving the existing stock.

¹ Quality Places for a Dynamic Region - The North East England Regional Housing Strategy, North East Assembly, July 2007.

² Tees Valley 2004 Housing Market Assessment", David Cumberland Housing Regeneration Ltd and Nathaniel Litchfield and Partners, January 2005.

³ Tees Valley Living Housing Market Renewal Strategy, Building Sustainable Communities in the Tees Valley, Better Homes for a Brighter Future, January 2006.

19th Century Terraces

- 1.2.4. The CURS study⁴ and the HMA report both highlighted an outdated housing supply dominated by small late 19th Century/early 20th Century terraced housing. Additionally, the housing supply falls below the national average for more modern, semi-detached and detached dwellings.

Former Council Estates

- 1.2.5. The economic and social history of the city region has determined that there is an oversupply of social rented housing, often concentrated into monolithic blocks with a lack of alternative housing opportunities nearby.

Black and Minority Ethnic Community Housing Needs

- 1.2.6. It has been recognised that the housing needs of the Black and Minority Ethnic (BME) communities and of the gypsy and travelling population have in the past not been well-understood. Studies already carried out and others programmed for the near future will address this information gap.

1.3 REJUVENATING THE HOUSING STOCK

- 1.3.1 There are around 48,000 dwellings in vulnerable areas characterised by poor neighbourhoods, high proportions of older terraced housing, above average levels of social rented housing and low property values. Major investment to refurbish some 30,000 of these homes is needed, the majority are in the private sector.

TVL Housing Market Renewal Strategy

- 1.3.2 TVL is leading the city region's Housing Market Renewal (HMR) initiative. Tees Valley Living's (TVL) Areas of Major Intervention (AMIs) are currently: Parkfield in Stockton; North, Central and East Middlesbrough; South Bank and Grangetown in Redcar and Cleveland Borough; and North Central and West Central Hartlepool. Although it has not been regarded as a priority in the early years of the programme, Darlington's need for housing market renewal is increasingly recognised. Its position will be reassessed post-2011.

Targeting resources

- 1.3.3 Successful delivery of the Housing Market Renewal Strategy will achieve sustainable communities throughout the sub-region. The SRHS will target at least 75% of Single Housing Investment Pot (SHIP) resources into those areas where market failure is most acute and where TVL's primary objectives will be directly assisted.

- 1.3.4 SHIP funding from the North East Housing Board (NEHB) will be targeted at refurbishment of the existing stock in the HMR area, the provision of affordable housing and meeting special housing needs elsewhere, wherever this will improve the neighbourhood housing offer.

Family Housing

- 1.3.5 Tees Valley also has an Urban Regeneration Company - Tees Valley Regeneration (TVR). TVR has five flagship projects. Four of them have proposals for up to 6,000 residential units. A significant proportion of the TVR units are likely to be urban apartments depending upon the demand for the early provision. A clear message is therefore that, as three TVR flagships sit virtually adjacent to HMR priorities in Hartlepool, Middlesbrough and Stockton, the HMR schemes must aim to provide predominantly family accommodation.

HMR Business Case Submission

- 1.3.6 In addition to the bid for SHIP funding TVL and partners are already preparing a business case for submission to Communities and Local Government (CLG) by 2nd November 2007 for additional funding from the Housing Market Renewal Fund (HMRF) alongside the established HMR Pathfinders. The overall scale of resources offered from the two sources will simply determine the speed of implementation of the programme, not its content. There are already major public commitments made to the programme by all four HMR Councils.

⁴ Changing Housing Markets and Urban Regeneration in North East England", Centre for Urban and Regional Studies, Birmingham University, Jan 2002

1.4 PROVIDING CHOICE AND QUALITY

- 1.4.1 The Regional Housing Aspirations Study⁵ confirmed the significant under-supply of detached executive housing and 3 and 4 bedroom semi-detached houses with gardens. Good quality private sector housing for independent older people is also in short supply, particularly bungalows, and lifetime homes to buy or rent.

Section 106 Obligations

- 1.4.2 All five Councils have completed a Local Housing Assessment (LHA). Each one recommends a local affordable housing requirement. Housing and Planning Officers are working to develop a more consistent Tees Valley approach to Section 106 Planning Obligations to maximise delivery.

Owner Occupation

- 1.4.3 The LHAs and the Regional Housing Aspirations Study also indicated high demand for home-ownership. The SRHS therefore proposes that larger developments will be mixed tenure. The Neighbourhood Vitality and Viability Index (VVI) indicates that where owner occupation is the predominant tenure then stability levels are typically higher.

Housing Mix and Design

- 1.4.4 Replacement housing and other large-scale housing schemes will be expected to provide a good mix of dwelling types, including provision for the needs of more vulnerable households. They must be of high quality design and specification, as it is vital that our investments should raise standards and contribute to uplifting the image of the urban core as a place where people will aspire to live.

1.5 IMPROVEMENT AND MAINTENANCE OF EXISTING HOUSING

- 1.5.1 All five local authorities have now determined their investment strategies to make all social housing sector homes decent by 2010/11. Hartlepool, Middlesbrough

and Redcar and Cleveland have well established Large Scale Voluntary Transfer (LSVT) Registered Social Landlords (RSLs). Stockton has set up an Arms Length Management Organisation (ALMO) and Darlington has chosen to retain its stock.

- 1.5.2 The partnership approach maximises private investment for home improvements, implementing new decent homes investment packages and the effective procurement of financial products and services.

Continued Funding Objectives

- 1.5.3 The Local Authorities submitted a successful bid to the NEHB for SHIP Round 2 funding in 2006. They are now seeking further funding in SHIP Round 3 to help to improve private sector housing, implement new schemes, reduce the number of empty homes and improve energy efficiency. It also aims to further develop licensing and accreditation of private landlords across Tees Valley.

Neighbourhood Management

- 1.5.4 In addition, effective neighbourhood management can underpin physical improvements and is being considered where significant regeneration activity is being delivered in the most vulnerable neighbourhoods.

1.6 MEETING SPECIFIC COMMUNITY AND SOCIAL NEEDS

- 1.6.1 Since the advent of Supporting People, commissioning bodies have undertaken an extensive needs and supply mapping analysis. This information together with the findings of our LHAs, has allowed us to develop detailed priorities for housing with support.

⁵ Regional Housing Aspirations Study, Final Report, March 2005, Nathaniel Lichfield & Partners Ltd.

Housing for Older People

- 1.6.2 The strategic approach to housing with care and support for older people is developing well across Tees Valley. The current model of extra care is a good one, and will be enhanced to provide units for sale and to provide a hub for services in the wider community. A Tees Valley approach towards the provision of extra care continues, with floating support for vulnerable people being developed across the sub-region, including greater use of assistive technologies.

Prevention of Homelessness

- 1.6.3 Prevention of homelessness is high on all agendas with a range of positive actions already being well advanced. A sub-regional approach to sanctuary provision associated with domestic violence is being explored which will build on work already underway to address homelessness and pull together the best aspects of existing sanctuary schemes. Initiatives to involve the private sector in providing accommodation are being pursued.

Specific Needs

- 1.6.4 Other priority groups have been identified, including single homeless people, people with drug and alcohol problems, victims of domestic violence, people with learning disabilities, offenders and those at risk of offending.

Disabled Facilities Grant

- 1.6.5 Tees Valley Local Authorities have successfully bid for top-up SHIP funding for additional Disabled Facilities Grant (DFG) in 2005, to meet increasing demand from elderly and disabled residents wishing to stay in their own homes.

1.7 CROSS-CUTTING ISSUES

- 1.7.1 A number of gaps have been identified in the knowledge and understanding of the

housing market, especially at a more detailed, local authority and neighbourhood level. A number of studies have been commissioned to help address these gaps but work will continue in this area.

- 1.7.2 Strong leadership and the provision of localised complementary services underpin successful physical improvements.

- 1.7.3 Tees Valley authorities have maximised impact in their areas of intervention by:

- strengthening housing enforcement and strategies to deal with anti-social behaviour;
- ensuring coverage of selective landlord licensing schemes and/or landlord licensing schemes;
- enhancing community policing and/or street warden services; and
- providing dedicated community development services.

- 1.7.4 In addition, a key role is provided by neighbourhood management to coordinate local community priorities and service provision.

- 1.7.5 TVL has facilitated some key developments in moving forward on joint procurement. A Tees Valley Joint Procurement Group is developing joint approaches on the security of empty dwellings, demolition contracts and is examining the use of legal services.

1.8 DELIVERING THE STRATEGY

- 1.8.1 The five local authorities, RSLs, private sector developers, private landlords, our local communities and institutional financial and investment partners will be key to the success of this Strategy. Tees Valley is fortunate in having a number of significant organisations and established partnerships working across local authority boundaries, each with a role in helping to deliver this Strategy.

Tees Valley Unlimited

- 1.8.2 An important vehicle for future delivery will be Tees Valley Unlimited (see Chapter 9). TVU's role in the co-ordination of activity at the strategic level and its integrated governance arrangements, embracing local authorities, the private business sector and the voluntary and community sectors will be important determinants of future strategic direction, efficient local resource allocation, successful performance, and timely monitoring and evaluation of process and project delivery.

1.9 CONCLUSION

- 1.9.1 Our updated SRHS sets out a clear strategic direction and priorities for all the main housing organisations in the sub-region up to 2021. The immediate priorities will be reflected in strong sub-regional programmes that will be key to delivering results. The main elements will be:
- supporting and aligning other investment with the TVL HMR programme, to achieve transformational change in areas of low demand;
 - complementary improvement of sustainable housing within or adjacent to TVL priority areas;
 - the provision of largely family housing in priority areas
 - complementary provision of affordable housing to support households displaced during redevelopment;
 - working with Planning professionals to secure the appropriate mix of new housing;
 - continued work to address the housing needs of all vulnerable groups;
 - joint procurement and commissioning.
- 1.9.2 A summary of priorities and actions over the course of the 15 year Sub-regional Housing Strategy is provided at the end of Chapters Four to Seven. An Action Plan for the period 2008-2011 is included in Appendix A of this Strategy.

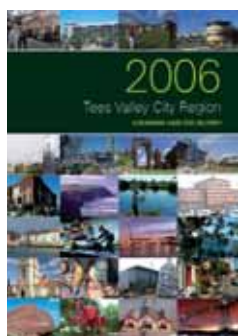


2.0 INTRODUCTION

2.1 BACKGROUND TO THE STRATEGY

Tees Valley Sub-Region

- 2.1.1 For the purposes of this Strategy, the Tees Valley Sub-Region comprises the administrative areas of Darlington, Hartlepool, Middlesbrough, Redcar and Cleveland, and Stockton-on-Tees Councils. While housing markets inevitably extend beyond administrative boundaries, this approach mirrors well-developed sub-regional strategic bodies such as the Tees Valley Joint Strategy Unit (JSU), Tees Valley Living (TVL), Tees Valley Regeneration (TVR) and the Tees Valley Partnership (TVP). This document aims to reflect the strategic housing priorities of those bodies as well as the local authorities and registered social landlords (RSLs) working in the sub-region.



Tees Valley City Region
Development Programme

- 2.1.2 As a sub-region, Tees Valley is well advanced in developing strategies to deliver economic regeneration and well-being. The TVP is the strategic body ensuring a joined-up approach to economic development and regeneration by co-ordinating the activities of the main agencies involved. This sub-regional housing strategy is one of the supporting strategic documents that form an essential part of this co-ordinated approach.

History of Housing Problems

- 2.1.3 The industrialisation of Tees Valley was very rapid, leading to masses of high density, poor quality, terraced housing being built close to the industrial workplace. Extensive 20th Century Council estates have followed a similar pattern. The process resulted in substantial areas of housing offering a very limited range of house type and tenure, which have become the least popular destinations for both indigenous households and inward migrants.
- 2.1.4 While employment overall in Tees Valley fell by 8% from 1971 to 2001, the number of manufacturing jobs fell by 70% over the same period. These job losses triggered a net outward migration of the most mobile, affluent and able people from the sub region, which up until recently was still continuing. This has left the traditional housing areas with a higher proportion of the unemployed, the elderly, and those with lower skills and wages. This situation has been compounded by urban flight from the inner areas of the sub-region.
- 2.1.5 Sustained outward migration has left parts of the inner areas with concentrations of poverty and fragile housing markets, representing a major challenge for the sub region. A programme of selective demolitions has been pursued by the Tees Valley housing authorities over recent years, with 400-500 demolitions taking place each year.
- 2.1.6 Housing market failure in Tees Valley was first highlighted by the CURS report⁶, which identified failing housing markets in the urban conurbations. Much of this involved pre-1919 terraced housing, in disrepair and increasingly difficult to sell or to let.



Aerial view of older terraced housing in Middlesbrough

However, there was also a significant proportion of council-owned stock in these failing market areas, which, with the need to meet decent homes standards by 2010, identified large-scale clearance and renewal programmes in a significant number of neighbourhoods.

2.1.7 More recently, evidence has emerged of falling vacancy rates in the social housing sector, although still above the target in the Regional Spatial Strategy (RSS), with reports of growing pressure on available stock resulting from the needs of more vulnerable groups. A reduction in the rate of turnover has also increased pressure on the number of houses available for letting. Nevertheless, there is general agreement that the replacement of obsolete and unattractive housing remains the primary housing objective across Tees Valley. RSS anticipates that over 1,000 properties per annum will be demolished in the sub region to 2011, with some 2,840 new, mainly private sector, homes to be built each year.

2.1.8 The problems in Tees Valley need to be addressed through concerted and large-scale action and through a coordinated strategy across the whole sub-region. This will involve a reduction in the level of social rented housing provision and action to deal with obsolete pre 1919 private stock, resulting in increased provision of new owner-occupied housing.

The Preparation of a Sub-Regional Housing Strategy

2.1.9 The NEHB issued its first Regional Housing Strategy in 2003 and recently submitted its updated Strategy to the Department for Communities and Local Government (CLG). Current RHS places considerable emphasis on the need to develop a sub-regional, strategic approach in order to reflect local housing markets and to encourage cross-boundary working amongst local authorities. Within Tees Valley, a sub-regional housing approach is well developed as partners anticipated the benefits of this approach early in the process.

2.1.10 The primary objective of this Sub-Regional Housing Strategy is, therefore, to draw together housing issues that have a common thread across the sub-region to facilitate partnership working between local authorities and housing providers, and to better inform other strategic plans such as the Regional Economic Strategy (RES), RHS and the RSS.

2.2 THE WIDER REGENERATION AND HOUSING CONTEXT

National Housing Policy

2.2.1 This Strategy has been prepared against a national focus on housing renewal set out in the former ODPM's 'Communities Plan' and subsequent '5-Year Plan'. This calls for major change in the approach to developing and maintaining communities across the country, much of which was to be housing led.

2.2.2 Other relevant influential strategies include the Barker Review of Housing Supply, the National Strategy for Neighbourhood Renewal, the Supporting People Programme and Community Safety Initiatives.

Northern and Regional Policy Influences

2.2.3 Within the North East Region, there are a number of complementary strategies which are directly relevant to this Strategy, including the Northern Way Growth Strategy, and, as indicated above, the RES and the emerging RSS.

The Northern Way

2.2.4 The Northern Way sets out ambitious plans to revitalise the economy of the three Northern regions, much of which is based on the premise that the North has the potential to become a more desirable place in which to live and invest. Housing quality and variety are key issues, with the current stock considered to fall well below that required to support the region's economic potential.

⁶ Changing Housing Markets and Urban Regeneration in North East England, Centre for Urban and Regional Studies, Birmingham University, Jan 2002



Northern Way 8 City Regions

2.2.5 In terms of sustainable communities and housing, the Northern Way proposals aim to:

- establish clear locational priorities for regeneration;
- ensure a satisfactory rate of clearance and replacement of obsolete housing;
- broaden the mix of housing types on offer;
- develop stronger public-private partnerships to create more capacity to deliver major change.

Tees Valley's response to the Northern Way initiative is outlined in Chapter Nine below.

Regional Economic Strategy

2.2.6 The Northern Way Growth Strategy also links closely with the RES in four key areas:

- the provision of more attractive housing will assist economic growth;
- housing demand will be strengthened by higher rates of economic growth;
- the region's image will be boosted by large-scale regeneration programmes tackling areas with poor reputations;
- investment in new construction and improvements to existing housing will generate jobs and boost incomes.

Regional Spatial Strategy

2.2.7 Regional Planning Guidance 1 (RPG) became the RSS in September 2004 and has been the subject of further review by the North East Assembly (NEA) as the Regional Planning Body. Following an Examination in Public in 2006, the Government's proposed changes to the revised Strategy have been published for consultation.

2.2.8 The covering letter from the Minister to the NEA in relation to the proposed changes emphasises the major shift in planning for housing introduced by 'Planning Policy Statement 3: Housing' (PPS3), published in 2006. The letter indicates, "Allocations are now not seen as a rigid framework, but as guidelines for local planning. ... it is not the intention of Government to see the use of district housing allocations as either a precise or restrictive framework. Rather, PPS3 introduces an approach based on much more comprehensive strategic housing market analysis and the use of trajectories. The RSS is meant to be an evolving plan for the region ..."

2.2.9 The RSS is intended to provide a long-term vision for the spatial development of the region, within which the RES, RHS and the Integrated Regional Framework will be delivered. The Strategy provides important context for sub-regional housing strategies in terms of the distribution and phasing of new planning allocations for housing. The need for better quality housing to meet future demand, to replace obsolete housing and to stimulate the renewal of failing housing markets to support the region's economic growth is highlighted in RSS .

⁷ "Sustainable Communities: Building for the Future" ODPM 2004 and Sustainable Communities: Homes for All", ODPM, January 2005

⁸ "Review of Housing Supply. Delivering Stability: Securing our Future Housing Needs", Kate Barker, HM Treasury Report, March 2004

⁹ "A New Commitment to Neighbourhood Renewal: A national Strategy Action Plan", Social Exclusion Unit, January 2001

¹⁰ "Creating Sustainable Communities: Making it Happen the Northern Way", ODPM February 2004

2.2.10 The RSS is clear that a significant influence on the creation of sustainable communities will be housing market renewal. RSS proposes that this should be achieved through an increase in build rates and corresponding increase in the amount of demolition. RSS anticipates that around one quarter of the additional dwellings required in the Region over the planning period will be built in the Tees Valley.

2.2.11 In relation to Housing, the NEA calculates that RSS should be making provision for a net housing requirement of 128,900 dwellings in the Region between 2004-2021. Recent projections are based on the following:

- the Office for National Statistics (ONS) projections indicate that fewer people are leaving the Region and more people are coming to live and work here;
- natural change is now virtually zero as opposed to being in the negative;
- lower net migration will result in a greater level of dwelling provision than in the Submission RSS
- Gross Value Added (GVA) has been growing at a higher rate than anticipated, giving grounds for greater optimism in the growth in jobs, more inward migration and a higher level of net housing provision in the region.

2.2.12 Tees Valley local authorities support the NEA's view that the net level of housing provision in the Tees Valley sub-region 2004-2021 should be in the order of 35,700 dwellings. The table below indicates the likely distribution and phasing between each Tees Valley council.

2.2.13 The proposed phasing is 'front-loaded' in the first two periods to reflect the scale of existing commitments, and to allow positive intervention in the housing market, including support for the housing element of major regeneration and 'flagship' projects and restructuring within a number of areas and communities. The affordable housing requirement of between 1250-1500 dwellings per year, as identified following recent local housing assessments, is referred to in Chapter Five below.

2.2.14 A plan, monitor and manage approach for the release of housing land to meet RSS targets will ensure that housing market restructuring and previously developed sites in sustainable locations are delivered.

Regional Housing Strategy

2.2.15 NEHB has established four key strategic objectives, which are mirrored in our strategy:

- To rejuvenate the housing stock to meet 21st Century aspirations, replacing market failure with high quality housing in successful, cohesive and sustainable communities;
- To ensure the type and mix of new housing provides choice, supports economic growth and meets housing needs and demand. This will reflect the diversity of urban and rural communities and the need for both affordable and prestige housing;

	2004 -2011		2011 -2016		2016 -2021		2004 -2011	
	Total	Per annum	Total	Per annum	Total	Per annum	Total	Per annum
Darlington	3,675	525	1,720	345	1,300	260	6,695	395
Hartlepool	2,730	390	2,030	405	1,975	395	6,735	395
Middlesbrough	3,080	440	2,460	490	1,480	295	7,020	410
Redcar & Cleveland	2,330	330	1,820	365	1,615	325	5,765	340
Stockton-on-Tees	4,195	600	2,680	535	2,605	520	9,480	555
Tees Valley	16,010	2,290	10,710	2,140	8,980	1,795	35,700	2,100

TABLE 1 - Regional Spatial Strategy Housing Allocations

- To secure the improvement and maintenance of existing housing so that it meets required standards by investing in sustainable neighbourhoods;
- To promote the good management and targeted provision of housing investment to address specific community and social needs, including an ageing population, the needs of minority communities and supported housing requirements.

2.3 LOCAL PLANNING POLICY FRAMEWORK

- 2.3.1 The local planning policy context for the Tees Valley sub-region will be set out in the Local Development Frameworks (LDFs) of each of the Local Planning Authorities (LPA). The RSS along with LDFs will form the statutory Development Plan as the basis for planning decisions on future housing provision
- 2.3.2 LDFs will provide the planning framework that brings together housing, planning, economic and transport policy at a local level. It will be important that local policies reflect sub-regional, regional and national policy, to be reflected in the core strategies, the housing local development document, and either through area action plans or supplementary planning guidance, to enable strategic objectives to be achieved in specific areas.
- 2.3.3 The approach to planning for housing in Tees Valley, both in terms of emerging LDFs and this current Strategy, reflects the policy objectives within Planning Policy Statement 3 - Housing (PPS3). Both policy platforms are framed so as:
- "To achieve a wide choice of high quality homes, both affordable and market housing to address the requirements of the community.
 - To widen opportunities for home ownership and ensure high quality housing for those who cannot afford market housing, in particular those who are vulnerable or in need.
 - To improve affordability across the housing market, including by increasing the supply of housing.

- To create sustainable, inclusive, mixed communities in all areas, both urban and rural." (PPS3, para 9).

- 2.3.4 Recently-completed LHAs have enabled the setting of "an overall (plan-wide) target for the amount of affordable housing to be provided." (PPS3, para 29). At the same time the level of housing provision has been "determined taking a strategic, evidence-based approach that takes into account relevant local, sub-regional, regional and national policies and strategies achieved through widespread collaboration with stakeholders." (PPS3, para 31). The Strategy and LDFs include "... policies and strategies for delivering the level of housing provision, including identifying broad locations and specific sites that will enable continuous delivery of housing for at least 15 years." (PPS3, para 53).
- 2.3.5 In addition to responding to current national planning policy, this Strategy and Tees Valley LDFs have anticipated changes in emphasis in national economic and housing policy.
- 2.3.6 The recent review of sub-national economic development and regeneration¹¹ confirms; "A key driver of the [cycle of] decline is the working of the housing market". In particular pockets of deprivation may reflect the concentration of affordable and poor quality housing in those neighbourhoods, with the 'sorting effect' of the housing market resulting in the less well-off living in poorer areas." The sorting effect of the residential housing market in reinforcing concentrations of deprivation at the local neighbourhood level is borne out by the evidence produced in Tees Valley.
- 2.3.7 Paragraph 1.48 of the Review emphasises that "In deprived areas, it is necessary to have an integrated approach which tackles the problems of a weak economic base, poor housing and local environments, and poor public services together. To be successful over the longer term, interventions to improve the economic, social and environmental performance of deprived areas will need to have a stronger emphasis on tackling

worklessness and a stronger link to wider economic interventions so that residents are able to benefit from enhanced opportunities and share in prosperity." In order to embrace this wider agenda, Tees Valley has determined the appropriate way forward to be a Multi Area Agreement with governance arrangements designed to deal with a city region scale of intervention. This approach is endorsed in the Review. (Box 6.5, pp87).

2.3.8 As will be seen later in this Strategy and particularly in the package of proposals put forward in the accompanying Action Plan, Tees Valley's approach to dealing with housing problems and providing for future housing need and demand is very much in line with the recently published Housing Green Paper¹². This is particularly so in respect of delivering homes of the right type where they are needed, making the most of existing stock, developing the place-shaping role of housing, leveraging in private investment and reducing the number of home that are left empty for long periods of time, all appropriately evidenced.

¹¹ Review of sub-national economic development and regeneration, HM Treasury, Department for Business and Enterprise and Regulatory Reform, Communities and Local Government, July 2007:18.

¹² Homes for the future: more affordable, more sustainable - Housing Green Paper, Communities and Local Government, July 2007.

3.0 UNDERSTANDING HOUSING MARKETS

3.1 TEES VALLEY HOUSING MARKETS

- 3.1.1 With support from One NorthEast (ONE) and other funding sources, Tees Valley housing stakeholders have focused considerable effort on understanding the housing and neighbourhood characteristics of the sub-region and the dynamics of housing markets operating there.

The Tees Valley Vitality and Viability Index (VVI)

- 3.1.2 In the context of housing market renewal and specifically to highlight where low demand for housing was having its greatest impact, partners developed the Tees Valley Vitality and Viability Index (VVI) (December 2003).
- 3.1.3 The VVI is compiled by applying statistical techniques to combine a range of indicators that had been agreed to give a measure of the 'health' in housing terms of defined neighbourhoods across the sub-region. The Index ultimately assumed particular significance in helping to define broad areas within which intervention in the housing market might be necessary to reverse market failure.
- 3.1.4 The Index identified Central Darlington, Central Hartlepool, Central Stockton, a broad area stretching from West Middlesbrough through North and East Middlesbrough to South Bank and Grangetown, Central Redcar, and a scatter of other areas as likely to be exhibiting conditions that might give rise to concerns over low demand housing. It was decided however, that, from the strategic point of view, neighbourhoods within Central Hartlepool and the band between Central Stockton through North Middlesbrough to Grangetown should be the focus for further investigation, on the basis among other things that action in these areas would be most likely to influence a change in housing market conditions.
- 3.1.5 The VVI has been subject to scrutiny and review in order to develop a more sensitive measure of. Failing housing and, on the other, deprived communities.

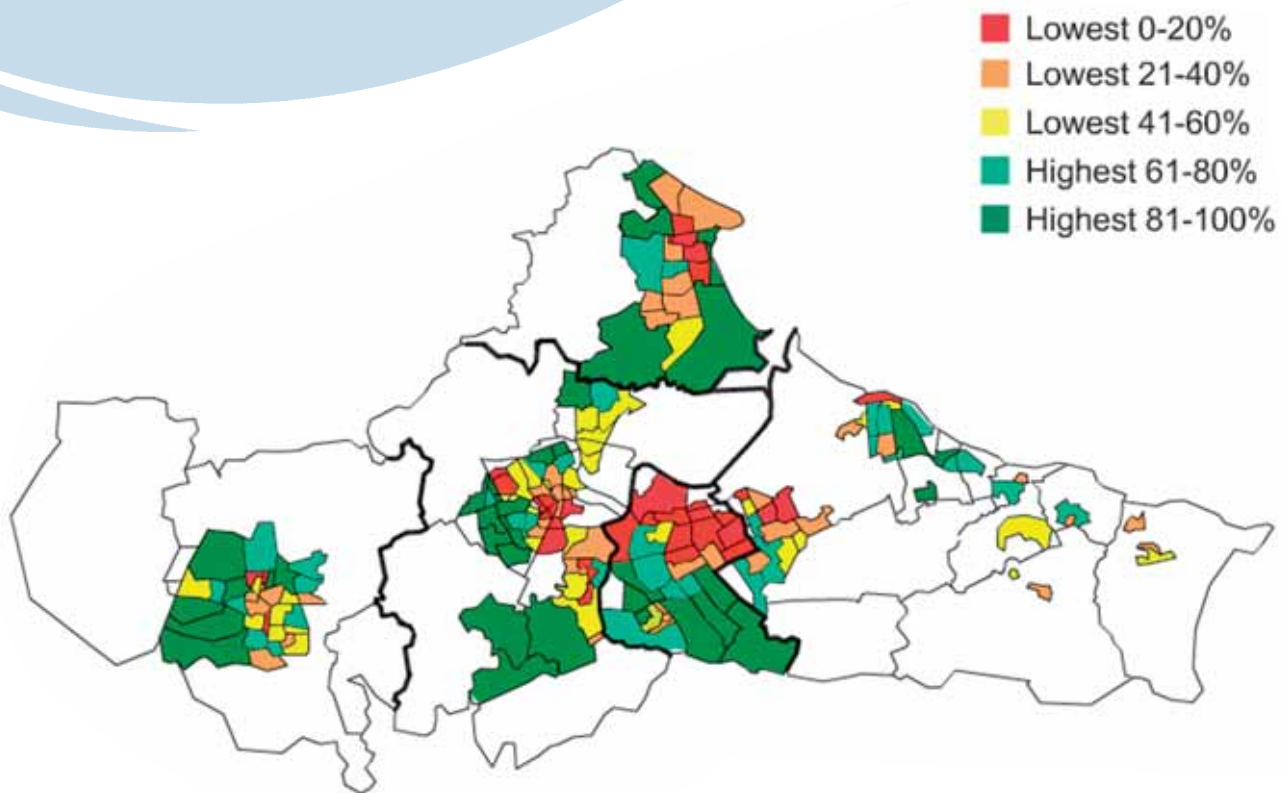
TVL are currently working with the JSU and boroughs to develop a Community Vitality Index which will include a more comprehensive range of quality of life indicators such as unemployment, low income, educational attainment, health and crime. It will be used in conjunction with the VVI to analyse the impact of interventions at neighbourhood level. Sourcing the necessary data for the indicators has involved exploiting Primary Care Trust data, Crime and Disorder statistics, Council Tax Databases, as well as the usual Office for National Statistics (ONS) data. The VVI and Community Vitality Index will be updated on an annual basis.

Tees Valley Contextualising Database

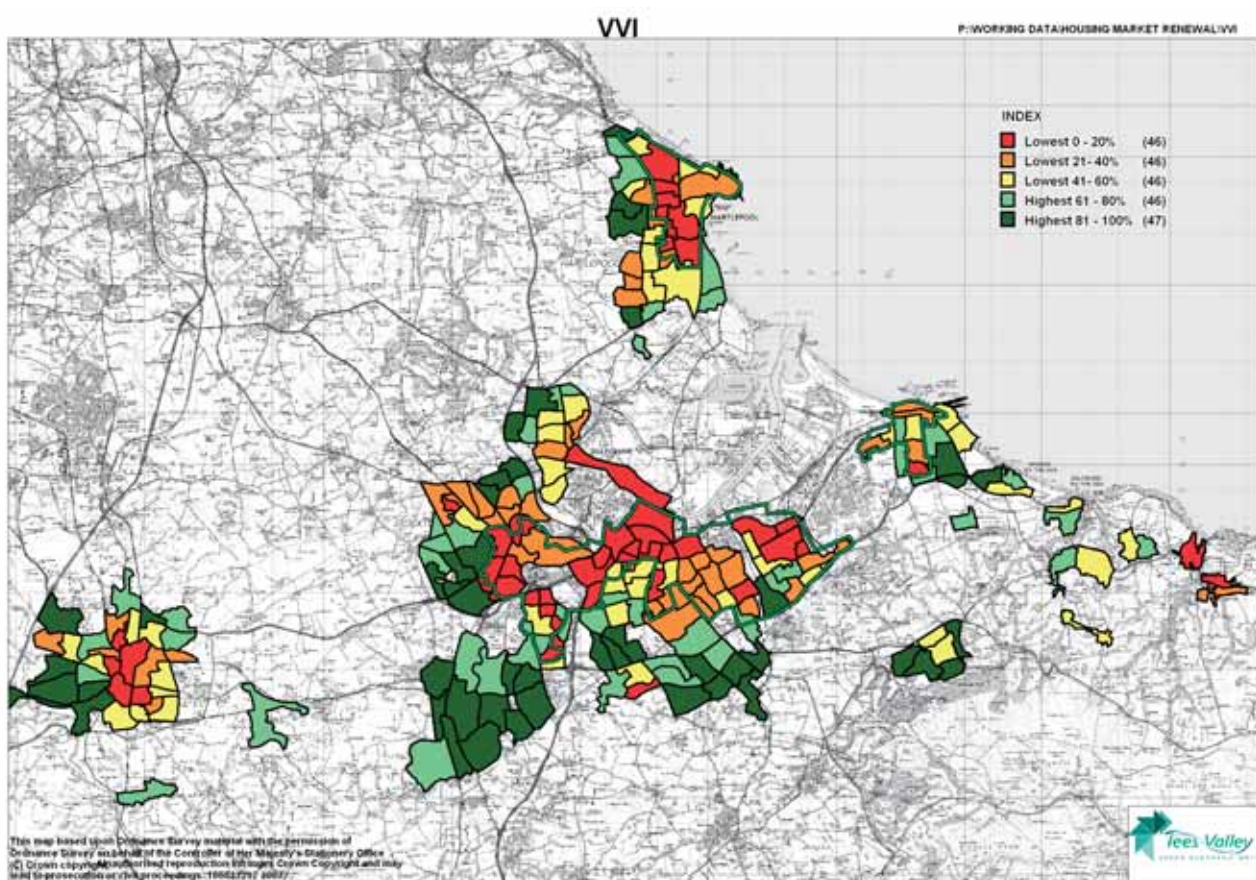
- 3.1.7 While the VVI concentrates on a limited number of core indicators, a complementary web-based database has been developed to provide a range of information on more than 70 other indicators and measures of neighbourhood characteristics, so that each can be tracked over time to identify significant changes as a result of market renewal activity.

3.2 IDENTIFYING HOUSING MARKETS

- 3.2.1 To improve the knowledge and understanding of sub-regional housing markets, the Tees Valley local authorities, through Tees Valley Living, commissioned a Housing Market Assessment (HMA) in 2004¹³. The aims were to identify local housing markets and migration trends, to understand low demand problems and identify the housing aspirations of residents. The HMA covers the sub-region and the neighbouring parts of North Yorkshire and South Durham.
- 3.2.2 The HMA report noted that: "Essentially, across Tees Valley, there are largely self-contained core urban centres with established residents, coupled with mobility of higher-income households who are the main drivers in shaping the nature of housing markets within Tees Valley."



Vitality and Viability Index (VVI) 2004



Vitality and Viability Index (VVI) 2007

3.2.3 The outcomes of the study, with extensive consultation with housing providers and other regeneration agencies, have been pivotal in developing priorities for housing action in the sub-region. Whilst there have been noticeable changes in out-migration from the sub region and in local demography, many of the conclusions of the HMA remain relevant. The sub region is currently considering an approach to Strategic Housing Market Assessment (SHMA) and this will build on the HMA and LHAs.

Supply and Demand

3.2.4 Housing Market Renewal Pathfinder studies have shown that the drivers of housing market change are varied and often beyond the control of housing providers. Key drivers across Tees Valley include the economy, schooling, health and community facilities, migration patterns, and transport networks, as well as the nature of the housing stock.

3.2.5 The HMA report confirmed an outdated housing supply dominated by small late 19th century and early 20th century terraced housing (over 31% of the stock in the sub-region). This is concentrated in the more vulnerable, urban neighbourhoods where low values are proving attractive only to investors and private landlords. This has further reduced the stability of these neighbourhoods.

3.2.6 Additionally, the housing supply falls below the national average for more modern, semi-detached and detached dwellings, which has been one of the drivers in the drift towards, for example, Hambleton and Ingleby Barwick.

3.2.7 There is also evidence that the supply of executive housing falls appreciably short of demand in most areas. The success of Ingleby Barwick, for example, is mainly due to the availability of house types in a modern setting not available elsewhere in most of the sub-region, at prices which have been seen as representing good value for money.

3.2.8 Another area of mismatch in supply and demand is quality housing for single people and couples across the age range.

The sub-region has below-average levels of quality apartments for professional couples and singles, whilst bungalows and quality, purpose-built housing for independent older people are also in short supply.

3.2.9 The supply of social rented housing, at just over 23% of the total, is on a par with the regional average, but appreciably higher than the national average of around 19%. This is out of balance with the aspirational demand for owner occupation, and a strategic objective is to reduce the proportion of social rented housing towards the national average.

3.2.10 There has been a tightening of supply in this sector largely attributable to higher prices in the private sector, increasing demolitions and growing demand for properties to re-house residents from clearance areas. This pressure is inevitable as the demolition and refurbishment programmes gain momentum and should not be interpreted as an underlying long-term increase in demand for affordable housing.

3.2.11 There may be a cyclical element to social housing supply and demand which is largely driven by affordability and supply in the private sector. This cycle may influence the scale and phasing of interventions such as clearance, particularly as costs of acquisition rise and fall.

Migration Patterns

3.2.12 There is a westward drift of population in and around the Teesside conurbation. The HMA found that most people moving into the Tees Valley sub-region tended to settle in the more western parts of the area such as Ingleby Barwick, Darlington and the urban edge of Stockton. Similarly, those residents moving within the sub-region, tend to migrate westwards away from the urban concentrations.

¹³ Tees Valley 2004 Housing Market Assessment", David Cumberland Housing Regeneration Ltd and Nathaniel Litchfield and Partners, January 2005

3.2.13 There has been a net outflow of people into North Yorkshire in particular, where there has been a relatively vigorous growth of new housing, particularly in Hambleton District. Local authorities continue to liaise closely to examine this pressure.

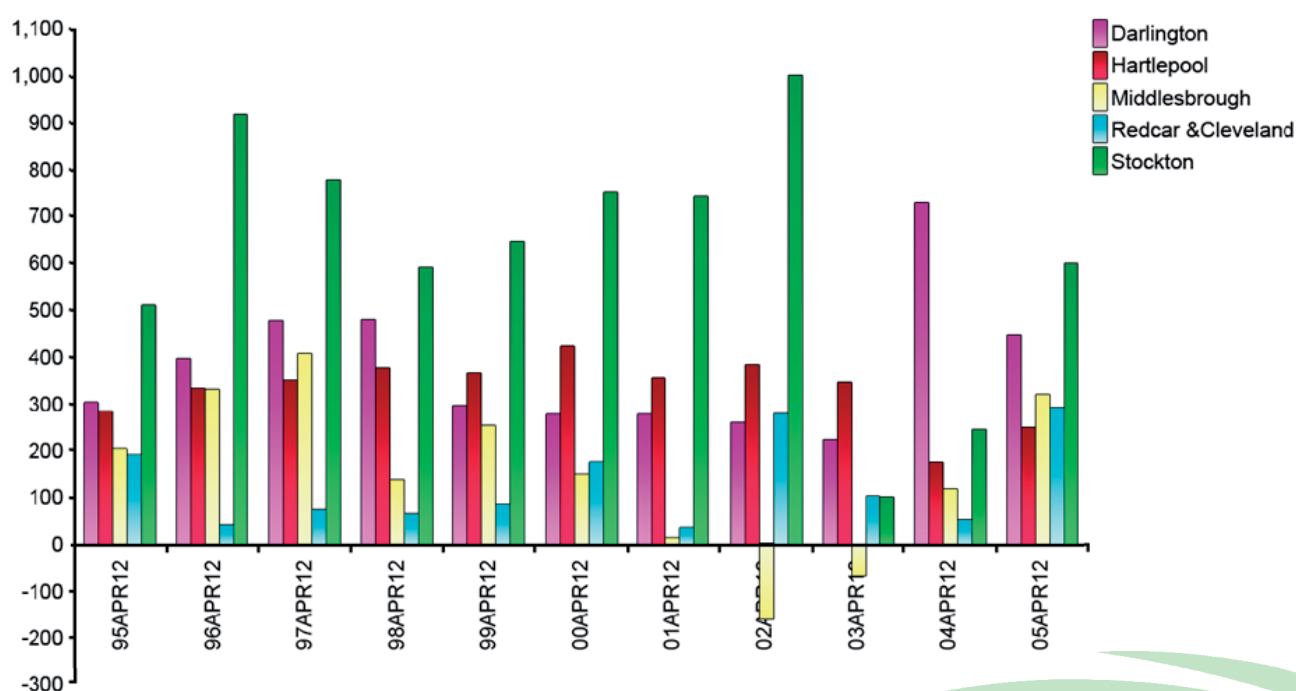
3.2.14 The HMA report concluded that: *"From a strategic perspective, the population migration dynamic is going to have a significant impact on housing markets within Tees Valley. Residents are clearly moving out of less desirable areas and this is being facilitated by the provision of modern homes meeting household aspirations in many areas (generally on peripheral sites away from town centres). The result is an ongoing hollowing out of population in less desirable areas (generally correlated with high density stock). There is a need to change stock composition (and possibly land use away from residential use) in these areas".*

3.2.15 ONS 2003-based projections released in November 2004, anticipated a population decline of 2.4% across Tees Valley from 2003 to 2023, with a reduction of 15% in Middlesbrough and 8.8% in Redcar and Cleveland. Increases were most likely in Stockton and Darlington, encouraged by new housing developments.

3.2.16 However, in 2004, ONS reviewed its methodology on migrants with the result that base migration moved from a net out-migration of 2,800 households from the North East to a net in-migration of 5,000 households, with corresponding figures for Tees Valley of -1,700 and -200 households respectively. The implication for Tees Valley is that there will be at least 8,000 more households to accommodate between 2004-21 than originally anticipated. The figure of 35,700 additional dwellings required during the period has been calculated on the basis of these revised projections.

3.3 ASPIRATIONS AND HOUSING NEEDS

3.3.1 The Household Survey conducted as part of the HMA report indicated a desire for larger homes in terms of numbers of bedrooms. 78% of respondents aspired to a house with three or more bedrooms and over 77% of those aspiring to a bungalow wanted two or three bedrooms. In terms of housing type, there is a clear mismatch between housing offer and local aspirations as shown by the table on the opposite page.



New Homes Net Additions 1995 - 2005

DWELLING TYPE	TEES VALLEY (1)	ENGLAND (2)	PROFILE OF ASPIRATIONAL STOCK IN TEES VALLEY (3)
Detached	13.0%	17.2%	23.6%
Semi-detached	30.9%	27.1%	33.8%
Terraced	33.2%	28.9%	21.5%
Bungalow	11.3%	9.3%	10.9%
Flat/Maisonette/Other	11.5%	17.5%	10.2%
Source: (1) 2007 Tees Valley JSU (District Valuer Service data) (2) 2005 DCLG House Condition Survey (3) 2004 Household Survey			

TABLE 2 - House Types

source: Tees Valley Housing Market Assessment January 2005

3.3.2 The sub-region has an appreciably lower proportion of detached housing and a higher proportion of terraced housing than both the regional and England averages. The table above shows that whilst more than one third of housing stock in the Tees Valley is terraced housing, the Household Survey indicated that only 21% of respondents aspired to live in a terraced house. The sub region has an appreciably lower proportion of detached houses than both the regional and England averages.

Housing Market Typologies

3.3.3 The HMA explained the dynamics of household movement in the context of a series of typologies, representing target types of property to which households aspire and which drive their decisions to relocate. The typologies are summarised in the table below.

MARKET TYPE	INDICATIVE CHARACTERISTICS
Town centre cores	High density housing (predominantly terraced), older long-established population, found in all major Tees Valley towns. A market largely self-contained in each town.
Emerging Urban Living	Apartment living in limited, mainly recently-developed locations such as Hartlepool Marina and Stockton Riverside. This market is probably regional in coverage.
Western and Southern Affluent belt	Includes rural hinterlands of urban areas. This is a market with high mobility, which spans an area well beyond Tees Valley.
Stable suburbs	Low-rise semi- and detached properties including terraces, family housing. There is mobility across Tees Valley in this market.
Vulnerable high-density	In town centre areas, poor stock condition, high level of private renting. Most vulnerable 20% neighbourhoods on V&V Index. A local market.

TABLE 3 - Tees Valley Market Types

source: Tees Valley Housing Market Assessment January 2005

Local Housing Assessments

- 3.3.4 The sub-regional HMA is now complemented by more detailed local housing assessments (LHAs), completed by local authorities during 2006-07. The LHAs were commissioned according to a common methodology agreed by sub-regional partners to ensure consistency of approach and comparability of data. LHAs essentially bring together notions of housing need, wider market factors and how these are expected to change over time.
- 3.3.5 These studies are a fundamental tool in understanding specific local housing needs and aspirations and will inform planning policy in respect, particularly, of affordable housing. Affordable housing needs that have emerged from these studies are considered in Chapter Five.

Strategic Housing Market Assessment

- 3.3.6 In line with Government Guidance published in March 2007, and as mentioned earlier in this Chapter, the sub-region is currently considering an approach to SHMA. Further work is proceeding to understand the full implications of the HMA and LHAs both locally and sub-regionally and to ensure the SHMA builds on existing data and intelligence

Black and Minority Ethnic Housing Needs Study¹⁴

- 3.3.7 Specific research has been undertaken in the sub-region in order that the housing needs of Black and Minority Ethnic (BME) communities are better understood and to examine the role that such households may play in housing market renewal.
- 3.3.8 ONS Census data identified that the ethnic profile of Tees Valley broadly mirrors that of the North East, although the proportion of Asian/Asian British (particularly Pakistani) is slightly higher. The highest proportion of non-white ethnic groups are located in Middlesbrough (6.3%) and are particularly likely to live in vulnerable neighbourhoods.

- 3.3.9 Across Tees Valley, the proportion of residents in Black and minority ethnic groups has increased from 2.5% in 1991 to 3.2% in 2001. Of particular significance, the proportion of Asian/Asian British residents has increased by 33.9% across Tees Valley (an increase of 2,873 1991 to 2001), with most of this increase in Middlesbrough and Stockton-on-Tees (although from the data it is not clear whether this is due to natural change or in-migration).

- 3.3.10 The study tended to capture responses from a large proportion of refugees and asylum seekers. The implications of the results for future housing provision are yet to be fully assessed.

- 3.3.11 Further understanding of the expectations of BME communities in respect of how they are served by the housing market will be gained following a study commissioned by the NEA, with which the sub-region has been involved and during which focus group discussions have been held with BME representatives in Middlesbrough. The results of the study will be assessed together with further analysis of the Tees Valley study to determine how well the market and housing agencies are operating to provide for the needs of BME communities in the sub-region.

Gypsy and Travelling Groups

- 3.3.12 The sub-region is in the process of commissioning a study on the housing needs of the gypsy and travelling population. The study will complement research recently completed on behalf of the NEHB into the availability of suitable sites in sufficient numbers to accommodate the needs of the travelling community.

¹⁴ Embracing Difference - A study of the housing & related needs of the Black & Minority Ethnic community in the Tees Valley Living area by Andy Steele, Salford Housing & Urban Studies Unit, University of Salford and Naseer Ahmed, EMS Consultancy Ltd, March 2006

Modelling Funding Requirements

- 3.3.13 Although the majority of the finance required for housing market re-structuring ultimately will be invested by the private sector, the public sector in Tees Valley has tended to shoulder the burden of up-front costs associated with property acquisition, household relocation, building demolition and site remediation in redevelopment and regeneration projects.
- 3.3.14 In order to ensure that the most effective use is made of the limited public funding likely to be available for housing market renewal, the sub-region commissioned a financial model¹⁵ that would allow a range of scenarios of housing provision to be tested against a series of different assumptions to identify the most economical use of public money and when best it should be applied to lever maximum private investment.
- 3.3.15 The model is operational in part and will shortly be subject to more rigorous testing and extended application across the sub-region.

Heritage and Design Study

- 3.3.16 Although not specifically to do with understanding housing markets, Tees Valley Living commissioned a Heritage and Design Study¹⁶ in order to develop a framework and process that could be employed across the sub-region to highlight important heritage features and quality townscape that needs to be retained or reflected in new development, and to stimulate new thinking in the provision of innovative housing and places.

- 3.3.17 Where demolition and redevelopment feature as the appropriate intervention to assist market renewal and re-structuring, new development must be carried out to a high standard of design, acknowledging the historic environment as an asset, contributing as it does to urban identity and a sense of place. The objective must be to use history and identity positively and creatively to improve local character and create new places that are diverse and stimulating. Redevelopment creates the opportunity for a new look at urban form, townscape and the alternative ways towns in the sub-region may develop in the future.
- 3.3.18 A design framework has been developed that will ensure a consistent approach to assessing proposals for development, reflecting historic setting and existing identity, yet flexible enough to allow distinctive character to emerge.

3.4 STRATEGIC PRIORITIES

- 3.4.1 Further work to extend the understanding of Tees Valley housing markets includes:
- the needs of the Gypsy and Travelling Communities;
 - a Strategic Housing Market Assessment (SHMA) in parallel with Regional proposals;
 - annual updating of LHAs;
 - further refinement of the VVI, development of the Community Vitality Index and annual updates of both VVIs.

CHARACTER
Good



Moderate



Poor



¹⁵ Housing Market Renewal - Reducing the Need for Gap Funding, January 2006, Deloitte MCS Limited.

¹⁶ The Tees Valley: Heritage Assessment and Development Guidance for Housing Market Renewal, February 2007, Gillespies.

4.0 REJUVENATING THE HOUSING STOCK

"To rejuvenate the housing stock to meet 21st Century aspirations, replacing market failure with high quality housing in the right locations to help create successful, cohesive and sustainable communities". Key Objective 1, The North East England Regional Housing Strategy, July 2007

4.1 THE CHALLENGE AHEAD

Regional Context

- 4.1.1. Urban renaissance is becoming a reality across the North of England. The centres of the major industrial towns and cities are being successfully revived. The central areas of the major northern cities have successfully created a new positive image, role and identity for themselves. Great strides forward have been made in terms of restructuring regional economies
- 4.1.2. There are however many signs that the social housing sector may be enjoying a revival led by stock transfer RSLs and ALMOs. Being able to properly engage in new build programmes may further revitalise the sector.
- 4.1.3. The Regional Housing Strategy 2007 has recognised the significance of housing market failure and the impact of low demand for housing in key parts of the region.

Sub-Regional Context

- 4.1.4. The transformation of Tees Valley into a 21st century city region is well underway. There are real prospects for growth in our local economy. To ensure that the whole community benefits from future growth some fundamental changes need to be made. Improvements to the business environment, transport infrastructure and local skills base are being advocated by the Tees Valley City Region Development Plan (CRDP). It is also vitally important to ensure that the city region's housing stock is ready to meet the needs of the 21st century. Housing is an essential component of the CRDP.

Tees Valley Unlimited

- 4.1.5. Tees Valley Unlimited is outlined in more detail in Chapter Nine of this Strategy. In essence, this new structure will be the key vehicle for securing resources for implementing the city-region investment plan and this will include housing market restructuring resources. The Governance structure is in shadow form during 2007-08.

Comprehensive Evidence Base

- 4.1.6. A comprehensive evidence base has been assembled to provide a steer for the Tees Valley Housing Market Renewal (HMR) Strategy¹⁷. The following list provides an example of the type of research completed:
 - Housing Vitality and Viability Index
 - Stock Condition Surveys
 - Heritage and Design study
 - Gap funding model
 - Tees Valley Housing Market Assessment
 - Local Housing Needs Assessments
- 4.1.7. The TVL HMR Strategy has distilled the key messages from the evidence base and proposed a coherent response to the challenges. The evidence base will be continually updated to monitor progress and roll the Strategy forward. The key messages from the evidence base are outlined below:
 - much of the built environment of the Tees Valley is the product of surges in demand for labour in heavy industry over the past 150 years.
 - the Tees Valley is essentially a polycentric conurbation, with no single dominant centre.
 - the country's fastest flowing urban traffic network also allows relatively long distance commuting to the city region's successful business environments.

¹⁷ Tees Valley Living Housing Market Renewal Strategy, Building Sustainable Communities in the Tees Valley, Better Homes for a Brighter Future, January 2006

- peripheral building at the edge of the conurbation over the past 40 years has catered for modern housing demand. This new housing has attracted the mobile, young, economically active, including family builders which are so essential in maintaining viable and sustainable communities.
- older, higher density pre-1919 terraced areas and the older council estates have dramatically fallen in popularity, with a consequent loss of services and other facilities within an often deteriorating environment. Many of them have a very challenging future.
- the current stock profile of over 31% terraced housing is out of balance with demand based on household moves over the last five years. The mismatch is even more evident in the 10% most vulnerable neighbourhoods, where almost 52% of the stock is terraced compared to only 25% of moves into this type of housing¹⁸.

Identifying Housing Market Failure

- 4.1.8. The VVI clearly identified two major concentrations of failing housing market areas, firstly from Parkfield in Stockton, through North and East Middlesbrough, to Grangetown and South Bank in Redcar & Cleveland and secondly in Central Hartlepool. The populations in these areas have poor life chances. The sheer concentration of these areas impose excessive demand on public resources. Aside from the move of population to the suburbs, the Tees Valley HMA also highlighted a continued desire of those Tees Valley households who may move house in the next five years, to move to North Yorkshire. This is discussed in more detail in Chapter Three of this Strategy.

Key Challenges

- 4.1.9. One of the key challenges of housing market renewal is therefore to create an aspirational housing environment at the core of the Tees

Valley sub-region to make it the destination of choice for the next generation of Tees Valley residents and potential inward migrants. This will not be achieved by the refurbishment of the existing housing offer on its own. Transformational change is required.

- 4.1.10. It is also an objective of the HMR Strategy and CLG to create "mixed income communities" inside the HMR areas. At present, the elements of the mix which is missing are upper and middle income group families. To attract those groups to the core of the city region it will first be necessary to determine the sort of accommodation in which they live and on what scale it needs to be provided for, to work. Other facilities also need to be provided in tandem to truly create sustainable communities, notably education and health.

- 4.1.11. It is however clear that the extensive provision of high density urban apartments is unlikely to have the desired effect in terms of creating sustainable communities as they are not typically occupied by family groups. At present there are proposals formulated by TVR for more than 4,000 urban apartments across four of their five flagship sites. Three of these, Victoria Harbour in Hartlepool, Middlehaven in Middlesbrough and North Shore in Stockton are virtually adjacent to HMR priority areas. There is therefore a clear message that HMR sites should aim to cater for predominantly family accommodation and to create an environment whereby adjacent schemes complement one another.

4.2. ADDRESSING THE PROBLEM

Sub-Regional Approaches to Tackling the Problem

- 4.2.1. As stated previously, a range of studies of relevance to housing market renewal have been completed. This work identified a total of 14 HMR schemes which were already underway.

¹⁸ Tees Valley 2004 Housing Market Assessment, Final Report, January 2005, DCHR and Nathaniel Lichfield and Partners.

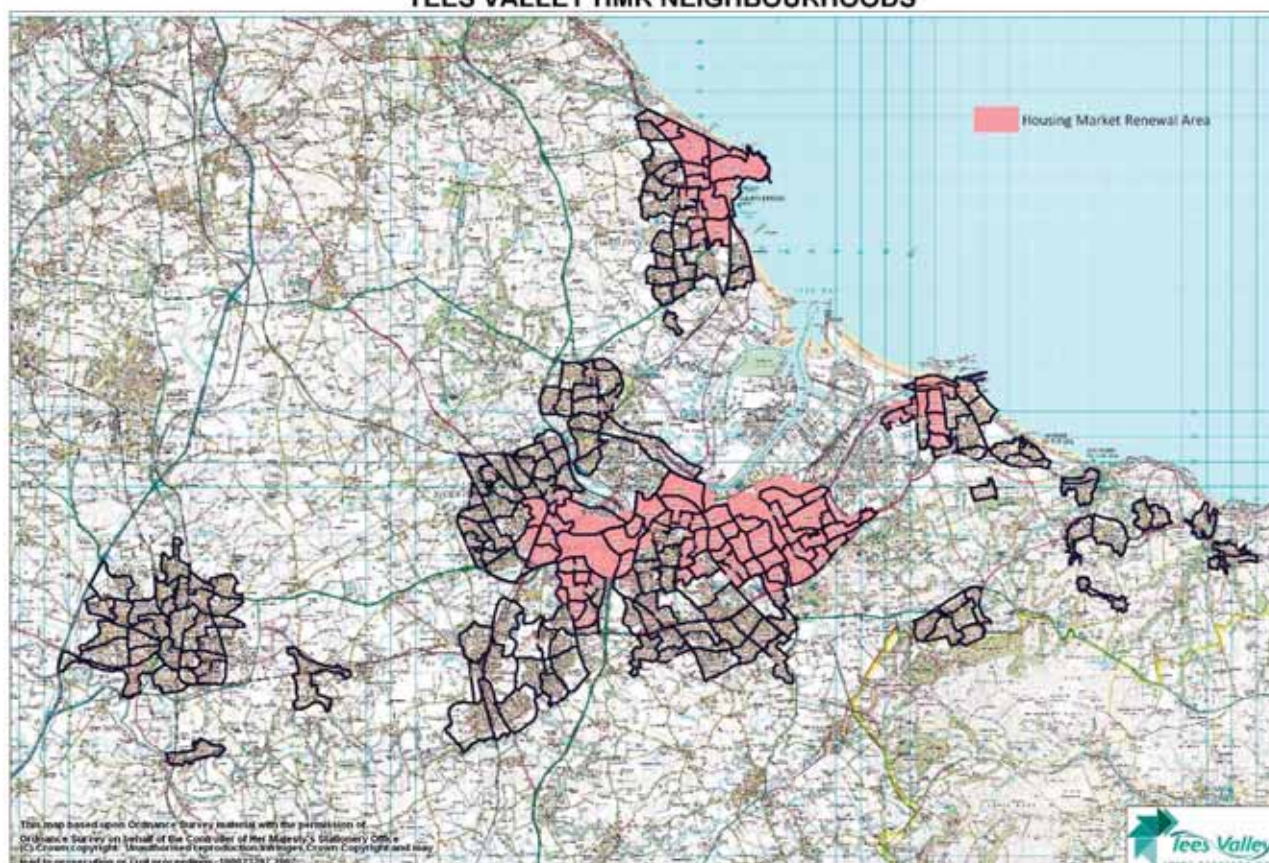
The VVI was used to define the core HMR area or Area of Major Intervention (AMI) at the centre of the city region. All of the existing 14 HMR schemes fell inside the HMR boundary except the remodelling of the Hardwick Council estate in Stockton. The other projects were being carried out under a variety of different headings including New Deal for Communities in Middlesbrough and Hartlepool, Neighbourhood Renewal Pathfinder in Stockton, and CLG Mixed Communities demonstration Project at Low Grange in Redcar & Cleveland. Middlesbrough had also already commenced its 'Older Housing Study' with a view to initiating HMR activity in its central area.

- 4.2.2. In 2003, some schemes were well advanced or had secured necessary funding to be incorporated into the Tees Valley HMR Strategy. They were the remodelling of the former Council estates at Mandale, Thornaby in Stockton and Whinney Banks and Grove Hill in Middlesbrough.

HMR Priorities

- 4.2.3. The remaining 10 live schemes have become the backbone of the TVL 15 year HMR Strategy 2006-21. As they have a lifespan already stretching over 5 years or more, they are all well known to the general public and partners and all have a majority of local support for the detailed proposals.
- 4.2.4. The scale of the problem in terms of numbers of dwellings is greatest in Middlesbrough. Middlesbrough has extensive demolition and redevelopment proposals at St Hilda's to make way for the TVR flagship Middlehaven development. North Ormesby, West Lane and the Gresham area of the town centre will be the focus of their programme in the early years. The Gresham proposals are expected to continue throughout the entire programme. As part of the wider urban core, efforts are concentrated in west and north central Hartlepool where a major redevelopment programme has emerged out of extensive dialogue and engagement with residents across the New Deal for

TEES VALLEY HMR NEIGHBOURHOODS



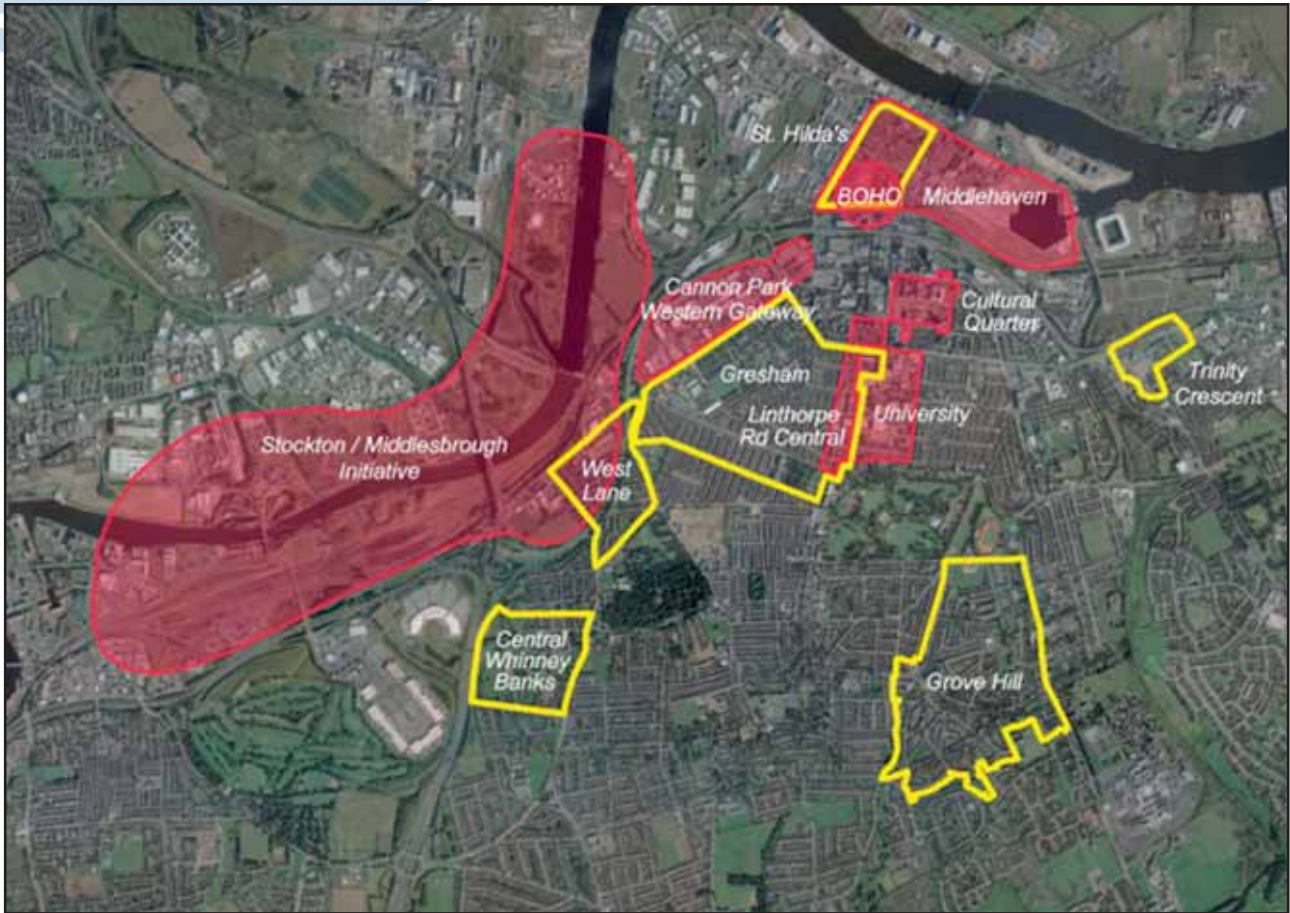
Tees Valley HMR Programme 2006 - 2008

Communities and Neighbourhood Renewal areas. English Partnerships gave added impetus to the programme with a £5m funding contribution in 2004.

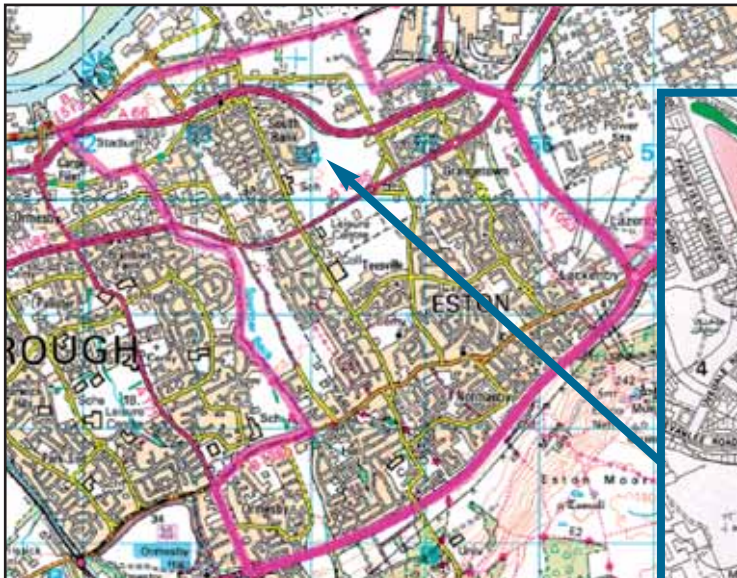
- 4.2.5. Also part of the wider urban core, in Redcar & Cleveland, the Greater Eston Master Plan is the focus of HMR attention in the TVL HMR Strategy. The Scheme has been selected as a CLG "Mixed Communities Demonstration Project". It entails the clearance of approximately 500 low demand properties in South Bank and the construction of a mixed community of 950 new homes at Low Grange, incorporating new Primary schools, a health village and retail facilities. Central Middlesbrough and central Hartlepool have been selected as strategic sites by the Housing Corporation to explore long term funding and innovation in delivery.
- 4.2.6. Stockton is concentrating attention on the town centre and are well underway with successful regeneration schemes at former council estates at Hardwick and Mandale. The Parkfield HMR proposals are spread over two phases. Phase 1 was given added impetus by a £5m grant from English Partnerships. The two phases are part of a comprehensive master plan for the future of the town centre.
- 4.2.7. Darlington has not been included in the HMR programme in the period of 2006-11. The evidence base for the Strategy strongly indicated that priorities for HMR investment lay elsewhere at this stage. The information base is being constantly refreshed and priorities are being monitored as some schemes near completion and exit strategies implemented. TVL has indicated that Darlington's case for HMR funding post 2011 will be given consideration as with other emerging neighbourhoods as part of the updating process.
- 4.2.8. Cumulatively, the current 14 HMR schemes will substantially secure the necessary transformational change at the heart of the sub region. Monitoring will continue throughout the plan period to assess the

impact of intervention, evaluate future options and the success of regeneration activity.

- 4.2.9. For the reasons described on the previous page the principal focus of the HMR programme is demolition of low demand stock and redevelopment. However, as acknowledged in the Regional Housing Strategy, not all of the older stock warrants clearance, of course, and the scale of clearance must reflect local circumstances and the needs of local communities. In recognition of the need for a tailored and balanced approach, investment plans will deliver complementary refurbishment of some 30,000 homes in the Tees Valley, the majority of which are in the private sector. Further detail of how we propose to tackle this issue is detailed in Chapter Six of this Strategy.



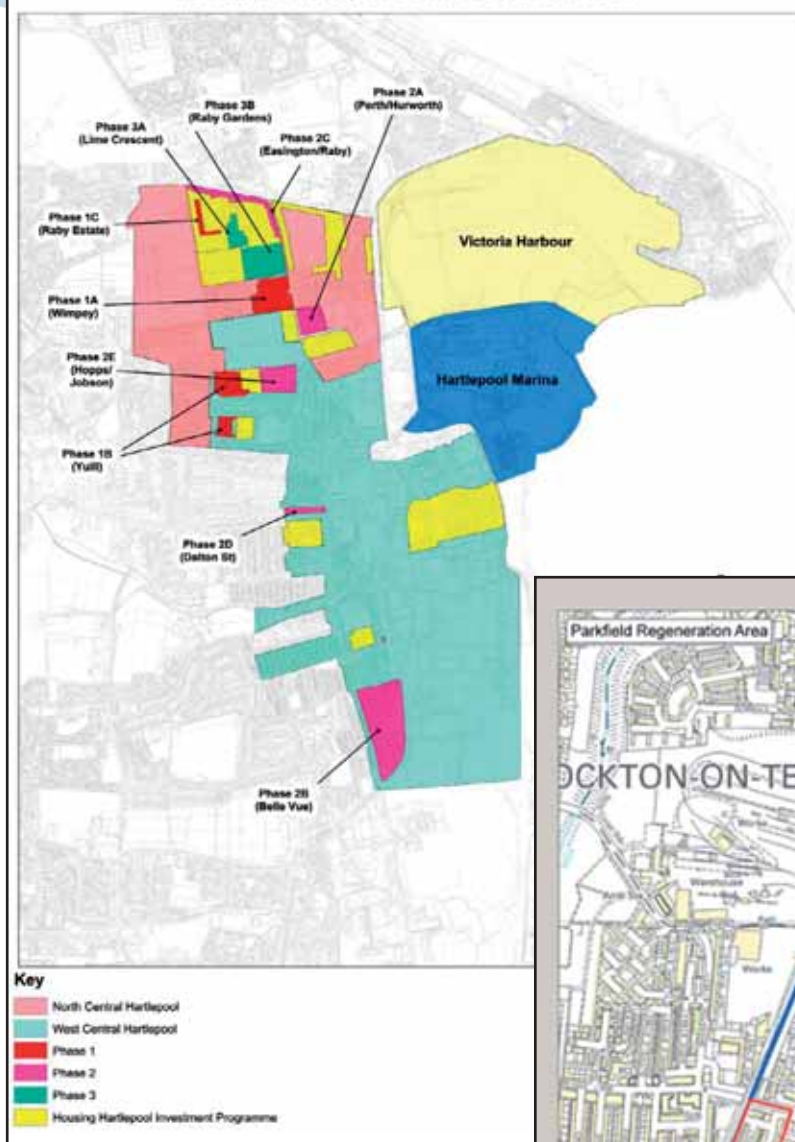
Middlesbrough HMR Areas



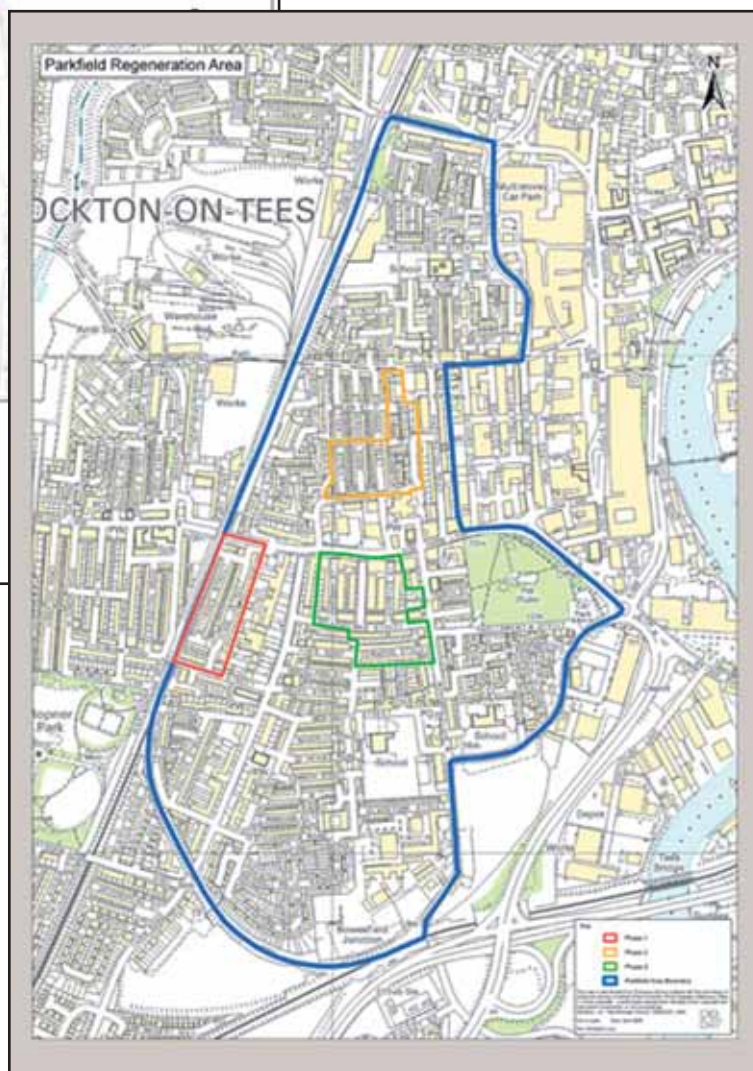
Greater Eston Strategic Masterplan
- Redcar and Cleveland Borough Council



Central Hartlepool HMR Framework



Central Hartlepool HMR Areas



Parkfield HMR Area
- Stockton-on-Tees

Governance Arrangements

- 4.2.10. Without Pathfinder status there has been no guidance to follow. TVL has developed bespoke governance and delivery arrangements. However, in some respects, TVL has followed the Pathfinders in their approach where appropriate. In some areas the approach differs to suit local circumstances. The Governance structure is one such area and the current arrangements are outlined below.
- 4.2.11 The TVL Board is made up of Leaders and Mayors from the five Tees Valley Councils, representatives from the major local RSLs, the Home Builders Federation and Tees Valley Regeneration. Meetings are overseen by representatives from Government Office North East (GONE), ONE, English Partnerships and the Housing Corporation. The relatively modest revenue costs of approximately £300,000 per annum have been met by ONE via the Tees Valley Partnership. The principal governance difference between the Pathfinders and TVL is that the interface with the local community has remained as the sole responsibility of the local Council. This means that there is much greater clarity for the community, proposals remain democratically accountable and TVL's running costs are relatively modest.
- 4.2.12 Under current proposals, it is intended that the Tees Valley Living Board will be accountable to the TVU Partnership Board (this is outlined in more detail in the introduction to this Strategy) from April 2008. This new structure will secure resources for implementing the City-Region Investment Plan, including housing market restructuring resources.

Implementation expertise and sharing best practice

- 4.2.13. Each Tees Valley local authority now has an experienced implementation team successfully handling projects from their inception to completion. Teams have steered proposals through consultation exercises securing public support and successful

community relocations. Staff have now successfully completed a range of Compulsory Purchase Orders superseded by all efforts to negotiate by agreement. The TVL governance structure encourages and facilitates the sharing and development of best practice.

- 4.2.14 TVL Executive Group has recently steered the development of a Skills Directory which is a point of reference for good practice that has emerged through housing market renewal and related activity. The Skills Directory supplements some of the informal networking and experience sharing that takes place on an ad hoc basis and provides a transparent means of tapping into the skills resource in the sub-region.
- 4.2.17 The TVL Joint Procurement group has been established to identify opportunities for joint procurement of services and products as part of the drive towards efficiency savings.

Virement

- 4.2.18. A good example of effective partnership working came in November 2006 when Middlesbrough and Hartlepool agreed a between-year virement to assist in dealing with the management of a short-term funding issue. The virement will be reciprocated in 2007/08 and illustrates a growing maturity of relationships between Tees Valley local authorities.

Effective Performance

- 4.2.19. The TVL HMR budget is drawn from two sources - SHIP Objective One and HMR grant from CLG. The total funding allocation to the Tees Valley for the two year period 2006-08 was £32m and the year one budget has been fully spent. We have a successful track record of delivering expenditure and outputs and are performing well in year two.

Public and Private Sector Leverage

- 4.2.20 In the period from 2003 to the end of this current funding period (March 2008), a total of £88 million of public sector funding will

have been invested in HMR activity, including the areas of major intervention and other areas of market failure. This will have levered a total of £110 million of private sector investment through capital receipts and investment in new build. At the end of this period, the following outputs will have been delivered:

OUTPUTS IN PERIOD 2003 - 2008	
Acquisitions	2,312
Demolitions	2,842
Relocation packages	624
Improvements	501
New Build	639

TABLE 4 - Tees Valley HMR Outputs 2003 - 2008

4.2.21 The success of the programme is not only demonstrated through the level of outputs generated, the following points illustrate some of the wider benefits and outcomes:

- successful negotiation with residents in purchasing properties
- masterplanning in consultation with local communities
- development of bespoke relocation packages for displaced residents
- wrap around care for vulnerable residents
- engagement of private sector development partners to drive forward redevelopment of sites
- improved levels of private sector speculation in housing developments in the Tees Valley
- successful joint working arrangements pursued by the Councils and their stakeholder partners
- reduction in number of obsolete and abandoned dwellings
- increased availability of land for housing in appropriate locations
- a reduction in long term vacancy rates
- improved balance between supply and demand of housing

4.2.22 The detail above demonstrates the scale of intervention that is already underway in the sub-region and the importance of maintaining the momentum that has been generated to ensure commitments to transforming the neighbourhoods of local communities can be fulfilled.

4.2.23 However, a shortfall in resources has limited the scale of HMR intervention in the sub-region over recent years. The funding allocation for 2006-08 was significantly less than the amount requested and was not a reflection of need. Councils have had to defer purchase of properties which has slowed the HMR programme. Pump-priming resources from the public sector are necessary to secure activity and assemble opportunities within areas that the private sector have found unattractive for decades. "Putting the brakes on" and prolonging the implementation period is in no-one's interest where projects need a long term commitment to provide community confidence that promises will be delivered.

Monitoring and Evaluation Systems

4.2.24 TVL has set in place robust monitoring and evaluation systems. A Programme Monitoring Officer (PMO) was appointed in October 2006 to further develop and refine monitoring systems for tracking spend and outputs of HMR projects in the sub-region. An Appraisal and Monitoring Working Group (AMWG) and the TVL Research Group work with the PMO to monitor and evaluate the wider impact of HMR activity. Systems are designed to ensure the information and data needs of Tees Valley Living and its partners, and, that of key funding and scrutiny bodies (CLG, GONE, NEHB, Audit Commission and National Audit Office) can be met in ways that ensure consistency and comparability of information. This is important for effective monitoring and evaluation of the impact of the Tees Valley HMR programme (particularly in relation to benchmarking and assessing value for money).

4.3. KEY FUTURE ISSUES

Continuation of Present Programme until 2021

- 4.3.1. The Tees Valley Living Housing Market Renewal Strategy will set the agenda for intervention within its defined housing market renewal area. Whilst much of the redevelopment will be private sector financed, a significant level of pump priming from the public sector is still required for acquisition and demolition. Whilst, a significant degree of activity will be supported by Council funding streams, Tees Valley local authorities will continue to rely substantially on TVL funding.

Speeding up the Implementation Commitment

- 4.3.2. Residents in the intervention areas will need first class arrangements for support and advice to enable them to consider their relocation and/or home improvement options and to assist them in achieving their preferred choice. We aim to establish a consistent approach to this advice service across the sub-region, to undertake research into best practice elsewhere, and to look for innovative financial and relocation packages to facilitate clearance and redevelopment.
- 4.3.3. Partner RSLs and Darlington and Stockton Councils as social landlords are key partners and are well engaged in the regeneration process. Their business plans reflect the need to rejuvenate, rationalise and improve their own estates and are complementary to the wider HMR activity. Their existing consultation arrangements and well-developed community links will enable them to play a significant role in the delivery of this sub-regional Strategy by helping to secure resident support.

Complementary Projects

- 4.3.4. The HMR boundary excludes some smaller areas of low demand which exhibit many of the same market failure characteristics but which are not geographically linked to the

designated priority areas. These are Town Centre Fringe, North Road Corridor and Hope Town in Darlington, Owton Manor in Hartlepool, the Hemlington area of Middlesbrough, the former ironstone mining settlements of East Cleveland and the Hardwick estate in Stockton.

- 4.3.5. TVL proposes to closely monitor the future of these areas. The Neighbourhood Vitality and Viability Index is a key tool in this process which will be updated on an annual basis. Although the sub-regional Housing Strategy may direct some of the non-HMR resources towards these areas, it is recognised that they are not the current focus of TVL's HMR Strategy.
- 4.3.6. The intention within this sub-regional Housing Strategy is to support the TVL HMR Strategy by targeting at least 75% of SHIP resources into those areas where market failure is most acute and where TVL's primary objectives will be directly assisted.
- 4.3.7. Smaller scale, new affordable housing developments are to be pursued in areas close to major regeneration schemes to provide rehousing opportunities to affected residents, to facilitate clearance or major renewal schemes, and to provide greater choice to residents. Affordable housing is defined in section 5 of this Strategy.

Further Research

- 4.3.8. As a consequence of the initial sub-regional HMA report, further research is urgently needed to improve the focus on aspirational demand and new housing provision in each of the districts. We will do this by commissioning further research to comply with the Government's recent requirements for Strategic Housing Market Assessment.

4.4 CURRENT FUNDING REQUIREMENTS

- 4.4.1. Early indications of future funding possibilities indicate that a "flatline" settlement may be offered for the period

2008-2011. This means that the three year funding offer for 2008-11 will be based on an average annual sum for the period 2006/08 projected forward for 2008-11. This would make £46,504,500 available to TVL. This would consist of £27,180,000 from CLG and £19,324,000 from SHIP Objective 1.

4.4.2. Individual councils estimate that there is unlikely to be any other significant source of public funding coming forward over the same period.

4.4.3 If a flatline settlement is a reality, the scale of intervention will have to be scaled down and consequently, the level of public sector leverage will be limited. However, through partnership working the local authorities will be successful in leveraging in spend from other public sector sources. This is illustrated by the following examples:

- In Middlesbrough, Erimus Housing is investing in estate remodelling at Grove Hill and West Middlesbrough Neighbourhood Trust has invested NDC funds in to HMR activity in West Lane East in Middlesbrough.
- Endeavour Housing Association is working in partnership with Stockton Borough Council and Tristar (Arms Length Management Organisation) to support HMR activity in Hardwick.
- Nomad E5 is working in partnership with Stockton Borough Council and Tristar to support HMR activity in Mandale and the Tees Valley Housing Group are engaged in HMR activity in Parkfield.
- In central Hartlepool, Housing Hartlepool and Hartlepool Revival are working in partnership with Hartlepool Borough Council to facilitate the ongoing HMR programme.
- Redcar and Cleveland Borough Council is currently seeking to appoint a development partner for Low Grange.



Mandale Park, Haslam Homes and Nomad E5 Properties

4.4.4 Other sources where some limited public funding may be secured include the Housing Corporation and Local Area Agreements.

HMR Activity 2008-2011

4.4.5 The table on the next page presents two scenarios to demonstrate the impact that any shortfall in funding is expected to have on the Tees Valley HMR programme¹⁹.

¹⁹ The projections are based on past experience of delivering HMR activity and will be subject to change as circumstances change and as Councils modify and adapt projects accordingly. The scale of intervention is determined by the level of public sector funding that can be secured and other external factors.

Outputs	A	B
	Scale of intervention that could be achieved if the Tees Valley is allocated a flatline settlement* from CLG and SHIP objective one funds.	Scale of intervention that could be achieved if all public funding requirements could be fulfilled.
Acquisition	746	1,775
Demolition	1,121	2,112
Relocation packages	333	740
Improvements	31	515
New build	1,960	1,960
Private sector leverage ²⁰	Upto £260 million	Upto £260 million
Public sector funding	Flatline settlement allocation equates to only £46 million*	True funding need is estimated to be £153 million
* With a flatline settlement, the total allocation would be £46,504,500 equating to £27,180,000 from DCLG and £19,324,500 from SHIP Objective One.		

TABLE 5 - Comparative Output Projections 2008 - 2011

4.4.6 If the necessary scale of intervention is to be achieved during the next 3 year period; 2008-2011, it is estimated that the true public sector funding need would amount to almost £153 million. Whilst HMR activity would be supported by other council funding streams, Tees Valley local authorities will continue to rely substantially on CLG and SHIP Objective One funding and a combined total of over £136 million would be required from these two sources. This equates to a requirement £47,174,101 from SHIP Objective One and £88,936,998 from CLG in the period 2008-11. If the required level of public sector funding was forthcoming, the acquisition and demolition programme would accelerate considerably as shown in the table above.

Private Sector Leverage

4.4.7 As mentioned earlier, the Tees Valley have successfully engaged private developers in the redevelopment of HMR sites and up to £110 million of private sector investment will have been captured through capital receipts and investment in new build in the period 2003-2008. Projections indicate that HMR activity in the Tees Valley will attract a further £260 million of private sector investment over the next three years (2003-

2008), clearly demonstrating the momentum that has been achieved to date.

Funding Shortfall 2008-11

4.4.8 Based on the amount of public sector funding required to deliver the desired scale of intervention if transformational and sustained change is to be achieved over the period 2008-2011, in comparison to the amount of public sector funding that is likely to be forthcoming, the sub-region would have a public sector funding gap of over £100 million. This will directly impact on the acquisition and demolition programme.

Potential HMR Activity 2011-2021

4.4.9 The table on the next page sets out projections for public sector funding, private sector leverage and outputs for the subsequent funding periods of the Sub-Regional Housing Strategy; 2011-2016 and 2016 to 2021²¹.

²⁰ The level of private sector leverage is likely to be similar for the two different scenarios because the amount of new build which is planned in the system is not directly influenced by increased availability of public funds.

²¹ The projections are based on past experience of delivering HMR activity and will be subject to change as circumstances change. This is of particular relevance to projections beyond 2011. The scale of intervention is determined by the level of public sector funding that can be secured. Councils will need to modify and adapt projects accordingly in response to this and other external factors.

Outputs	COLUMN A	COLUMN B
	2011 - 2016	2016 - 2021
Acquisition	2,273	1,107
Demolition	3,185	1,460
Relocation packages	1,502	711
Improvements	2,187	1,805
New build	2,997	993
Private sector leverage	£320 million	£130 million
Public sector funding need	£240 million	£100 million

TABLE 6 - Future Output Projections 2011 - 2021

4.4.10 Whilst it is difficult to project activity over such extensive time periods, the following at least demonstrates that the period of transformational change requires a sustained approach and longer term funding commitments.

4.5 STRATEGIC PRIORITIES

4.5.1 We have identified a number of strategic priorities and identified the actions that will help to deliver these priorities as set out in the table below. This illustrates the wide range of activity that will help to rejuvenate the housing stock.

PRIORITY	ACTION
Successful delivery of housing market renewal priorities	Address housing market failure in the Tees Valley
	Secure funding from SHIP Objective one and DCLG HMR programme in current and future bidding rounds to continue delivery of HMR activity in identified areas of major intervention.
	Align other self-funding HMR projects in areas of market failure with HMR programmes in areas of major intervention to ensure a joined up and well co-ordinated approach.
	Submit business plan to DCLG in November 2007 to secure further HMR funding
	Review and update TV HMR Strategy by November 2007
	Maximise resources available through implementation of gap funding models by March 2008
	Continue quarterly monitoring of expenditure and outputs to keep projects on track and ensure successful delivery
	Annual update of the Vitality and Viability Index (Housing Vitality Index)
	Develop the Community Vitality Index by April 2008 and update annually.
	Review and update evidence base which will inform future priorities.
Development of appropriate housing options for displaced residents	Move towards development of loan based financial assistance packages in 2007/08
Collaborative working with key stakeholders in public and private sector	Twice yearly meetings of TVL Joint Procurement Group to identify opportunities for joint procurement as part of the drive to generate cost and efficiency savings. (ie. demolition contracts, property security, external valuations).
	Continue dialogue with private sector developers to maximise potential for private sector leverage and to negotiate extras which will deliver additional benefits / outcomes to communities (the HBF Liaison Panel is a key way by which to achieve this)

PRIORITY	ACTION
	Continue to utilise (and regularly update) the TVL Skills Directory as a way in which to share good practice and expertise in relation to the planning, development, implementation and monitoring of HMR and related activities to maximise efficiencies.
	Continue to deliver complementary face lift and other improvement and refurbishment schemes in neighbourhoods adjacent to HMR intervention areas to ensure a balanced approach to redevelopment of these areas.
	Continue partnership working with key stakeholders through TVL Executive Group and TVL Board to ensure alignment of TV HMR Strategy with other relevant strategies including: Regional Housing Strategy, Sub-regional Housing Strategy, City-region Development plan, Regional Economic Strategy and other relevant strategies.
Support strategic new housing schemes outside HMR areas which increase availability of affordable housing	Work with planners and developers to identify potential housing sites

TABLE 7 - Priorities and Actions - Objective 1

5.0 PROVIDING CHOICE AND QUALITY

"To ensure the type and mix of new housing provides choice, supports economic growth and meets housing needs and demand. This will reflect the diversity of urban and rural communities and the needs for affordable, family and executive housing". Key Objective 2, The North East England Regional Housing Strategy, July 2007.

5.1 THE CHALLENGE AHEAD

Regional Context

5.1.1 The RES and the RSS both anticipate that the North East will experience economic growth in the near future. The expected growth will stimulate a further positive change in the rate of migration to the Region and thereby generate a net increase in housing demand.

5.1.2 The RHS reflects the important roles that housing will perform both as an important sector of the economy and in providing the amount, range and quality of housing required to accommodate indigenous demand and that which will arise from in-migrants to the area. An appropriate variety, quantity and quality of housing in suitable locations will provide the choice that will not only encourage local people to remain settled but which will also prove attractive to potential high-status, in-coming employees and investors.

5.1.3 However, the RHS warns that housing supply alone will not support the economy or deliver sustainable communities, if people choose not to live in certain places. Meeting the needs and aspirations of different household types in sustainable locations requires the ability to express choice within those places.



5.1.4 Two particular pressures across the North East were highlighted during the preparation of the RHS, which have continued relevance to Tees Valley:

- A shortage of affordable housing in parts of the region, exacerbated by recent increases in homelessness;
- A shortage of housing which meets the aspirations of households who want to move to better quality homes and neighbourhoods, or of those considering whether to move into the region.

5.1.5 The RHS stresses the need to enable choice and quality in delivering each of four key objectives. This Strategy is about creating the environment and conditions to widen the housing offer within the Tees Valley.

Sub-Regional Context

5.1.6 A challenge for Tees Valley is to provide good quality new housing in environments that attract people to stay in, or move to, such areas rather than look to move to other locations in North Yorkshire or County Durham.



Mixed tenure developments, Parkfield, Stockton

This challenge is greatest in Middlesbrough with its urban setting, and in parts of Hartlepool and Redcar and Cleveland with a housing legacy from a time dominated by the needs of heavy industry, where there are particular difficulties in providing more attractive residential environments.

- 5.1.7 Research has identified an aspirational demand for more 'executive' detached housing, particularly if economic regeneration targets are to be achieved, and also for more three- and four-bedroom detached and semi-detached houses of good quality in pleasant environments.
- 5.1.8 The Regional Housing Aspirations²² study reinforced the high value attached to suburban developments and those adjacent to green spaces. Developments in town centres and waterfront settings have a more limited appeal. When redeveloping cleared urban sites, for example, opportunities for lower density housing developments with open spaces must be maximised wherever possible.
- 5.1.9 The aspirations expressed by Tees Valley residents in the household survey were largely traditional, with over 57% aspiring to semi or detached houses and only 21% seeking terraced housing. Aspirational demand for flats was 10% and bungalows almost 11%.
- 5.1.10 In addition to the Tees Valley HMA and LHAs have helped to clarify the nature of demand and need, and the new provision required in different parts of the sub-region. The local housing assessments have highlighted a number of characteristics of housing markets in Tees Valley and deficiencies in provision.
- 5.1.11 Affordability is increasingly a problem in the sub-region. It is an issue for all local authorities but is more acute in certain areas and affects specific sectors of the population, notably the young and some elderly. Affordability has an impact on the ability to decant households from redevelopment areas and thus has potential to extend the regeneration process. Because it may

prevent certain groups from readily accessing decent housing, it can prompt an increase in the level of homelessness and add to the number of 'concealed' households, as individuals are unable to establish their own independent household.

- 5.1.12 In terms of specific types of housing, individual assessments have highlighted a specific shortage of two-bedroom detached and semi-detached, and four-bedroom detached dwellings. The need for an increase in the supply of 'higher market housing' is recognised throughout the sub-region.
- 5.1.13 In the long term, the need to diversify the housing offer and improve the quality of property in the housing market as a whole will be a fundamental consideration in the preparation of LDF across the sub-region. Mixed tenure and a range of sizes and styles of dwelling will be essential ingredients in creating stimulating and sustainable residential environments not only where new construction is involved but also where refurbishment of retained private and social housing stock and neighbourhoods are concerned.

5.2 ACHIEVEMENTS

- 5.2.1 The drive to secure variety and quality is already underway. This is demonstrated by a range of initiatives:
 - the preparation by Darlington Borough Council of a Supplementary Planning Document on the provision of Affordable Housing;
 - councils working together and with developers and other stakeholders in the preparation of a common format and content for section 106 Obligations to be adopted across the sub-region in relation to the provision of Affordable Housing;
 - units of Affordable Housing already secured in new housing developments;

²² Regional Housing Aspirations Study, Nathaniel Lichfield and Partners, December 2004

- mixed tenure developments under construction and programmed for the near future;
- signed development agreements in relation to future provision of Affordable Housing;
- a range of models and products across the sub-region to provide equity share and shared ownership in the intermediate housing market;
- substantial resources applied to the provision of Affordable Housing through the National Affordable Housing Programme;
- close working relationships with experienced Registered Social Landlords;
- effective partnership working between Tees Valley Councils;
- LHAs carried out jointly and to an agreed methodology across the sub-region better to understand the nature of need and demand both locally and at the more strategic level;
- a successful sub-regional Choice Based Lettings policy primed for implementation;
- a Tees Valley Housing Corporation Protocol is currently being developed and will hopefully be one of the first sub-regional schemes to be completed.

5.3 KEY FUTURE ISSUES

- 5.3.1 The consultation document for updating the RHS identified a number of key issues with a bearing on this objective, referring specifically to:
- housing market exclusion;
 - provision of affordable housing;
 - achieving the right mix of housing of the quality that meets 21st century needs and aspirations; and
 - rural housing issues;

Housing Market Exclusion

- 5.3.2 "Market exclusion is the inability to participate in the housing market which results from a mixture of disparities in housing and neighbourhood quality and

personal economic circumstances. The market controls access to the region's limited supply of quality housing by price. Households seeking good quality housing therefore also require the financial mobility to express this choice in the marketplace." (RHS pp.41).

- 5.3.3 Increasingly the disparity between average house prices and household incomes within the sub-region have led to concerns over affordability. Whilst the Tees Valley sub-region has developed a range of affordable housing models to meet increasing customer aspirations and choice, average household incomes are not keeping pace with local house prices. Furthermore, the majority of social housing tenants are in receipt of benefits and unable to access private sector housing at market prices. The increasing affordability gap, however, also has a significant impact on the ability of young working families to access home ownership. This Strategy aims is to provide consumer choice whilst maintaining quality and accessibility for all members of the community.

- 5.3.4 In this regard, the housing aspirations of older people are of particular concern given the ageing population and the need for existing and future stock to be adaptable to changing aspirations. Housing for older people to buy and/or to rent should therefore include lifetime homes, as well as purpose-built bungalows and apartments. More specialised developments such as the Joseph Rowntree inspired retirement village being developed in Hartlepool are encouraged.

- 5.3.5 Tees Valley was successful in a partnership bid to develop a sub-regional Choice-Based Lettings (CBL) Scheme, led by Middlesbrough Council. The scheme includes all local authorities, LSVTs and ALMO and links to the RSL forum for other RSLs operating in Tees Valley. In addition, the scheme is seeking to attract private landlords and all local partners are currently going through their approval processes for implementation of the scheme and agreement on joint allocation policies.

5.3.6 This work will also lead into commitments within the development of a Tees Valley Housing Protocol in partnership with the Housing Corporation in relation to:

- a Tees Valley nomination agreement;
- agreed monitoring systems to ensure compliance.

5.3.7 The roll out of the sub-regional CBL Scheme will provide a powerful system of housing allocation across Tees Valley and enable consistent approaches that will improve accessibility to affordable stock

Affordable Housing

5.3.8 The provision of affordable housing is recognised as an increasingly complex issue in the region. Previously, affordability within the region was regarded as an issue only affecting rural communities due to the housing market pressures from commuters and second-home owners. This housing market pressure inflated rural house prices and reduced the supply of affordable housing to the indigenous population.

5.3.9 Increasingly the issue of affordability has impacted on the more urban areas and this is very evident in areas of low demand and low value properties where limited equity precludes many existing residents from being able to afford better quality, alternative, and, more desirable properties. Equally many young people seeking to enter the housing market for the first time find themselves excluded from it due to the disparity between household earnings and house prices.

5.3.10 Affordability has not been considered to be a major issue across Tees Valley until recently, due to the abundance of low cost, terraced housing. LHAs, however, have highlighted the increasing demand for affordable housing in each Tees Valley council, fuelled by sharply increased house prices in most areas. Affordable housing is required to assist those social housing tenants who aspire to home ownership, and to move households from clearance areas into new accommodation.

5.3.11 LHAs also have demonstrated that the Tees Valley sub-region faces a demanding affordable housing requirement equating to between 1250 and 1500 units per annum. Proposals to be presented to the NEHB and the Housing Corporation for affordable housing schemes will fill the gap of identified need and will support one or more of the key objectives of this Strategy.

5.3.12 LDFs will include appropriate and specific affordable housing policies to address the "affordability gap" and make provision to ensure that the amount of affordable housing not only increases but also remains available in the long term to those in most need. Policies will be backed up by the use of Section 106 Planning Obligations both in respect of affordable housing provision and to prevent numbers declining as a result of sales on the open market. As referred to earlier, the sub-region is working towards common deliverable S106 Planning Obligations.

5.3.13 The provision of new affordable housing is essential to facilitate the relocation of households from existing clearance areas. Many existing residents are on low and/or fixed incomes and struggle to move into newer, more expensive homes as a consequence of housing market restructuring. This Strategy prioritises affordable housing bids to help facilitate housing market renewal and to widen the choice to displaced residents from a range of regeneration schemes.

5.3.14 Confidence in the sub-region to develop new approaches is demonstrated in the fact that the Tees Valley sub-region has been selected as a pilot area to develop a protocol in partnership with the Housing Corporation. The protocol establishes the requirements and expectations of both the Housing Corporation and respective sub-regional local authority partners in relation to the delivery of an increased supply of affordable housing through reduced levels of public subsidy. The protocol identifies the delivery partners for affordable housing together with a framework of cooperation between local authorities, the Housing Corporation, RSLs and the private sector.

5.3.15 The sub-region has already introduced a range of intermediate affordable housing models to address the affordability gap that exists between the social rented sector and those aspiring to full owner occupation.

5.3.16 Along with other sub-regions and local authorities, Tees Valley is involved in the development of a Regional Loan Product as a means of financing property improvement or other measures that will assist vulnerable households in the up-keep of their houses.

5.3.17 Other related initiatives such as the First Time Buyers Initiative, Homebuy, and other shared equity schemes, will be pursued wherever the need can be demonstrated and appropriate funding secured.

Achieving the Right Mix of Housing

5.3.18 The recently-completed LHAs have provided greater clarity about the nature of demand and need for new provision in different areas of the sub region, but other issues have an impact on the range and type of housing that should be constructed. These include:

- increasing customer aspirations /expectations (these have been referred to above).
- increased design requirements/cost to meet "zero carbon footprint" affordable home.
- the profitable "buy to let" housing market which excludes many local vulnerable people from the housing market.
- constraints of the RSS in respect of local housing build rates compared with a growth in housing demand. Also, in relation to existing housing planning permissions against future affordable housing requirements.

Design and Energy Standards

5.3.19 In line with the RHS, new housing developments will be expected to comply with guidance in PPS3 and, in rural areas, meet the recommendations of Planning Policy Statement 7: Sustainable Development in Rural Areas. New developments are expected to be well designed and capable

of making a significant contribution to urban renaissance and improving the quality of life. The design and construction of new development must demonstrate attention to the place-making agenda, show respect for heritage and the setting within which it is to take place and incorporate a range of different styles and tenures of housing sufficient to appeal to and accommodate a variety of households to form a balanced housing market.

5.3.20 Replacement housing, whether to rent or to purchase, will be expected to be of high quality design and specification, and ensure that the needs of more vulnerable households are properly provided for.

5.3.21 The design of new housing schemes should take account of an ageing population and the need for more people to adapt their homes to meet their changing mobility and frailty. Lifetime homes will be encouraged and elderly persons housing provided to free up larger, family homes wherever possible. Through the Mixed Communities Pilot Scheme, Redcar and Cleveland Borough Council has access to expert design and heritage consultancy support, so this aspect of delivery is a reality.

5.3.22 Secured by design principles will also be adopted and estates planned to minimise the fear of crime by creating safe and secure environments. This will involve careful consideration being given to issues such as street layout, lighting, through routes, communal areas and car parking.

5.3.23 The RHS aims to ensure that new and replacement housing reflects the need to use resources efficiently and minimise the level of carbon emissions. All major development is to include energy efficiency measures and EcoHomes standards as defined by the Building Research Establishment Environmental Assessment Method (BREEAM). 10% of energy is to be generated from embedded renewable energy such as mini-turbines and Photo-voltaic solar cells. The NEHB will place particular emphasis on the need for these measures to be incorporated into any proposed recipient of SHIP funding.

5.3.24 Developers will be required to give significant attention to the efficient use of energy and to minimise carbon emissions. Maximum use of estate-based renewable energy sources will be encouraged to minimise reliance on fossil fuel generated power. The RHB has already stated that it will give priority to schemes submitted for SHIP funding that meet these design and energy efficiency standards.

5.3.25 Modern Methods of Construction (MMC) can offer significant efficiency gains in terms of construction costs and timescales, in addition to introducing new technology and materials. A number of RSLs have already begun applying MMC to their recent schemes with encouraging results. The sub-region will adopt a policy of encouraging the private sector as well as the social housing sector to adopt MMC wherever possible in order to drive down construction costs.

5.3.26 Greater use of modern methods of construction (MMC) is a clearly stated RHS objective. The RHS identifies some important advantages of MMC including reduction in the need for large numbers of highly skilled operatives to deliver schemes, and that unit cost can be forced down as a result. Like NEHB, Tees Valley will encourage private house builders take greater advantage of these approaches.

5.3.27 The North East Home Insulation Partnership (NEHIP) with the NEHB have profiled insulation potential throughout the region. NEHIP has estimated that Tees Valley has approximately 91,000 unfilled cavities and 145,000 lofts that have inadequate levels of loft insulation, requiring in the order of £72 million to complete. In order to address the issue, NEHIP has suggested that Tees Valley becomes part of a proposed regional programme that provides a consistent regional home insulation offering that is free for all fuel poor and vulnerable households and sets a consistent affordable price for able-to-pay households. A consistent regional product will reduce the current fragmentation within existing grant structures, provide a more attractive offering

to householders that is easier to market and manage, and has the potential of attracting a higher financial contribution from utilities.

Rural Housing

5.3.28 Although the Tees Valley sub-region is not traditionally acknowledged as an area with rural areas, four of the five Tees Valley authorities do have rural communities, with former mining communities in East Cleveland recognised in the RHS. Increasingly, rural areas within the Tees Valley sub-region are exhibiting many of the affordability problems highlighted in the traditional rural communities of its adjacent North Yorkshire sub-region.

5.3.29 The long term sustainability of many rural communities is being threatened by the disparity between local disposable incomes, local rural employment opportunities and average house prices for the indigenous rural population.

5.3.30 In common with other parts of the region, affordability in Tees Valley's rural areas is a supply issue. Demand results, partly, from an absence of quality in urban areas. There are also site availability issues. Through creative and innovative use of planning policy through PPS3 the Tees Valley authorities aim to redress this imbalance and create "choice" for the indigenous rural population by recruiting a dedicated and independent Rural Housing Enabler to facilitate new developments specifically targeted at them.

5.4 THE STRATEGIC PRIORITIES

5.4.1 We have identified a number of strategic priorities and identified the actions that will help to deliver these priorities as set out in the table on the next page. This illustrates the wide range of activity that will help to provide quality and choice.

PRIORITY	ACTION
Deliver a mix of (and access to) good quality housing choice	Lobby for higher RSS target numbers of new build
	Operate a pepper potted approach to affordable housing
Maximise energy efficiency of housing	Further develop private sector partnerships to increase number of homes with SAP of 65
	Work in partnership with North East Home Improvement Agency
	Develop a Tees Valley wide Affordable Warmth Strategy
	Work with private sector and other housing providers at pre-application stage to deliver well designed housing which aligns with statutory environmental performance standards.
Maximise the role and effectiveness of private rented sector	Extend landlord accreditation scheme
	Extend landlord selective licensing scheme across priority regeneration areas
	Provide loan based financial assistance policy to private landlords
	Operate a common corporate enforcement policy
Improve availability and access to affordable housing	Ensure effective (and value for money delivery) of NAHP resources (includes regular performance reviews with RSL partners)
	Extend choice based lettings to private sector
	Develop sub-regional approach to section 106 planning agreements to procure affordable housing to meet identified need
	Introduce and implement the Affordable Housing Supplementary Planning Document recommendations
	Appoint a rural housing enabler to investigate, support and provide an "independent" interface between land owners, existing rural residents and the Tees Valley local authorities to increase the supply of appropriate development opportunities in rural locations.
	Further develop approach to affordable housing model

PRIORITY	ACTION
	Work in partnership with RSL partners and private sector developers to provide affordable housing where evidence of need
	Develop a sub-regional CBL scheme to include shared ownership and affordable rented housing, including private rented sector
	Further explore the provision of intermediate housing, namely shared ownership and shared equity.
	Develop affordable housing registers
	Develop range of financial packages to facilitate tenure switch and staircasing approach for homeowners (purchaser able to increase or decrease equity share when financial situation changes)

TABLE 8 - Priorities and Actions - Objective 2

6.0 IMPROVEMENT AND MAINTENANCE OF EXISTING HOUSING

"To secure the improvement and maintenance of existing housing so that it meets required standards, investing in sustainable neighbourhoods". Key Objective 3, The North East Regional Housing Strategy, July 2007.

6.1 THE CHALLENGE AHEAD: REGIONAL CONTEXT

MEETING DECENT HOMES IN SOCIAL HOUSING

6.1.1 The Government has set targets for achieving the Decent Homes Standard in both the social and private housing sectors. By 2010/11 all social housing will be required to meet the Decent Homes Standard. Across the North-East Region around 47% of properties in the local authority sector did not meet the standard, based on figures from the English House Condition Survey 2001. No comparable figures are available for the sub-region.

6.1.2 Existing RSLs are also required to meet the same decent homes target. In general, their housing is newer and more likely to meet the standard, but it will still require works to around 18% of RSL stock.

IMPROVING THE PRIVATE SECTOR

6.1.3 The improvement and maintenance of stock in the private sector is one of the greatest challenges facing the sub-region due to the estimated scale and cost. PSA7 requires 70% of vulnerable households (in the private sector) to be living in decent homes by 2010. As a sub region, we have made successful movement towards this target (we now stand at 67%). It is likely that we will meet this target by 2010 providing the required physical improvements to properties are matched with the financial resources needed to make this happen.



Improvements to Private Stock - Middlesbrough

6.2 THE CHALLENGE AHEAD: SUB-REGIONAL CONTEXT

MEETING DECENT HOMES IN SOCIAL HOUSING

6.2.1 The major investment that will flow from the need to achieve decent homes in the social housing sector will be a major contributor to the overall regeneration of the Tees Valley and to the delivery of more sustainable communities across the whole sub-region, which in turn will help underpin other major interventions outlined in this Strategy.

6.2.2 As a result of local authority stock option appraisals, the sub-region established three LSVTs and one ALMO, with one authority retaining its stock.

With investment plans now substantially agreed, the sub-region is on target to meet the Government's 2010 target for decent homes standard in the social rented sector. The delivery of the bulk of decent homes across the social housing sector will be in the hands of the LSVT RSLs, (Housing Hartlepool, Erimus and Coast and Country), and the ALMO in Stockton (Tristar Homes). Darlington has chosen to retain its stock and fund the investment from existing resources and prudential borrowing to ensure it can meet its own decent homes plus standard across its housing stock.

6.2.3 Levels of investment in the social housing sector and recent achievements are illustrated below:

- In Darlington, a total of £24.7 million of funding has been invested in Council stock in the period 2004-07 and Darlington has very recently achieved the Decent Homes Standard across all its stock.
- In Redcar and Cleveland, since the transfer of the housing stock from the Council to Coast & Country Housing in July 2002, the number of non-decent homes has been reduced from 9188 (out of a stock of 11631) to 2463 (out of 10707), a reduction from 79% to 23%. This has been brought about by an investment programme totalling £125m to date.
- In Stockton, the ALMO option secured £63million additional investment towards helping to meet the Decent Homes target. As a result, out of a total stock of 11,108, only 2,642 remain non-decent.
- In Hartlepool, the transfer of its housing stock to Housing Hartlepool secured £107 million of investment. £18.65 million has been invested to date and as a result the number of non-decent homes has been reduced from 4,126 (out of a total stock of 7,502) to 2,424 (out of a total stock of 6,984), a reduction from 54.9% to 34.7%.

- In Middlesbrough, the transfer of its housing stock to Erimus Housing in 2004 secured £181 million of investment. £77,789,924 has been invested to date and as a result the number of non-decent homes has been reduced from 5,737 (out of a total stock of 11,968 in 2004) to 2,920 (out of a total stock of 10,981), a reduction from 47.9% to 26.6%.

MEETING DECENT HOMES IN THE PRIVATE SECTOR

6.2.4 The extent of non-decency in the private sector has recently been quantified across Tees Valley through a stock condition survey undertaken by Building Research Establishment (BRE). This report²³ published in June 2007, provides estimates of local housing conditions in the sub-region at the level of the region, authority and ward using models developed by BRE which combine national data from the English House Condition Survey 2001 with local Census data.

6.2.5 The BRE work identifies that the total cost of making the sub-region's estimated 48,611 non decent homes decent is in the region of £448 million. Assistance will be required in some of the estimated 21,701 non decent homes occupied by vulnerable groups. The estimated total for these dwellings is £200 million. It should be noted that in the absence of alternative locally calculated data (and reliance on 2001 data as referenced above), the data relies on several major assumptions, albeit providing a useful baseline.

6.2.6 However, there is some concern that expressing the target in this way under estimates the absolute scale of the problem in the sub-region which has an unusually large proportion of vulnerable households. All authorities recognise that they will have a substantial task ahead to meet the 2010 target and that current SHIP and available private sector resources are unlikely to be adequate to meet the target.

6.2.7 While much still needs to be done to improve stock conditions in the private sector stock, in the main significant progress has been made in moving forward in relation to the condition, management and maintenance of private sector stock, for example:

- securing external funding to help improve and maintain existing private sector stock.
- moving forward the new Government Reform Agenda.
- joint working to facilitate private financing of home improvements.
- development of Home Improvement Agencies in partnership with RSLs.
- engaging private landlords to secure their contribution and commitment to improve stock conditions.
- a stepped approach to introducing loan based products.



Private Sector Landlords Forum

6.2.8 The Tees Valley local authorities were successful with an innovative Partnership bid to the NEHB for SHIP Round 2 funding. This is tackling the improvement and maintenance of existing private sector housing to meet decent homes, reduce the number of empty homes and improve energy efficiency. It also proposes a more consistent approach to the improvement of property and management standards in the private sector.

6.2.9 The Regulatory Reform Order 2002 gave local authorities the opportunity to recycle existing resources to finance home improvements in the private sector. It expects local authorities and home owners to move away from traditional grant-led improvements

by looking to increase the proportion of privately financed work through loans, equity release mortgages, release of savings and other privately financed initiatives.

6.2.10 The renovation grant regime is unlikely to continue receiving significant SHIP funding in the future. This will require a step change in the way local authorities approach their private sector renewal strategies. Financial assistance in the form of Disabled Facilities Grants (DFGs) will continue for those with special physical needs. However, the recent consultation paper on the future of DFGs indicates a move towards a loan-based approach and changes to the DFG system are expected in the near future.

6.2.11 A partnership approach involving all local authorities in the sub region will aim to develop examples of good practice in privately financing home improvements, new decent homes investment packages and help procure new financial services. The partnership will also develop a knowledge base of good practice to share with others and move towards an homogenous approach to private sector investment across the sub-region.

6.2.12 Local authorities have been encouraged by Government (through their Agency Foundations) to set up arms-length Home Improvement Agencies (HIAs) to provide support and assistance to homeowners, and to look at cross-authority working. Hartlepool, Darlington and Redcar and Cleveland have already set up HIAs with RSLs, whilst Stockton is currently reviewing the provision and funding of its existing in-house advisory service. Middlesbrough has an in-house HIA and has recently been awarded the Foundation's Quality Mark.

6.2.13 The role and contribution of private sector landlords in maintaining and improving the existing rented housing market has not been consistent across the sub-region. Financial assistance from local authorities to landlords has not always been regarded as a priority.

23 Tees Valley Private Sector Housing Group: Housing Stock Projections, BRE, June 2007

6.2.14 With the introduction of the Housing Act 2004 in April 2006, private sector landlords are now more aware of the larger range of enforcement powers available to local authorities to improve conditions in the sector. Mandatory Licensing of Homes in Multiple Occupation has been implemented across the sub-region as consistently as possible, taking account of local circumstances and political requirements. Joint working has led to the development of improved standards of management, property conditions and the provision of amenities.

6.2.15 Fuel poverty continues to be an issue of concern, where it is estimated that over 15% of households in the region are spending more than 10% of disposable income on fuel, compared to 11.5% nationally. Several local authorities have already adopted Affordable Warmth and/or Fuel Poverty strategies to improve insulation and heating systems and to ensure households benefit from financial support where necessary.

6.2.16 The Tees Valley local authority partnership SHIP Round 2 project is building on existing good practice to develop a sub-regional energy efficiency strategy. It proposes joint working with a national energy supplier across the sub-region to offer residents a package of energy efficient measures to reduce fuel costs, especially amongst vulnerable and low income households. The future Strategy will also examine opportunities to utilise "renewable" forms of energy to reduce household costs and provide cleaner and more efficient energy supply.

6.2.17 Improvements to bricks and mortar are not seen as the sole solution to market failure and the regeneration of sustainable neighbourhoods. Effective neighbourhood management can underpin physical improvements and will be considered where significant regeneration activity is planned in the most vulnerable neighbourhoods.

6.2.18 Initiatives will be introduced to help develop capacity within the community to access employment, training and further education, and to co-ordinate the work of agencies who

can contribute towards the regeneration of the community. Wherever possible, training and employment opportunities created by the physical improvement works will be made available to the local community. By way of example, Redcar and Cleveland Borough Council is currently engaged with a Social Enterprise Partnership to deliver "additional" community benefits beyond the housing infrastructure.

6.2.19 Finally, more work will be undertaken to provide a better understanding of the location and scale of owner occupiers whose properties do not meet decent homes standards, and how regeneration might impact on the availability of services and facilities to enable elderly home-owners to remain in their own homes.

6.2.20 Local authorities are currently analysing the findings of the BRE private sector stock condition survey and considering the implications for the sub-region. Darlington, Hartlepool and Stockton Borough Councils are seeking to jointly procure a private sector stock condition survey in 2007. Middlesbrough undertook a stock condition survey in December 2005. These key pieces of research will provide a steer on the level of investment required to deliver decent homes standards and in turn will determine future priorities for investment.

6.3 KEY ACHIEVEMENTS

6.3.1 The Tees Valley has a strong track record of sub-regional working to deliver key projects. The local authorities have jointly commissioned research as part of the drive towards increased efficiencies and value for money.

Examples include, the Energy Efficiency project, BRE Stock Condition Survey and Empty Homes Scheme. The sub-region has also jointly procured services and products to maximise effective use of public resources, for example, stair lifts, low cost essential adaptations and level entry showers. The joint procurement of ceiling track hoists and removable ramps are also being examined.

6.3.2 The introduction of external partnering arrangements has also been a key to increasing efficiencies, quality and choice of housing stock. For example, the sub-region has managed three successful LSVTs and established one ALMO which are delivering Decent Homes in the social rented sector and are on track to meet the Government's 2010 target. Hartlepool, Darlington and Redcar and Cleveland have also set up Home Improvement Agencies with RSLs. Middlesbrough's in-house HIA has recently been awarded the Foundation's Quality Mark.

6.3.3 The sub-region is also on target to make significant progress towards 2010 target of 70% of vulnerable households living in properties in private sector which meet the decent standard.

6.3.4 Local authorities have been successful in engaging the private sector and in developing public-private sector partnership arrangements to facilitate joint working initiatives. For example, the introduction of new financial assistance loan based products across the sub-region demonstrates the ability to partner with local lenders in delivery of housing assistance. This approach is being advanced further through a new Regional Financial Assistance Loan product. It is anticipated that loans will be available through the regional scheme by 2009/10. The City of Sunderland and Stockton Borough Council will act as regional administrators.

6.3.5 Higher levels of leverage have been brought about into the sub-region through the development of loan based products, the Energy Efficiency Scheme (£800,000) and the Empty Homes Scheme (£1,022,000). Tees Valley authorities achieved top quartile performance in respect of Best Value Performance Indicator 64. Authorities have undertaken comprehensive process reviews following the development of new financial assistance policies and procedures linked to mandatory licensing and empty dwelling management orders introduced by the Housing Act 2004.

6.4 KEY FUTURE ISSUES

6.4.1 In relation to improvement and maintenance of existing housing stock, the key future issues for the Tees Valley are highlighted opposite.

6.4.2 The Tees Valley has above average levels of older, private sector terraced housing. Levels of non-decency are a particular issue amongst the most unpopular terraced housing in low demand housing market areas which tends to be concentrated in the urban cores. Dealing with the high levels of non-decency in the private sector presents particular challenges to the sub-region.

6.4.3 The concentration of poor quality private sector housing is an issue in terms of their energy efficiency. Older housing stock and build types restrict the energy efficiency measures that can be installed. This makes older housing particularly costly in terms of energy consumption. The sub-region is exploring alternative ways in which to deal with these issues as part of the drive to reduce fuel poverty and to ensure affordable warmth for vulnerable households who are more likely to occupy poorer quality housing. The Tees Valley has set out to improve energy efficiency and to achieve a SAP rating of at least 65 across all the sub-region's homes by 2015 and is working towards ending fuel poverty for all vulnerable households.

6.4.4 The sub-region has an ageing population which consequently increases the numbers of vulnerable households in the sub-region. Further details on this matter are provided in Chapter Seven of this Strategy.

6.4.5 Local authorities are working in partnership with RSLs to ensure the sub-region achieves the Government's target of achieving decent homes in the social housing sector within the sub-region by 2010/11. All social landlords will be targeted to produce Asset Management Strategies to ensure the decent homes standard is maintained.

6.4.6 The management of the private rented sector will improve through licensing regulation linked to the powers of the Housing Act 2004. Better joint working with private sector landlords, for example working in partnership to achieve joint aims is the way forward and the option of establishing a sub-regional private landlord forum is currently being considered.

6.4.7 A key priority will be to explore sub-regional approaches to developing new privately funded loan and equity share products to help homeowners fund their own improvements and to develop new decent homes improvement packages. This will require further engagement with national lenders in developing incentives for home owners to improve homes.

6.5 MAKING IT HAPPEN

6.5.1 The Tees Valley has developed a number of projects that will help to tackle the key issues and deliver priorities in relation to improvement and maintenance of conditions in existing housing stock.

6.5.2 Tackling fuel poverty amongst deprived and vulnerable groups is a key priority for the sub-region. As well as building on existing core activity authorities are also seeking funding through SHIP Round 3 to help to deliver a project entitled; 'Eco Streets'. The project will provide an opportunity to pilot the effectiveness of renewable energy resources in improving the energy efficiency of private stock. The project will specifically focus on the potential benefits of eco homes for vulnerable households in terms of promoting affordable warmth, reducing levels of fuel poverty and improving health.

6.5.3 Whilst recognising the need to improve the conditions of the housing stock, local authorities are seeking funding through SHIP Round 3 to deliver a project entitled; 'Respect and Reward Scheme'. This project will build on existing activity and will provide incentives linked to management schemes (for

example, licensing and accreditation) to reward private landlords and at the same time improve the quality and sustainability of neighbourhoods in line with the Respect Agenda.

6.5.4 Local authorities have designed a project which has an integral part to play in improving access to decent affordable homes and in addressing the respect agenda. The sub-region is seeking funding through SHIP Round 3 to support a project entitled; 'Towards Home Ownership'. Whilst providing financial assistance to bridge the gap from the rented sector into home ownership, the project is also promoting an effective approach to stock management through bringing empty homes back into use (where this is appropriate) on an affordable basis. This can provide an entry point into home ownership in decent homes for low income households who would otherwise be trapped within a particular housing market, whilst improving the condition of the housing stock.

6.5.5 The sub-region will continue to strive for greater efficiency in addressing the needs of physically disabled households whilst also increasing choice for the beneficiary. Authorities are seeking funding through SHIP Round 3 to help to deliver a project entitled; 'Move, Adapt and Recycle'. This will build on the extensive adaptations work already undertaken in the sub-region which is delivered through the Disabled Facilities Grants programme and complementary funding from local authorities. In this context, the project is helping to maximise the effective utilisation of housing stock through assisting the beneficiary to buy a more suitable property where it is not practical or cost effective to adapt their existing home. In doing so, this can free up housing and improve access to decent homes. The move towards a more "flexible" housing solution will also allow local authorities to realise capital savings which can then be re-targeted more efficiently and broaden consumer choice.

6.6 STRATEGIC PRIORITIES

- 6.6.1 We have identified a number of strategic priorities and identified the actions that will help to deliver these priorities as set out in the table on the next page. This illustrates the wide range of activity that will help to improve management and maintenance of existing housing stock.

PRIORITIES	ACTIONS
Achieve Government's decent homes target in the local authority sector	<p>Deliver annual Housing Capital Investment Programme</p> <p>Populate ASSET management database, CODEMAN</p>
Achieve Government's decent homes standard in RSL sector	<p>Support RSLs in options appraisals. Examine re-modelling opportunities.</p> <p>Work with LSVT organisations to ensure effective delivery of investment programmes</p> <p>Other RSLs Decent Homes</p> <p>All other RSLs to carry out works to achieve DHT</p> <p>Plan to achieve DHT</p> <p>Integrate RSL Investment Plans with LA Regeneration Strategy</p> <p>Set up common approach to monitoring and liaison with RSLs</p>
Improvement of management and maintenance of private sector stock	<p>Achieve SAP rating of at least 65 across all homes by 2015.</p> <p>Implement a pilot for eco homes on the basis of sustainable energy</p> <p>As pilot for eco homes developers, consider emerging findings and seek to incorporate eco and energy efficiency measures in to facelift schemes</p> <p>Take part in the NEHB pilot Innovation Challenge Scheme</p> <p>Increasing participation of private landlords in accreditation and licensing schemes to ensure consistency in approach to raising standards across private rented sector and local neighbourhood as a whole (also addressing the Respect Agenda).</p> <p>Further develop sub-regional approaches to new privately funded loan and equity share products to help owners to fund their own improvements</p> <p>Develop new decent homes improvement packages and delivery models with RSLs and private developers</p> <p>Update private sector stock condition surveys</p> <p>Consider implications of BRE private sector stock condition report and other stock condition survey data to build information on private sector decent homes standards and target decent homes packages where need is evident.</p>
Bring empty properties back in to use on affordable basis	<p>Continue implementation of Empty and Eyesore dwellings programme</p>
Partnership working	<p>Continue joint procurement of research, products and services to increase levels of efficiency and value for money. This includes sub-regional approaches to delivery of schemes such as DFG works, HIA, licensing, Home Improvement Packs.</p>

7.0 MEETING SPECIFIC COMMUNITY AND SOCIAL NEEDS

"To promote good management and targeted housing investment to address specific community and social needs. This includes an ageing population and the needs of minority communities; alignment with the Supporting People programme and promotion of greater community involvement". Key Objective 4, The North East England Regional Housing Strategy, July 2007.

7.1 THE CHALLENGE AHEAD: REGIONAL CONTEXT

7.1.1 The Regional Housing Strategy acknowledges the broad range of potential community and social needs that require specialist housing and support interventions within the North East region. The drive nationally and regionally is to deliver appropriate housing solutions which align capital and revenue resources.

7.2 THE CHALLENGE AHEAD: SUB-REGIONAL CONTEXT

7.2.1 There are a number of key issues that are particularly pertinent for us as a sub-region. These are summarised below.

- Growing needs and demand of local residents. In summary, there is a growing elderly population, increased life expectancy for those with disabilities and the changing needs and aspirations of our local communities.
- Limited financial resources against the backdrop of increased service demands and growing expectations.
- Changing priorities at national and regional level. The sub-region must keep pace with changing Government agendas and ensure local delivery is aligned with national and regional guidance and policy.

MEETING SPECIFIC NEEDS

7.3 SUB-REGIONAL APPROACH TO TACKLING THE ISSUES

7.3.1 The Tees Valley local authorities (on an individual local authority and collective basis) have well-established, mature partnership arrangements with statutory, community and voluntary sector colleagues. Through these arrangements, the key challenges have been identified both now and in the future including the necessary actions to address these.

7.4 KEY ACHIEVEMENTS

7.4.1 Tees Valley local authorities and partners continue to explore opportunities for joint commissioning. In relation to the supporting people agenda, the sub-region has successfully jointly procured the LHAs, BME Housing Needs Study and the Gypsy and Travellers assessments. These examples demonstrate both a consistency in approach and value for money.

7.4.2 Examples of our positive approach to tackling community and social needs are summarised below.

Older People

7.4.3 Local authorities have developed a range of successful partnership arrangements to address the housing needs of older people. A number of projects have helped to provide quality mixed tenure accommodation for older people. For example, Hartlepool's Older Persons Village is a new innovative development of 242 units of accommodation creating a village environment. A choice of tenure (for example, owner occupation, shared ownership or rented) will attract a diverse range of people. Facilities in the village will also be available for people living in the community and will include a healthy living suite, restaurant and day centre facilities. This is the first development of its kind and will be setting standards high for the future in this sector. Further examples include the small-scale stock transfer of 6 sheltered housing schemes from Stockton Council to Erimus Housing and the modernisation and conversion of outmoded sheltered housing schemes across the sub-region.



Hartfileds extra care retirement village Hartlepool

- 7.4.4 The North East region has been successful in securing funding from both the Housing Corporation and Department of Health. This has been key to the development of new extra care housing in the Tees Valley with some mixed tenure units. Local authorities have also developed additional relocation options for older residents displaced from clearance programmes.
- 7.4.5 Effective partnership and collaborative working has been key to the successful establishment of a Chinese elders project in Middlesbrough.
- 7.4.6 Local authorities are actively involved with partner agencies to pilot and extend the range of assistive technologies and telecare services.



Chinese elders project, Middlesbrough

This is to ensure housing provision is tailored appropriately to address the housing needs of older people whilst maintaining their independence where possible.

Homelessness

7.4.7 We have actively embraced the 'homelessness' prevention agenda across our sub-region and have been awarded Regional Homeless Champion status (Hartlepool Borough Council and Erimus Housing). Furthermore, Stockton has been categorised as the Regional Centre of Excellence for Youth Homelessness. The use of Bed and Breakfast accommodation as emergency provision has reduced significantly. In Hartlepool and Darlington, for example, the requirement for B&B accommodation is now down to a minimum of 1 or 2 cases per year. The requirement for temporary accommodation is also decreasing.

7.4.8 The Tees Valley local authorities have also been actively involved in the development of a range of 'Family Intervention Services'. These are designed to enhance support services to families who are homeless or threatened with homeless due to their chaotic lifestyles and possible involvement in anti-social behaviour. Services are delivered across the region through a variety of models. This includes both out reach services and accommodation-based.

7.4.9 Local authorities have continued to work with partners to support the development of 'tenure neutral' sanctuary provision for those experiencing domestic violence in the Tees Valley. Sanctuary schemes are an innovative approach to homelessness prevention and existing schemes are already operating within local authority areas. The sub-region is seeking funding from SHIP resources for 2008-11 to further develop sanctuary provision which will build on existing provision and will complement our existing, established and valued refuge services.

Adaptations and Disabled Facilities grants

7.4.10 Tees Valley local authorities and partner RSLs have actively explored opportunities for joint procurement activity in relation to adaptations for disabled clients. This has

helped to increase efficiencies and value for money. Effective partnership arrangements with health and social care and PCT have also helped to lever additional resources to support delivery.

7.4.11 A key success has been in the development of an innovative Disabled Persons Re-housing Service to both complement and maximise DFG funds.



Darlington Council Capital Investment programme - Adaptations work

Other Vulnerable Groups

7.4.12 Local authorities have worked in partnership with RSL partners to develop supported living accommodation projects and specialist accommodation for vulnerable client groups. For example, Stockton Borough Council has worked with Endeavour Housing Association to secure a supported living scheme and move-on accommodation for ex-substance mis-users in the borough. Hartlepool has also been successful in developing a scheme of 10 units of accommodation for 16-25 year olds with complex needs. These needs can be related to a wide range of issues, including alcohol and or substance misuse, mental health

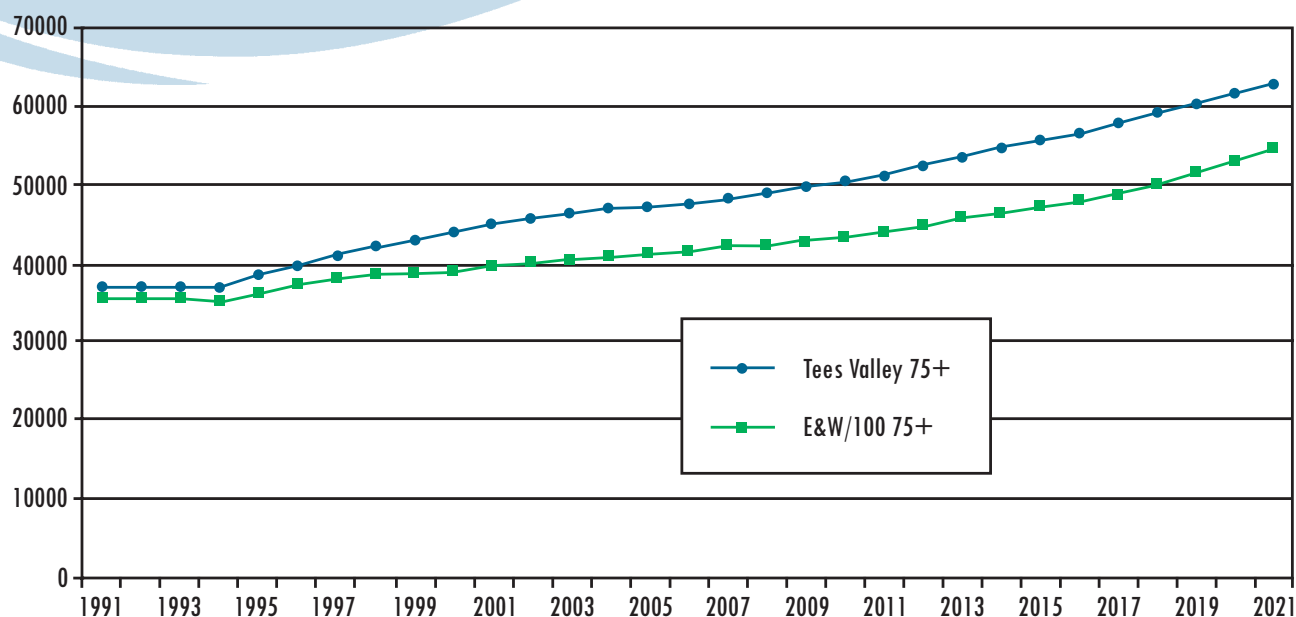


FIGURE 1 - Population Projections for older people compared to the national average

problems, domestic violence and homelessness. The scheme has been operational since November 2006. Funding has been secured through the Housing Corporation for a similar scheme aimed at over 25s which is expected to commence during 2007-08.

As detailed previously, there are some good examples of housing solutions to meet these changes in the Tees Valley.

7.4.13 Joint procurement arrangements have helped to maximise the outputs delivered through 'Supporting People' funding. This resource has delivered floating support services to a broad range of client groups to help to maintain independence.



Endeavour Bungalows for the Elderly at Hardwick Green

7.5 KEY FUTURE ISSUES

Housing for Older People

7.5.1 Demographically the population of older people (particularly the 75 plus) is increasing within the Tees Valley at a faster rate than the average for England and Wales. Figure 1 above demonstrates how the population of older people (aged 75 plus) has changed since 1991 and projections for increased growth up to 2021.

7.5.2 Within the definition of older people, there are different groups in terms of income, health and social characteristics, whose needs are very diverse. These needs change at different stages in their life.

7.5.3 The strategic approach to housing, care and support for older people is developing well across Tees Valley. The most recent individual strategies, e.g. Stockton's Older People and Darlington's Supporting People strategies, benefit from latest policy developments and Audit Commission Inspection approaches.

7.5.4 There is broad agreement that the current model of extra care for older people is a good one, and that it should be enhanced to provide units for sale and be developed to provide a hub for services to older people in the wider community.

All authorities indicate a shortfall of extra care and that specific provision for dementia sufferers, or those with complex needs should be met within extra care developments rather than stand-alone units.



Extra Care Scheme Oban Court, Darlington

7.5.5 By way of example, in Redcar & Cleveland, the Council is working with Tees Valley Housing Group to develop Housing with Extra Care scheme on the site of a former residential home. The scheme comprises 40 units of which 20 are to be built and let at affordable rents and the remaining 20 are earmarked for private rent, sale or shared ownership. The shared ownership model is the first of its nature in the sub-region and is flexible, allowing people to purchase individualised levels of the property, with the core rent lowered directly in proportion with the amount of equity sold. The scheme will service a defined regeneration area, and it is intended to provide a flexible relocation option for vulnerable older persons in the area.

7.5.6 In Darlington, the Council are working with Hanover Housing Association to provide shared ownership bungalows at the same location as a jointly owned extra care scheme. Residents will have the flexibility to benefit from some or all of the on-site facilities.

7.5.7 There is a case for increased levels of collaboration of local authorities and partners across the Tees Valley in moving forward future priorities for the provision of extra care. Collaborative working is increasingly important in securing funding

from key funding bodies and specifically, the Department of Health. However, there are a number of obstacles that need to be addressed in relation to addressing the housing needs of older people. It will be necessary to identify a clear set of actions to help address these. The obstacles are summarised below.

- The Supporting People resource is under pressure and the current short term nature of funding poses difficulties for long term planning.
- Further work is necessary to increase the understanding of the extent to which owner occupation or part ownership approaches are able to address the housing needs of older people.
- Further work is needed to better understand the extent to which support services to older people in their own homes can be provided more extensively, for example through the development of the 'hub and spoke' model.
- Local authority and RSL partners continue to increase the proportion of housing that meets decent homes standards. Targeted support will be necessary to meet the Decent Homes targets for older people living in their own homes.
- It is necessary to explore the potential for re-commissioning sheltered housing on a cost effective basis as a means of providing extra care.
- Further work is required to assess and commission appropriate assistive and SMART technologies to improve services through new telecare monitoring services and similar, new developments.
- There is no automatic alignment of Supporting People revenue support for new capital focused housing schemes.

Homelessness

7.5.8 Prevention of homelessness is particularly high on all agendas. Activities designed to avoid homelessness occurrences, such as raising service awareness school visits,

mediation services, information and advice packs, and training, all feature strongly. All housing authorities using dedicated staff have developed improved housing advice and assistance services. In three authorities a 'Housing Options' approach has been taken to broaden the housing advice to applicants.

7.5.9 A number of recent initiatives have provided a springboard for collaborative working between local authorities in the Tees Valley. Key examples of where collaborative working has been particularly effective include the sub-regional homelessness group that was initiated by Middlesbrough with Erimus Housing and the designation by CLG of Hartlepool as a Champion Homelessness Authority. The development of sub regional CBL will play a key future role in homelessness prevention and assistance for vulnerable applicants.

7.5.10 Access to permanent accommodation needs to be improved, with a dedicated focus on improving support services for 16 - 25 year-olds. Again, progress has been made in this area. Stockton Borough Council has recently been awarded Regional Centre of Excellence for Youth Homeless status by the CLG (one of nine local authorities nationally).

7.5.11 As a sub-region significant progress has been made towards eradicating the use of bed and breakfast and achieving the Government's temporary accommodation targets. There is a need to examine the long-term future of some existing facilities, for example the need for replacement refuge facilities for women fleeing domestic violence.

7.5.12 There is a role for the private sector in providing accommodation for homeless people. The private rented sector has been involved in re-provision of short-term hostel accommodation and private sector leasing schemes which has helped to address the issue of homelessness. However we acknowledge that we have some way to go in this area. With increased pressure on available accommodation, it is acknowledged that accommodation provided by private landlords should be

used to a greater extent for both short and longer-term housing and be offered as a quality alternative housing option. In addition, the introduction of accreditation and licensing schemes will offer greater opportunities to improve the standard of housing and services provided by all private landlords. Closer dialogue is to be established in order to develop an appropriate service.

7.5.13 Partnership working has been particularly effective in providing services to those leaving institutions such as prison and long stay hospitals. Local authorities across the sub-region have recently contributed to the review of the HARP protocol (Housing and Returning Prisoners) aimed at improving joint working in this area.

Physical Disabilities

7.5.14 Accessible housing, lifetime homes and the use of DFG mean the accommodation needs of those with a physical disability and/or sensory loss can be improved. All of the Tees Valley local authorities were successful in top-up SHIP Round 2 funding for additional DFG. In 2006-07, a total of 846 DFG cases were completed in the sub-region with total expenditure of £3,705,604. This has been key to meeting increasing demand from elderly and disabled residents wishing to stay in their own homes.

Learning Disabilities

7.5.15 There is presently an under provision for those with learning disabilities who want to live independently. It is necessary to promote the delivery of locally based services for people with learning disabilities as opposed to out of area placements. Detailed information on the extent of unmet need is being collated via individual local authority Learning Disability Partnership Boards. Local authorities are working with Health and Social Care partners to assist with the delivery of commissioning strategies that will see a movement away from traditional residential care models towards independent living with support.

Other Vulnerable Groups

- 7.5.16 There is broad agreement across Tees Valley that mainstream accommodation should normally be provided for those with mental health problems, for those with HIV/Aids and for ex-offenders, as long as appropriate floating support is available. Supported Housing options for people with drug and alcohol problems is also an emerging priority. For example, within Middlesbrough, the Drug Intervention Programme in partnership with English Churches Housing Group has introduced a supported accommodation project for clients with drug problems who are actively seeking to change their lifestyles through drug treatment programmes and support.
- 7.5.17 Practitioners across the sub-region agree that, the overwhelming preference for those who may be vulnerable for a number of reasons is for a decent home in a pleasant and safe environment with support "floated in". This provides flexibility for the individual and for Supporting People contracts, prevents "silting up" of units of specialist accommodation, avoids the disruption of further home moves often to less desirable accommodation, and avoids labelling.

The BME Community

- 7.5.18 In general terms, the Tees Valley BME population is low at around 3% of the population, compared to the England average of 9%, except for Middlesbrough where it is 6.3%. However, the BME population is increasing and this is expected to continue, especially in light of the current trend of inward migration.



BME Community Mosque in Abingdon Road, Middlesbrough

- 7.5.19 This poses a challenge to service providers to ensure coordinated and effective strategies are in place to respond to specific needs of new settlers whilst continuing to address the needs of more established BME communities. Real effort is needed to identify various communities and to understand housing needs, for example, by establishing a sub-regional BME consultative panel, as has been done in Stockton.
- 7.5.20 To improve understanding of the housing needs and aspirations of our BME communities amongst service providers, TVL (in conjunction with the Tees Valley local authorities) has recently undertaken a BME housing needs study²⁴. This will prove both vital and invaluable in helping us to ensure their needs are better met. The key findings and implications of the study are set out below.
- 7.5.21 The findings indicate that there is need to widen provision of a range of tenure and property types in traditional BME community areas. At least one third of current BME households are looking to move area and only one fifth of these would expect to remain living in their current area. This suggests housing provision does not always align with need and can lead to fragmentation of BME communities.
- 7.5.22 There is evidence to suggest that a range of issues, including; relatively low levels of economic activity, low incomes and associated welfare dependency amongst much of the BME population restricts the ability of current home owners to repair and maintain their properties. This can lead to poor housing conditions. However, whilst a relatively high proportion of households living in properties deemed to be in a poor state of repair, or lacking basic energy saving measures, such as double glazing, there appears to be a strong attachment to these properties (and therefore, the area).

²⁴ Embracing Difference, A study of the housing & related needs of the Black & Minority Ethnic community in the Tees Valley Living area, By Andy Steele, Salford Housing & Urban Studies Unit, University of Salford & Naseer Ahmed, EMS Consultancy Ltd, March 2006.

There is a preference for receiving financial assistance to improve and repair their property rather than receiving some form of help to move to another property. Tees Valley local authorities are developing a range of financial packages to assist BME households in this way.

7.5.23 The study shows that the proportion of BME households in private rented accommodation is much higher than that of the white population in all areas in Tees Valley. Work is underway in the sub-region to review condition of the private rented housing stock and to encourage landlords to improve the properties where necessary. Participation in private landlord 'accredited landlord schemes' is an example of how local authorities are promoting this among private landlords.

7.5.24 The lack of larger sized properties in the sub-region is an issue for BME communities. A high proportion of the BME community (around one quarter) is living in properties which they feel are too small for the needs of their family and about one in five feel that they were overcrowded. The lack of availability of larger properties is a major factor leading to BME households wanting to move home.

7.5.25 Local authorities are responding to this, taking these needs in to account when planning new housing developments. Furthermore, the Tees Valley sub region generally has a younger BME population and future service provision and products need to take this factor into account. Complementary to this, Stockton Borough Council is investing in improvements to a neighbourhood characterised by 3 storey villa style houses which is popular amongst the BME population to better meet local needs.

7.5.26 In terms of social housing provision, it was felt that housing associations had limited stock and housing type in locations preferred by BME communities. Local authorities will work with housing associations to address this concern.

7.5.27 The study identifies home ownership as the aspirational goal amongst many BME communities. However, in reality, whilst this

may be the 'tenure of choice' it is not a financially viable option, at least in terms of traditional routes into home ownership. Tees Valley local authorities continue to develop and promote various forms of subsidised home ownership, such as shared ownership. Particular emphasis needs to be given to how this is marketed at the BME community as misconceptions about the cost of such initiatives often prevail within communities.

7.5.28 Improving the knowledge of Supporting People services amongst the BME community in order to improve fair access to all services, and of housing related support services in particular, is a key aim of this Strategy. The Tees Valley continue to develop a more proactive approach to consultation with the BME population to ensure needs are fully understood and service delivery is able to adapt accordingly.

Gypsies and Travellers

7.5.29 The Housing Act 2004 introduced new requirements on local authorities to include Gypsies and Travellers in the Local Housing Needs Assessment process and to have a strategy in place that sets out how any identified need will be met, as part of their wider housing strategies. In order to comply with these requirements the Tees Valley local authorities are currently undertaking a joint tender process to undertake a Gypsy and Traveller Accommodation Assessment. It is anticipated that interim findings will be available December 2007 and a final report in March 2008. The recommendations will inform future policy and practice.

7.5.30 Gypsies and travellers moving through the Tees Valley area are made up of several very diverse groups. Conflict with travellers tends to focus around illegal camping on non-designated sites and perceptions that their numbers are increasing. Research will be undertaken to improve the understanding of their requirements and to develop the strategy, particularly as current evidence suggests they suffer from greater levels of poor health and social exclusion.

7.5.31 There are already examples of good practice across the sub-region. Redcar & Cleveland's Gypsy and Traveller Strategy aims to ensure a consistent approach and effective planning to deliver services appropriate to their needs. Darlington's Honeypot Lane scheme has secured over £1m of Government funding and involves other agencies such as Sure Start.



Sure Start in North Ormesby, Middlesbrough

Asylum Seekers and Refugees

7.5.32 All the sub-regional local authorities have had experience of participating in the Government's dispersal policy on Asylum seekers through the National Asylum Support Service (NASS). The North East Strategic Partnership for Asylum and Refugee Support (NESPARS) acts as a clearing house and broker on issues with NASS and Government. The multi-tenure approach will continue, although its administration has raised issues for individual authorities in managing it and ensuring individual asylum seekers and refugees have the appropriate support to sustain short-term tenancies.

7.6 MAKING IT HAPPEN

7.6.1 In order to address our identified priorities a number of initiatives have been developed over and above our other work for which the Sub-Region is seeking SHIP funding. The projects detailed below offer the flexibility to ensure that we will respond appropriately to our local communities in a manner that will ensure innovation and value for money. Given the diversity of communities and the vulnerability of those we aim to assist it is not possible to promote one solution, a range of services and accommodation must be provided to achieve our vision of providing

quality accommodation and promoting independent living.

7.6.2 The sub-region is seeking funding through SHIP Round 3 to support a project entitled: 'Towards Home Ownership'. This will build on existing activity and will focus on provision of financial assistance to bridge the gap from the rented sector and in to home ownership in decent homes for low income households who would otherwise be trapped within a particular housing market.

7.6.3 SHIP Round 3 funding will contribute to the development of 'tenure neutral' sanctuary provision for those experiencing domestic violence in the Tees Valley. The project will complement our existing, established and valued refuge services and will be a key step towards meeting targets in relation to levels of domestic violence levels and related homelessness issues.

7.6.4 Authorities are seeking funding through SHIP Round 3 to help to deliver a project entitled; 'Move, Adapt and Recycle'. The project will provide financial assistance to enable disabled residents to buy a more suitable property where it is not practical or cost effective to adapt their existing home. The project will extend choice for disabled residents by providing an alternative means of addressing their needs, whilst also building on the extensive adaptations work already undertaken in the sub-region which is delivered through the DFG programme. This will maximise the use of limited DFG resources.

7.6.5 SHIP3 funds are needed to help deliver the 'Safe and Secure' scheme. The project will fund small repairs and minor adaptations for homeowners who are elderly or disabled to enable them to live independently where this is their preferred option. The project builds on existing adaptations work supported through Disabled Facilities Grants and is complementary to the 'Move, Adapt and Recycle' project.

7.6.6 The sub-region is seeking support through SHIP Round 3 to help to deliver a project that will facilitate access to decent homes. The project will promote an innovative choice-based approach through the offer of incentives to facilitate moves between tenures and there by assisting residents to

access decent homes in the tenure of their choice. The project will build on existing activity and help to bridge the gap for vulnerable households in non-decent accommodation by facilitating re-housing within decent housing regardless of tenure.

7.7 STRATEGIC PRIORITIES

7.7.1 Unsurprisingly, the range and diversity of unmet need is vast. In order to address the key issues, a number of approaches will be adopted as set out in the table below.

PRIORITY	ACTION
Develop range of appropriate housing solutions for vulnerable groups	Development of bespoke accommodation based services to ensure provision is tailored to the needs of vulnerable people
The next 4 priorities are part of the above priority:	Maximise use of housing across the sub-region across all tenures to ensure access to appropriate accommodation
Older people	Work with RSL partners to deliver quality units of retained extra care
	Work with our RSL partners and private sector developers to deliver outright sale and shared ownership.
	Introduce assistive technology (telecare) to support independent living
Homelessness prevention	Develop supported lodgings scheme (young people at risk)
	Tenure Blind Floating Support Services
	Implement effective resettlement services linked to a homeless hostel for single men
	Hospital and other supported accommodation
	Further develop the role of the private sector in providing accommodation for homeless people.
	Prevention, resettlement and floating support services
	Develop supported lodgings scheme (young people at risk)
	Sanctuary scheme (support to those at risk of domestic violence)
Learning disabilities	Supported housing schemes
	Floating support and assistive technology
Physical disabilities	DFG provision to adapt homes of non-mobile residents where adaptation will enable them to live independently in their own home.
Develop sub-regional approach to supporting people funded services	Agreement of common priorities and joint procurement activities

TABLE 10 - Priorities and Action - Objective 4

8.0 CROSS CUTTING ISSUES

8.1 RESEARCH NEEDS

- 8.1.1 The Tees Valley region is well supplied with data relating to housing, economics, demographic and transportation issues mainly due to the partnership working between the JSU, five local authorities and other key organisations. This joined up approach is key to building a firm intelligence base and in ensuring the consistency and comparability of information across a wide range of areas.
- 8.1.2 TVL has worked closely with the JSU and local authorities to improve the understanding of housing market issues within the sub-region. The sub-regional HMA, Tees Valley BME study and Housing Condition Survey by Building Research Establishment are examples of additional research recently completed to help fill outstanding information gaps. Partners are currently considering the implications of key findings for future housing policy and related policy fields.
- 8.1.3 In 2006, Stockton-on-Tees, Middlesbrough and Redcar and Cleveland Borough Council jointly commissioned LHAs. Hartlepool and Darlington have commissioned their own assessments. The overall purpose of the LHAs was to provide a better understanding of the local housing market, the key drivers of local housing demand and supply and the level of housing need within the area. In conjunction with other data collated by the JSU and local authorities, the Tees Valley HMA, BME study and related research, these assessments provide robust evidence to inform the development of housing and planning policies in the sub-region.
- 8.1.4 In March 2006, the Government published practice guidance on SHMA. The guidance brings together and builds upon the key elements of existing guidance on housing market and housing needs assessment. The key message within the guidance is that SHMA is a crucial aspect of the evidence base in terms of preparing regional spatial strategies, local development documents, regional housing strategies and local housing strategies.

- 8.1.5 TVL, the JSU and local authorities are currently working together to identify an appropriate way in which to tackle SHMA. The key task in hand is to develop an approach which is aligned with Government guidance, whilst also ensuring that any future work does not duplicate but builds on the existing intelligence base that has emerged through the aforementioned studies and assessments in order to establish a complementary set of findings which help to fill any information gaps.

8.2 RESEARCH PRIORITIES

- 8.2.1 Whilst a significant amount of research has already been undertaken in the sub-region in recent years, partners continue to work together to firm up the information base. The TVL Research Group consisting of representatives from the boroughs and JSU will continue to play a key role in identifying research priorities in the sub-region. Current research priorities are outlined below:
- 8.2.2 The extent of non-decency in the private sector has recently been quantified across Tees Valley through a stock condition survey undertaken by Building Research Establishment (BRE)²⁵. Interpretation of the key findings that have emerged from the evaluation of the extent of disrepair and non-decency in the private housing market and consideration of the implications for future policy and practice is a key task which partners are currently involved in.
- 8.2.3 To improve understanding of the housing needs and aspirations of our BME communities amongst service providers, TVL (in conjunction with the Tees Valley authorities) has recently undertaken a BME housing needs study²⁶.

²⁵ Tees Valley Private Sector Housing Group: Housing Stock Projections, BRE, June 2007

²⁶ Embracing Difference, A study of the housing & related needs of the Black & Minority Ethnic community in the Tees Valley Living area, By Andy Steele, Salford Housing & Urban Studies Unit, University of Salford & Naseer Ahmed, EMS Consultancy Ltd, March 2006.

Interpretation of the key findings is fundamental to development of appropriate housing options for residents from the Tees Valley BME communities. Current housing provision is being reviewed in light of any implications.

8.2.4 As mentioned earlier in this section, detailed assessments of housing markets, peoples' needs and aspirations at local authority and neighbourhood levels have been undertaken at local authority and sub-regional level in recent years. Local authorities are working alongside TVL and the JSU to ensure housing policy and practice takes on board key findings whilst developing an appropriate way in which to tackle SHMA in order to build on the information base.

8.2.5 On behalf of the five local authorities, the JSU is looking to commission a Gypsy and Traveller Accommodation Assessment in August 2007. This sub-regional research supplements the regional research study commissioned for the North East Assembly and which was published in March 2007. The findings of the study will be available in March 2008 and will provide invaluable information relating to the housing preferences, health and community needs of the travelling community. At this point, local authorities and partners will review and adapt current housing policy and strategy as appropriate to reflect key findings.

8.2.6 Local authorities will continue to develop understanding of the housing aspirations of older people and their preferences regarding the tenure, type and location of housing. A key task is to understand how the needs of this housing group are expected to change as the population of older people continues to increase and to ensure housing provision is tailored to address these needs.

8.2.7 A key task for local authorities and partners is to improve understanding of the extent and type of housing need amongst people with disabilities and to ensure the appropriate support and preferred housing provision is accessible. This should be delivered where links to existing support and family networks can be maintained.

8.2.8 The housing requirements of refugees and the level of provision needed is an increasingly challenging area at national, regional and sub-regional level. A key task is to increase understanding of the location and numbers of refugees and other related vulnerable groups.

8.2.9 Future work is needed to improve understanding of the level of demand for high quality apartment living in specific locations amongst younger professionals and independent, older people. The findings of ongoing housing needs assessment work will be key to this.

8.2.10 The Neighbourhood Vitality and Viability Index (VVI) was developed in 2004 to provide a detailed evidence base identifying and ranking neighbourhoods according to their need for housing market renewal. Through the forum of the TVL Research Group, borough housing and planning officers worked with TVL and JSU to identify a range of readily available data which would form the basis of the VVI. The set of indicators were subsequently reviewed and amended to allow for a greater focus on housing related indicators and the VVI was updated in 2007.

8.2.11 As mentioned earlier in this Strategy, TVL are currently working with the JSU and boroughs to develop a Community Vitality Index which will include a more comprehensive range of quality of life indicators such as unemployment, low income, educational attainment, health and crime. It will be used in conjunction with the VVI to analyse the impact of interventions at neighbourhood level.

8.3 DEVELOPING GOOD PRACTICE

8.3.1 This Strategy has identified new initiatives to assist with its delivery, based on good practice by other providers. In some cases this is good practice within the sub-region which could be shared with the rest of the Tees Valley providers. In other cases, it is work not currently experienced by any of the sub-regional providers.

8.3.2 A recent key achievement in the sub-region is the development of a local Skills Directory. Local authorities and partners noted that there are significant reserves of experience, understanding and technical expertise in the housing sector within the sub-region that continues to develop. It was agreed that a Skills Directory would help to supplement some of the informal networking and experience sharing already taking place on an ad hoc basis and provide a transparent means of tapping into the skills resource in the sub-region. Whilst the Directory is currently focused on the housing market renewal aspect, this opens up opportunities to further develop the Skills Directory to cover good practice in all areas of housing Strategy and delivery.

8.3.3 The Tees Valley Joint Procurement Group provides a key forum in which to identify opportunities for joint procurement of services and products. As part of the drive to achieve greater efficiencies, the TVL Joint Procurement Group has also been established to identify where joint procurement could generate cost savings in areas specifically associated with housing market renewal activity. This group works closely with the wider Tees Valley Joint Procurement group.

9.0 DELIVERING THE STRATEGY

9.1 ESTABLISHED TEES VALLEY STRATEGIC PARTNERSHIPS

- 9.1.1 Tees Valley is fortunate in having a number of significant organisations and established partnerships working across local authority boundaries, each with a role in helping to deliver this Strategy.
- 9.1.2 **Tees Valley Partnership** was established in 2000 and charged with co-ordinating the economic development and regeneration of the Tees Valley and the activities of the main agencies responsible for delivery. Its Board consists of representatives from private and public sector organisations, academia, the police and the voluntary sector.

- 9.1.3 **Tees Valley Regeneration (TVR)** will be procuring, among other things, the delivery of around 7,000 new homes across the sub region over the next 15-20 years. Although not in receipt of any public sector capital funding and outside the direct control of individual local authorities, its activities will have an enormous influence on the future housing market. Tees Valley LAs will continue to work closely with TVR, assisting in the delivery of quality housing in the context of other major TVR redevelopment proposals, and maximising the benefits of potential synergy between the delivery of TVR plans and those set out in this Strategy.



Tees Valley Regeneration Flaship Victoria Harbour



Tees Valley Regeneration Flaship Middlehaven



Tees Valley Regeneration Flaship Northshore

9.1.4 **Tees Valley Joint Strategy Unit** leads on the development of a strategic database and is responsible for strategies for the improvement of the economic performance and the quality of life of the sub-region.

9.1.5 **Tees Valley Living** was created in 2003 to develop a case for major funding to revive failing Tees Valley housing markets, tackling low demand and obsolescence in all sectors. TVL is a partnership between the five local housing authorities, other housing providers, Tees Valley Regeneration, and house builders. The Partnership produced the Tees Valley Housing Market Renewal Strategy in 2005, and helped attract allocations of £12.87 million from NEHB's Single Housing Investment Pot and £18.25 million from CLG's Housing Market Renewal Fund during 2006-08.

9.1.6 TVL is not itself a delivery vehicle for clearance and redevelopment work. Its primary functions are the strategic direction, setting the priorities and procuring finance for key activities. The key delivery partners will be the private sector developers and builders, local authorities and the RSLs, TVL assuming a role in coordinating and monitoring performance and delivery.

Registered Social Landlords

9.1.7 The refurbishment needed to meet decent homes standards in the social housing sector, and to upgrade its housing estates, is being delivered in full or in part by Darlington BC, and by Stockton BC through Tristar Homes. In the other three boroughs, the RSLs who have taken ownership of all the former council housing, together with other, longer established RSLs, are responsible for delivering decent homes within their stock, estate refurbishment and any new affordable housing.

9.1.8 RSLs will also have a key role in meeting the demand for additional housing accommodation for special needs, the BME community and travellers, as referred to in Chapter Seven.

9.1.9 Substantial parts of this strategy do not in themselves require capital investment to achieve the planned outcomes.

The need for significant increases in floating support for vulnerable clients, extra care for older people unable to lead independent lives, and other initiatives to meet special housing needs of the more vulnerable, will all require partners with the appropriate expertise, knowledge and revenue funding.

9.1.10 Traditional RSLs have long-standing experience in this area, together with the voluntary sector and private sector care agencies, and they will be essential in the successful delivery of the strategy. Links with Supporting People teams are already well developed across the sub-region, and will need to be developed further to improve the knowledge base and understanding of the needs of vulnerable people in order to make the most efficient use of limited resources.

The Private Sector

9.1.11 The private sector has by far the largest financial contribution and physical input to contribute to delivering this strategy. This includes not only the building industry and developers, but also private householders, landlords, mortgage lenders and other private lenders, all of whom will have an important part to play in achieving major redevelopment and the improvement of existing housing.

9.1.12 Partnering arrangements with major house builders will be paramount in securing major redevelopment and new housing projects, and will be one of the critical factors in delivering this strategy. There is already a substantial experience of development partnerships, and the LAs will pool their expertise and knowledge in ensuring the best possible arrangements can be achieved.

Owner-Occupiers and Private Landlords

9.1.13 Closer relationships with private homeowners and landlords are planned in order to secure their "buy-in" to parts of this strategy that require not only their support but also their financial contribution. Public sector funding will be insufficient to achieve the improvement needed to existing private housing, and the strategy will fail in that

respect if effective partnerships with owners and landlords are not achieved. Similarly, there will need to be effective links with local builders and house improvement contractors to ensure capacity and good standards are available to undertake small-scale house improvement works.

9.2 FUTURE STRATEGIC PARTNERSHIPS

9.2.1 In 2006, at the request of the Secretary of State for Communities and Local Government, Tees Valley published 'Tees Valley City Region - A Business Case for Delivery' and 'An Investment Plan for the Tees Valley City Region'. The Business Case and the Investment Strategy envisaged the development of sustainable communities to be one of the key objectives to improving the economic performance of Tees Valley by:

- the creation of attractive places and environment;
- the regeneration of the inner areas of the main towns into vibrant, socially diverse communities, and
- the creation of a revitalised housing market.

9.2.2 The City Region Business Case comprised the following:

- a strategy to improve the economic performance of the Tees Valley City Region;
- an evidence base to justify the strategy;
- a 10-year investment plan, assuming broadly similar levels of investment setting out the priorities for the Tees Valley;
- a proposal for a multi-area agreement covering the three main funding streams in economic development, transport and housing market renewal, which in combination will fund the investment plan;
- governance arrangements for coordinating activity in Tees Valley to improve economic performance;
- a green infrastructure strategy;
- outline business cases for key transport schemes; and
- a case for a housing market restructuring programme.

9.2.3 The City Region Business Case was well received by Government, the regional government agencies, the Tees Valley authorities, authorities in North Yorkshire and County Durham, One NorthEast (ONE) and the private sector.

9.2.4 Following from the Business Case and Investment Plan, and with the support of Central Government, Tees Valley local authorities have approved the formation of 'Tees Valley Unlimited' (TVU), a partnership whose remit is the coordination of activity, appropriate at a city region level, which will improve the economic performance of Tees Valley.

9.2.5 TVU will not immediately assume direct powers of the local authorities but, under the direction of a Leadership Board, comprising local authority and other sector representatives, will concentrate on strategic direction in a range of policy areas (Planning and Economic Strategy; Transport for Tees Valley; Employment and Skills; Housing; and Tourism).

9.2.6 Each policy area is itself managed by a sub-Board. Membership of the boards has been selected to bring together organisations and individuals that can add real value to the over-riding objective of Tees Valley Unlimited, an improvement in the economic performance of Tees Valley. In terms of housing, the TVL Board will assume responsibility for the housing function of TVU, with an expanded role in terms of housing strategy. In this way, the work of TVL will be joined up with planning and economic development activities in Tees Valley as part of a comprehensive programme to raise the economic performance of Tees Valley and improve its urban competitiveness.

9.2.7 Two important elements of the governance arrangements is the setting up of a 'Private Business Group' to provide direct input from the private sector into the key issues facing the city region, and a 'City Region Policy Forum' to provide a forum for dealing with policy issues which affect County Durham and North Yorkshire.

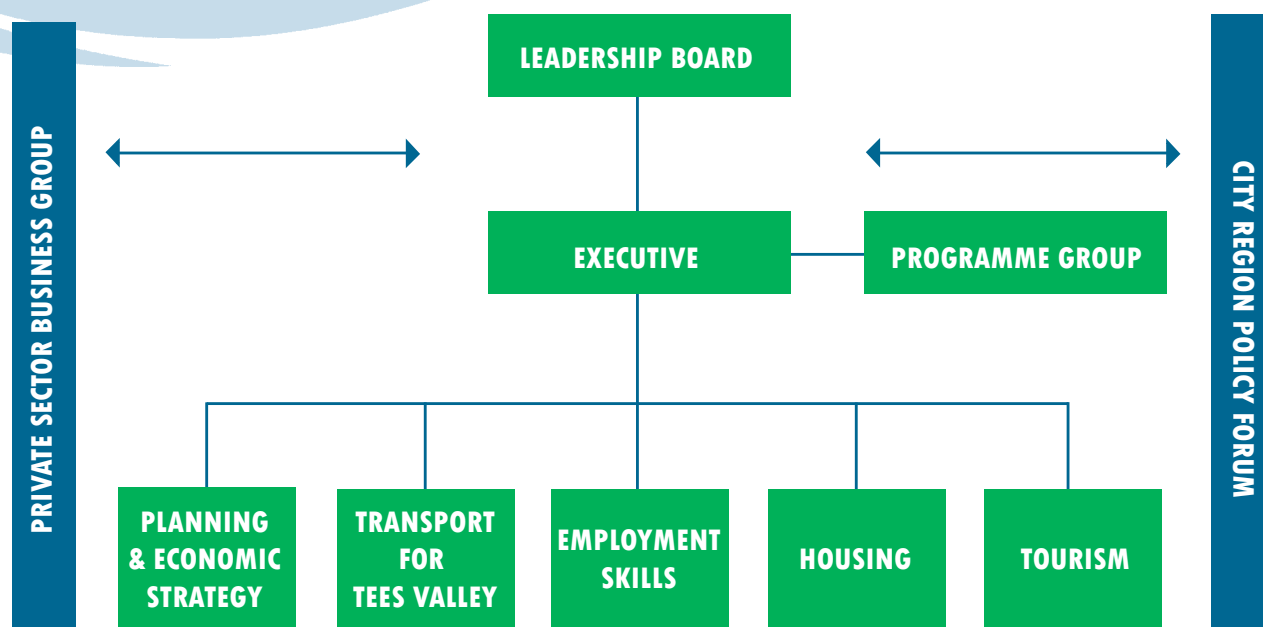


FIGURE 2 - Tees Valley Unlimited Governance Structure

9.2.8 The operation of TVU will be governed by a 'Multi Area Agreement' between the five local authorities and ONE, NEHB/CLG and the Department for Transport (DfT). One authority will act as accountable body for the resources set out in the multi area agreement. This approach and the city regional governance now evolving in Tees Valley is endorsed in the 'Review of sub-national economic development and regeneration' published in July 2007 by HM Treasury (HMT), the Department for Business, Enterprise and Regulatory Reform (BERR), and Communities and Local Government (CLG).

9.2.9 Governance arrangements for TVU have been established in shadow form for the year 2007-08. The current structure is illustrated in the diagram below.

9.3 VALUE FOR MONEY AND RESOURCE EFFICIENCY

9.3.1 Joint procurement and commissioning initiatives will be pursued in order to meet the cost effectiveness agenda. The partnerships referred to above will work to secure the best means of procuring services and contracts and delivering support services. The building industry is already short on capacity and partnerships will be encouraged which develop training and skills in the industry.

9.3.2 Joint procurement of materials and services to assist the major redevelopment projects and to facilitate smaller-scale home improvement projects will be encouraged, to achieve maximum value for money and deliver satisfactory outcomes. Similarly, energy efficiency targets will be more easily achievable through major procurement of fuel and energy efficient equipment and appliances.

9.4 MONITORING, REVIEW AND EVALUATION

9.4.1 The Sub-regional Housing Strategy will be continually reviewed and updated to reflect changes in the wider policy framework and the changing needs and aspirations of local communities.

9.4.2 At the end of Chapters Four to Seven, we have identified a number of strategic priorities and identified the actions that will help to deliver these priorities. Further work will be undertaken to refine the actions. A performance management framework is currently being developed. This will identify a set of performance indicators to track progress towards achieving objectives and specific actions.

10.0 CONCLUSION AND RECOMMENDATIONS

10.1 TAKING THE STRATEGY FORWARD

- 10.1.1 This first Tees Valley sub-regional strategy sets out a clear strategic direction and priorities supported by the main housing organisations in the sub-region. The challenge now is to develop the priorities and objectives detailed within this strategy into actions against which, performance is measured.
- 10.1.2 This concluding section therefore pulls together the threads of the action now required and makes a limited number of recommendations about how this should be achieved.
- 10.1.3 The strategy is set in the positive context that much is being achieved to improve the housing offer in Tees Valley. A large investment programme is under way to improve all the social housing stock to be retained, pushed forward by all the LA's and major RSLs. Much of the private housing sector is vibrant with sustained new house-building and investment in existing stock. The sub-region has been far-sighted and resolute in establishing Tees Valley Living and securing initial government funding for a housing market renewal programme. There is clearly a good deal of innovation, creativity, partnership working and good practice.
- 10.1.4 The strategy will build upon this to address the development of a key aspect of the Tees Valley City Region - the concentrations of poor housing and poverty, both geographically and in specific sections of the community. It will support the economic growth strategy by helping to make Tees Valley a more attractive place to live, and promote social inclusion for all.
- 10.1.5 The accompanying Action Plan concentrates on the work required to take forward the priorities identified in this Strategy and to strengthen sub-regional working so that Tees Valley can respond (and compete) effectively to the emerging Governmental focus of City Regions and sub-regional housing markets.

GLOSSARY OF TERMS

ALMO	Arms Length Management Organisation	A non-profit making company controlled by the local authority that has been set up to manage the Council's stock.
AMI	Areas of Major Intervention	Areas of housing market failure that where housing market renewal funding is targeted.
AMWG	Appraisal and Monitoring Working Group	A group comprising of representatives from each of the five local authorities, TVL and JSU. Set up to determine how best the information and data needs of Tees Valley Living and its partners can be met in ways which ensure consistency and comparability of information.
BME	Black and Minority Ethnic	Black and Minority Ethnic
BREEAM	The Building Research Establishment Environmental Assessment Method	BREEAM assesses the environmental quality of a building by considering design issues that affect the global environment, local environment and health and well being of building users. It is recognised as the measure of best practice in environmental design and management.
CURS	Centre for Urban and Regional Studies	Based within Birmingham University, the Centre was commissioned to undertake a study on changing housing markets within the North East region.
D(CLG)	Department of (Communities and Local Government)	The successor department to the Office of the Deputy Prime Minister (ODPM), created on 5 May 2006. It is an expanded department with a remit to promote community cohesion and equality, as well as responsibility for housing, urban regeneration, planning and local government.
DFGs	Disabled Facilities Grants	The provision of equipment or the undertaking of alterations to owner occupied or privately rented dwellings to enable a disabled person to live with comfort and independence within their own home.
EcoHomes	EcoHomes	EcoHomes is the homes version of BREEAM (BRE Environmental Assessment Method) carried out at both the design stage or post construction. EcoHomes balances environmental performance with the need for a high quality of life and a safe and healthy internal environment. In April 2007 the Code for Sustainable Homes replaced Ecohomes for the assessment of new housing in England. EcoHomes 2006 will continue to be used for refurbished housing.
GONE	Government Office North East	Government Offices are regionally based and work with regional partners and local people to maximise competitiveness and prosperity in the region, and to support integrated policies for social inclusion.

HIAs	Home Improvement Agencies	Not for profit, locally based organisations that assist vulnerable homeowners or private sector tenants who are older, disabled or on low income to repair, improve, maintain or adapt their home. Foundations is the National Co-ordinating Body for Home Improvement Agencies in England.
HMA	Housing Market Assessment	The Government released HMA Manual in 2004 to assist local authorities and their partners to identify and define housing market areas and to establish the strategic and policy context within which the housing market operates. The final report of the Tees Valley HMA was published in 2005.
JSU	(Tees Valley) Joint Strategy Unit	Set up in 1996 to carry out a range of functions in relation to strategic planning, economic development, strategic transport planning and information and forecasting on behalf of Darlington, Hartlepool, Middlesbrough, Redcar and Cleveland and Stockton on Tees Borough Councils.
LA	Local Authority	An administrative unit of local government.
LDF	Local Development Framework	The Planning and Compulsory Purchase Act 2004, requires that Local Planning Authorities prepare a Local Development Framework (LDF). This is intended to be a collection of documents that set out the Council's policies for meeting the community's economic, environmental and social aims for the future, where this affects the development and use of land.
LHA	Local Housing Assessment	Local Housing Needs Assessment guidance was published by DETR in 2000. Local authorities were required to complete assessments to provide a better understanding of the local housing market, the key drivers of local housing demand and supply and the level of housing need within the area.
LPA	Local Planning Authority	The Councils in their roles to discharge planning functions under the Town and Country Planning Act.
LSVT	Large Scale Voluntary Transfer	The selling off of 500 council homes or more to a housing association following the successful ballot of the tenants involved. Under the initiative most local authorities opt to transfer all of their council homes in this way. The government wants 200,000 council homes to transfer each year.
MMC	Modern Methods of Construction	The term used to embrace a range of technologies and processes involving various forms of supply chain specifications, prefabrication and off-site assembly.

NASS	National Asylum Support Service	A department of the Home Office which has been responsible for providing support to asylum seekers since April 2000.
NDC	New Deal for Communities	A Key programme in the Government's strategy to tackle multiple deprivation in the most deprived neighbourhoods in the country. The aim is to bridge the gap between these neighbourhoods and the rest of England.
NEHB	North East Housing Board	Housing Board for the North East (also see Regional Housing Board).
NEHIP	North East Home Insulation Partnership	A partnership founded by the Energy Saving Trust advice centre north east in 2005 with the simple mission: To insulate every home in the North East.
NESPARS	North East Strategic Partnership for Asylum and Refugee Support	Considers the integration of refugees, asylum seekers and immigrants.
NRF	Neighbourhood Renewal Fund	A fund to improve the delivery services to the most deprived wards and neighbourhoods in England. The relevant targets for improving are set within the Public Service Agreement.
PMO	Programme Monitoring Officer	Undertakes quarterly monitoring of outputs and spend of HMR projects and works in partnership with the Tees Valley Research group and JSU to monitor the wider impact of HMR intervention.
PSA7	Public Service Agreement 7 Decent Homes	Target set by Government - By 2010 bring all social housing into a decent condition with most of this improvement taking place in deprived areas, and for vulnerable households in the private sector, including families with children, increase the proportion who live in homes that are in decent condition.
RHB	Regional Housing Board	Regional Housing Boards were established as part of the Sustainable Communities Plan published in February 2003 to advise ministers on regional strategic housing priorities through the production of a Regional Housing Strategy and to advise ministers on the allocation of resources through the new Single Regional Housing Pot.
RSL	Registered Social Landlord	A Housing Association or a 'not for profit' company or society who are engaged in the provision or management of rented housing and registered with the Housing Corporation.
SHIP	Single Housing Investment Programme	A single housing capital pot of funding, bringing together previous funding streams for local authorities and housing associations. Regional Housing Boards advise ministers on the allocation of resources through the new Single Regional Housing Pot.

SHMA	Strategic Housing Market Assessment	The Government published Strategic Housing Market Assessment Guidance in March 2007 to update and replace DETR and ODPM good practice guide and manual published in 2000 and 2004 respectively.
TV	Tees Valley	Tees Valley sub-region comprised of five local authorities; Darlington, Hartlepool, Middlesbrough, Stockton and Redcar and Cleveland.
TVL	Tees Valley Living	Tees Valley Living is the partnership set up in 2003 to lead and co-ordinate housing market renewal in the Tees Valley. The partnership is comprised of representatives of the five Tees Valley councils, local registered social landlords, Home Builders Federation and Tees Valley Regeneration. Government Office North East, One NorthEast, English Partnerships and the Housing Corporation attend Board meetings.
TVP	Tees Valley Partnership	Established in 2000 to act as the strategic body for the economic development and regeneration of the Tees Valley. It was set up as the principal delivery agent for One NorthEast in respect of both the Regional Economic Strategy and in the allocation and monitoring of their delegated resource.
TVR	Tees Valley Regeneration	Set up in 2002 as one of the first wave of urban regeneration companies established by the Government across England.
TVU	Tees Valley Unlimited	A partnership whose remit is the coordination of activity, appropriate at a city region level, which will improve the economic performance of Tees Valley. Under direction of a Leadership Board, comprising local authority and other sector representatives, it will provide strategic direction in a range of policy areas (Planning and Economic Strategy; Transport for Tees Valley; Employment and Skills; Housing; and Tourism). Governance arrangements for TVU have been established in shadow form for the year 2007-08.

KEY CONTACTS

DARLINGTON	
Assistant Director (Housing)	Pauline Mitchell
Housing Strategy and Renewal Manager	Alan Glew
Housing Estates Manager	Hazel Neasham
Housing Renewal Manager	David Burrell
Tenancy Services/Housing Options Manager	Chris Burke
Supporting People & Housing Benefit Manager	Anthony Sandys
Warden Services Manager	Jill Walton
HARTLEPOOL	
Director of Neighbourhood Services	Dave Stubbs
Director of Regeneration & Planning	Peter Scott
Head of Public Protection	Ralph Harrison
Strategic Housing Manager	Penny Garner-Carpenter
Housing Regeneration Co-ordinator	Mark Dutton
Principal Housing Regeneration Officer	Nigel Johnson
Principal Supporting People Officer	Pam Twells
Principal Housing Aid Officer	Lynda Igoe
Principal Environmental Health Officer (Housing)	John Smalley
Financial Services (Housing Benefits)	John Morton
Energy Efficiency	David Morgan
Director of Adult & Community Services	Nicola Bailey
Urban Policy Manager	Derek Gouldburn
Head of Community Safety & Prevention	Alison Mawson
Head of Regeneration	Geoff Thompson
Team Leader, Planning Policy	Anne Laws

MIDDLESBROUGH

Director of Regeneration	Tim White
Head of Planning, Housing and Regeneration Programmes	Kevin Parkes
Director of Environment	Ian Parker
Urban Policy Manager	Chris Hawking
Private Sector Housing Team Manager	Debi Waite
Strategic Housing Service Manager	Janine Turner
Housing Strategy Team Leader (General enquiries)	Alan Hunter
Housing Assistance Team Leader (Private sector housing renewal policy, HIA, DFGs)	Andrew Carr
Housing Regeneration Team Leader (HMR)	Jan Lewis
Principal Housing Strategy Officer (General enquiries)	Michael Quinn
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Supporting People Manager	Louise Grabham
Principal Planning Officer (LDF, RSS)	Paul Clarke
Middlesbrough Housing Partnership	Kevin Parks

REDCAR & CLEVELAND

Director of Adult & Children's Services	Maurice Bates
Head of Regeneration	Ian Wardle
Head of Planning	Penny Furniss
Supporting People Accountable Officer	Dave Appleton
Greater Eston Project Director	Bryan Kitchen
Head of Community Protection	Gary Flynn
Planning Policy & Design Manager	Rosemary Kidd
Housing Area Services Manager	Erika Grunert
Housing Client Services Manager	Stella Forrest

REDCAR & CLEVELAND CONTINUED	
Housing Strategy Manager	Roger Kay
Supporting People Manager	Pauline Lisle
Renewal Team Manager (South Bank)	Neil Cawson
Homelessness Prevention Manager	Gareth Burgess
Redcar & Cleveland Partnership	
Partnership Manager	Ian Cockerill
Housing Partnership (Chair)	Iain Sim
Housing Partnership (Vice Chair)	Stephen Bray
STOCKTON-ON-TEES	
Director of Development & Neighbourhood Services	Neil Schneider
Head of Housing Services	Julie Allport
Housing Strategy Manager	Jane Edmonds
Community Safety Manager	Marilyn Davies
Housing Options Manager	Caroline Wood
Urban Renewal Manager	Melanie Howard
Private Sector Service Development Manager	Dave Stamper
Teenage Pregnancy Co-ordinator	Diane Brown
Energy Efficiency Issues	Mike Chicken
Supporting People Manager	Peter Smith
Benefits Manager	Linda Stephenson
Finance Manager	Norman Allinson
Performance Manager	Paul Diggins
Tristar Homes Limited	Steve Boyd



APPENDIX A

Tees Valley Sub-regional Housing Strategy Action Plan 2008 - 2011

1.0 INTRODUCTION

- 1.1. The five Tees Valley Councils (Darlington; Hartlepool; Middlesbrough; Redcar and Cleveland and Stockton-on-Tees), the JSU and TVL commissioned the preparation of a Sub-Regional Housing Strategy in 2006.
- 1.2. The Strategy highlighted strategic concerns and pointed to substantive areas which would benefit from cooperative working across administrative boundaries to deliver wider than local solutions to significant housing problems.
- 1.3. Tees Valley Councils have a creditable record of working together to maximise benefits for communities in the sub-region. This Action Plan is the culmination of careful consideration of the implications of the Sub-Regional Strategy (directed by the Heads of Housing of the five Councils) and sets out the package of projects and initiatives that are considered will deliver a modern and innovative housing offer for the future.
- 1.4. The Action Plan acknowledges the four principal objectives underpinning both the Regional Housing Strategy and the Tees Valley Sub-Regional Housing Strategy. Housing solutions have not been produced solely in response to individual objectives but have been framed and packaged to deliver across more than one objective, in the belief that focusing on satisfying specific objectives may constrain the opportunity for innovative intervention and creative provision.
- 1.5. This is particularly the case when one considers the complexity of issues ranging across affordability, quality, vulnerability, value for money, the environment and sustainability.
- 1.6. Appendix A refers to the eleven discrete projects for which the sub-region is seeking funding through SHIP Round 3 for the period 2008-2011. The actual amount of SHIP funding required for each project is set out in Appendix A.

The detail of the projects is described in Section 5 of this Action Plan. Appendix B provides a helpful summary of each project and indication of which Strategic Objective(s) each project will address.

2.0 TEES VALLEY PERFORMING

- 2.1. In 2006, Tees Valley housing stakeholders produced the Tees Valley Sub-Regional Housing Strategy.
- 2.2. The decision to undertake the preparation of the Strategy was in recognition of the increasing emphasis on local authorities and other stakeholders working in partnership and looking to deliver services at a sub-regional level where appropriate.
- 2.3. The decision was also influenced by indications from the NEHB that future funding would be allocated on the basis of sub-regional priorities reflected in a more strategic appreciation of need and how this would be met through greater coordination amongst, rather than simply more provision by, individual authorities.
- 2.4. Tees Valley is therefore in the fortunate position of having a fit for purpose sub-regional housing strategy that will underpin future action in the provision of housing.
- 2.5. The Sub-Regional Housing Strategy is only one example of the routine partnership working to which Councils and other stakeholders in Tees Valley are accustomed. Cooperation is a reality in Tees Valley and is the basis of a successful record of achievement in many service areas, not the least of which is in housing provision and improvement.
- 2.6. In recent years, Tees Valley councils have worked hard to establish common ground and to put aside local concerns to develop a genuine sub-regional perspective on the future of housing provision, to ensure that more than local considerations are met.
- 2.7. The sub-region has been in the forefront of councils that have seen the benefit and necessity of working collaboratively to understand housing need and how this can best be met in a more strategic and cooperative manner.
- 2.8. As a result, in terms of approaches to dealing with the existing housing stock and future housing need, Tees Valley is increasingly a partnership of local authorities, RSLs and the private sector that understands the current failings of the housing market, and realises that for successful mixed communities to be created there is a need to work cooperatively across local authority administrative boundaries.
- 2.9. The sub-regional approach to finding and delivering solutions to housing (and wider issues of urban and rural regeneration and renaissance) is exemplified by the Tees Valley complementary response to Housing Market Renewal, with the formation of TVL as the agency for strategy preparation and lobbying for resources. This collective responsibility was further reinforced by sub-regional bidding for resources under Objective 3 of Round 2 of the SHIP programme.
- 2.10. The sub-region has received national recognition of its philosophy of joining together to resolve problems and issues. It was referred to specifically in the Government's recently-published 'Review of sub-national economic development and regeneration' as a good example both of the benefits of working together and as a sub-region that is formalising its governance proposals for a Multi Area Agreement to maximise future investment potential.
- 2.11. This joined-up approach recognises that it is not only the local authorities that have a role to play in improving the housing future of the area. The importance of involving all sectors in the planning and delivery of housing intervention is fundamental to a successful outcome. The private sector and RSLs for example are included on the TVL Board. In Hartlepool, Hartlepool Revival is a community-led housing regeneration company, while housing intervention in Parkfield in Stockton comes under the scrutiny of the Mill Lane and Parkfield Neighbourhood Management Pathfinder.
- 2.12. A sub-regional perspective on problems and their solution, coupled with a mature attitude

to joining together in appropriate partnerships, have been essential elements in the success of Tees Valley in recent years both in terms of funding that has been attracted to the area and in the manner in which those funds have been applied and projects delivered.

- 2.13. Tees Valley has been focused in respect of applying for funding for schemes and projects that have been genuinely capable of being successfully delivered and have ensured that all funds received have been properly and fully spent within the timescale of the grant or allocation.
- 2.14. Systems and processes are in place to ensure the accurate tracking of expenditure, with routine monitoring allowing potential difficulties to be highlighted in a timely manner, which ensures that contingencies can be introduced to adjust within programme for effective delivery.
- 2.15. The importance of the sub-regional perspective has not prevented individual councils from developing their own specific solutions to housing issues. As indicated above, Hartlepool has established Hartlepool Revival as the vehicle for driving forward housing initiatives in the New Deal for Communities area. In a similar fashion, Middlesbrough has worked with the West Middlesbrough Neighbourhood Trust, a community-based delivery agency, towards the redevelopment of the Whinney Banks and West Lane areas of the town.
- 2.16. The role of the private sector in successful delivery is acknowledged across the sub-region. Redevelopment partnerships with house builders have been set up to maximise the benefits arising from the availability of SHIP and HMR Fund grants to acquire and demolish obsolete stock in key strategic locations. Such partnerships will see the demolition of up to 2842 low demand dwellings between 2003 and 2008 and their replacement with up to 639 modern homes in mixed communities.
- 2.17. Because of such partnerships with the private sector, Stockton Council has been able to plan the replacement of obsolete housing on estates in Stockton (Hardwick) and Thornaby (Mandale) without funding from either SHIP or HMRF. Redcar and Cleveland working with a major house builder and employing its own resources has been able to manage the pace of acquisition and demolition in South Bank, but with improvements to schools and community support facilities to be complemented by significant private investment in retail and commercial development to extend the amenities available in the area.
- 2.18. Darlington has addressed the issue of the replacement of council stock by working with a developer to build new affordable and market houses at Moor Park, while the increasingly important issue of affordability is to be tackled in part by Obligations under Section 106 of the Town and Country Planning Act 1990, which will require affordable houses to be provided in developments or a financial contribution towards future such housing elsewhere.
- 2.19. While redevelopment is an important part of the physical improvement of housing stock by Tees Valley Councils, considerable effort is also given to ensuring efficiency in the management of stock. An important element is the development of a choice based lettings policy to enable access to both social and private rented accommodation across Tees Valley by all vulnerable households
- 2.20. A major achievement has been the setting up of TVL to seek funding for housing market renewal and to ensure a partnership approach to resolving issues of low demand across Tees Valley. In addition, sub-regional partnership working has been established to deliver key projects including energy efficiency and returning empty homes to occupancy, while joint approaches are being developed to the preparation of section 106 obligations and the development of loans packages.

- 2.21. A successful joint SHIP bid has enabled the authorities to pilot a range of loans/grants products which should ensure a smooth transition towards the comprehensive provision of full loans products across the sub-region on the implementation of the proposed regional loans scheme.
- 2.22. Tees Valley has national recognition over its approach to evidencing need and developing and implementing solutions to housing issues. A comprehensive evidence base has been developed across the sub-region, extending understanding derived from the Tees Valley HMA and backed by the recent completion of LHAs in accordance with a common methodology. Councils in the sub-region are also joining together to prepare a Tees Valley SHMA.
- 2.23. At both the national and the regional level, Tees Valley has been successful in attracting funding across a number of crucial agendas. It is important to emphasise that the sub-region has been equally successful in applying funds appropriately and delivering projected outputs and outcomes within allocation and on time.
- 2.24. Successful bids for funding are not an end in themselves, however. The Tees Valley approach is to employ whatever funding is made available in ways which add value, and by leveraging-in additional non-public funding and ensuring that projects are cost effective and value for money. Costs are minimised through the joint procurement of services and materials across the sub-region and by innovative solutions relevant to all areas.



3.0 TEES VALLEY SUB REGIONAL HOUSING STRATEGY

- 3.1. The Tees Valley Sub Regional Housing Strategy was produced in 2006. This present Action Plan derives from the Strategy and is timed to link into the requirements of the North East Assembly's SHIP process.
- 3.2. The Strategy is structured around four key objectives, which mirror those set by the RHB in the Consultation Draft of the proposed revised RHS:
- The rejuvenation of the housing stock;
 - Ensuring the type and mix of new housing provides choice;
 - Securing the improvement and maintenance of existing housing; and
 - Addressing specific community and social needs.
- 3.3. Although prepared during 2006, the Strategy has been kept under constant review and has been updated to take account of changing circumstances. Government guidance in respect of housing, planning and climate change is reflected in the Strategy, so that there is alignment more closely with current policy and agendas.

Key Issues for the Future

- 3.4. Research in the sub-region has identified the inter-related nature of many of the housing issues we face and, in addressing such issues, we have taken account of the impact that action in one direction has on other strategic elements. Housing solutions are therefore part of a wider picture of renaissance and regeneration activity, part of a comprehensive approach towards achieving sustainable communities, which recognises that:
- **Housing Market Renewal** - there remains significant housing market imbalance across the sub region. Historical housing supply is no longer fit for purpose, leaving high numbers of small, back of pavement terraced properties built to provide cheap housing close to industrial areas. The high numbers on offer now are creating problems associated with

disrepair and non-decency. There are insufficient owner-occupiers for the available homes and many are left empty by 'investor buyers' or let.

- **Private Sector Issues** - there are significant issues which need addressing in the private rented sector across the sub region. There are some excellent landlords who need encouraging to continue to improve standards, because the private rented sector will be crucial in ensuring a well-balanced housing market.
- **Achieving Decent Homes Standards in the Private Sector** - We need to maximise the role and effectiveness of the private sector and improve housing conditions and management standards through a variety of means including accreditation of private landlords.
- **Disabled Facilities Grants (DFG)** A high demand for DFG has been experienced and is likely to continue, due in part to the need to cater increasingly for an aging population, and in part to the nature and quality of certain elements of the housing stock, which, without adaptation, present difficulties for disabled and elderly people.
- **Reducing fuel poverty and increasing SAP ratings** - Many homes across the sub region are built of solid wall construction and require cladding to address issues of fuel poverty and improving SAP ratings.
- **Increasing affordability issues** - Across the sub region there is an increasing need for affordable housing (rented and shared/equity ownership).
- **Choice Based Lettings (CBL)** - It is planned to expand the current CBL pilot in Middlesbrough to the rest of the sub region, all local partners

currently going through their approval processes for implementation of the scheme and agreement on joint allocation policies.

- **Addressing Community Needs** - Local authorities have well-established, mature partnership arrangements with statutory, community and voluntary sector colleagues to ensure housing provision is tailored appropriately to meet specific community and social needs. Partnership working will continue to play a key role in meeting the changing needs and aspirations of local communities.

4.0 TEES VALLEY SUB REGIONAL HOUSING STRATEGY - ACTION PLAN

- 4.1. The immediate and long-term focus of the Action Plan remains housing market renewal, reducing the number of obsolete dwellings, new housing that reflects the aspirations of households in the 21st century, and the improvement of retained stock so that it both caters for a range of demand and reduces its carbon footprint.
- 4.2. Ensuring that households displaced as a result of market renewal interventions are not disadvantaged in the process and supporting vulnerable members of the community in their need for appropriate accommodation are key drivers behind initiatives in the plan.
- 4.3. The Strategy identifies an extensive range of housing needs in both the private, the social and the intermediate sectors, highlighting the need to diversify and modernise the housing offer. This will involve providing new housing and re-invigorating parts of the older stock, both of which should provide wider choice and allow easier access to affordable quality housing so that no sectors of the community are at a disadvantage in terms of their housing needs.
- 4.5. The intention is to distribute resources within the sub-region in ways that maximise the benefit for the sub-region as a whole. Distribution will be influenced by the nature of the different housing markets in the area and grant applied in ways that guarantee the best outcome for Tees Valley residents as a whole. In an area with a healthy housing market there will be less need for grant support than in areas where market conditions are weak.
- 4.6. The Action Plan acknowledges that all parts of the sub-region have housing problems, whether of low demand or affordability, regardless of the strength of local markets and justify financial support in different measure.
- 4.7. Different housing markets, extending beyond individual local authority areas, present different challenges and opportunities in relation to housing provision. Interventions

are not therefore confined to specific administrative boundaries and nor are they particular to the achievement of individual objectives. The inter-related nature of the objectives is such that a number of interventions will contribute to the achievement of more than one objective. The Plan therefore identifies packages and themes under which a range of interventions may be delivered to secure successful outcomes serving a number of objectives.

- 4.8. The themes adopted include:
 - reducing the number of obsolete houses;
 - building quality new homes that meet the aspirations of 21st century households;
 - improving dwellings in the vicinity of housing market renewal initiatives;
 - providing access to quality affordable homes;
 - supporting vulnerable households;
 - providing for specific sectors of the community;
 - responding to the Respect Agenda;
 - encouraging modern methods of construction;
 - promoting sustainable energy solutions;
 - including private landlords in planning and delivery;
 - partnering with private developers.
- 4.9. The Action Plan reflects the need to respond to climate change and to promote efficient use of materials and resources, both in terms of house construction and in the contribution each dwelling makes towards reducing the demand for energy. MMC will be encouraged, public resources being used as a lever to introduce methods which employ materials from renewable sources and micro-generation systems which provide heating and lighting without an unnecessary call on the National Grid or non-renewable sources.

5.0 PROJECTS

This section provides an outline of the projects which will help to deliver the priorities set out in the Sub-Regional Housing Strategy and the four Strategic Objectives of the RHS. These should be seen in context with a range of other activity already underway and planned in the sub-region which will be supported via local authority budgets and alternative funding sources.

PROJECT 1: HOUSING MARKET RENEWAL

1. Purpose of Project

- 1.1 To tackle areas of low demand housing, replacing obsolete stock with a range of quality modern homes that provide variety and choice, and help create sustainable mixed income family-oriented neighbourhoods. Complementary regeneration initiatives within or close to the identified areas of major housing market renewal intervention will provide supporting social and educational infrastructure required to sustain neighbourhoods and create local identity, while redefining the nature and character of neighbourhoods.
- 1.2 Housing redevelopment will help create a sense of space, integrating sensitively into the existing fabric but ensuring that contemporary design enhances the locality through attention to the 'place making' agenda. Redevelopment will enhance the overall housing offer in the Tees Valley and support an expanding and diversified economy.
- 1.3 New development and construction methods will aim to deliver energy efficiency, a limited demand on the environment and resources, and a minimal carbon footprint.

2. Strategic Fit

- 2.1 This project will principally address Strategic Objective One of the Regional Housing Strategy. A key element in the Regional Housing Strategy is the need to rejuvenate the region's housing stock and modernise the housing offer overall. The Tees Valley Housing Market Renewal Strategy (TVHMRS) sets out a programme of transformational change in the Tees Valley. The focus is on the

replacement of obsolete houses with modern quality dwellings that appeal to both indigenous and in-migrating families, thereby creating the basis for sustainable communities and support to economic growth in the sub-region.

- 2.2 Whilst the TVHMRS provides a steer for future intervention, it is subject to continual review to ensure its continued relevance to changing housing market conditions and alignment with new government policy. The current challenge is to ensure housing market renewal activity is set within the wider context of the city-region and complementary to economic growth strategies.

3. Project Outline

- 3.1 Housing stakeholders in Tees Valley responded to the issue of low demand housing by establishing a partnership approach to tackling the problem. TVL was set up in 2003 as the vehicle to prepare a strategy for intervention in failing markets and to lobby for resources at both the national and the regional level to enable appropriate action to be carried forward.
- 3.2 The Tees Valley Housing Market Renewal Strategy (TVHMRS) is based on firm evidence as to the nature and extent of the problem of market failure and a realistic assessment of the action needed to reverse decline and re-model critical areas of the urban fabric.
- 3.3 The Strategy is concerned with reversing declining markets, creating markets that will sustain communities without continuous intervention; and ensuring the necessary social and physical infrastructure is in place to support that sustainability.
- 3.4 The programme reflects these aims, supporting housing interventions in areas which are characterised by some of the poorest social, economic and environmental conditions. The programme is complementary to other initiatives relating to economic regeneration, health care, community development, educational achievement and environmental improvement.

3.5 The Strategy supports the structural change being brought about by gradual renewal in Hartlepool, Stockton and parts of North Middlesbrough, and by large-scale projects in Inner Middlesbrough and South Bank.

3.6 Since the preparation of the TVHMRS, house prices throughout the sub-region have risen significantly. Although this is no less the case for property in the Areas of Major Intervention, the price of houses there remains considerably lower than the sub-regional average.

3.7 Evidence from the Land Registry suggests that there has been an increase in the turnover of dwellings in the Areas of Major Intervention. However, it does not appear that properties have been acquired for owner occupation or as family housing, but rather that acquisition has been motivated by speculation, purchasers either becoming involved in temporary letting situations or being prepared to keep property empty in the hope of realising a profit as house prices continue to rise. This process has increased low demand pressures rather than served to improve the market for housing in critical locations.

3.8 Housing market failure continues to trouble significant parts of Tees Valley. There is therefore a need to maintain the programme of intervention, to ensure that the surplus of unwanted and obsolete dwellings is reduced and to provide remaining neighbourhoods with sustainable options for the future. The four Areas of Major Intervention identified in the TVHMRS will be the focus for continued action.

4 Outcomes

4.1 The intention is to improve the range and quality of housing available in strategic locations within the sub-region and to enable the re-modelling of key parts of the urban area so that neighbourhoods develop offering the necessary conditions for the evolution of sustainable, inclusive and self-reliant communities. The project is expected to deliver the following outcomes:

- Reduction in numbers of vacant and abandoned properties
- Improved balance between housing demand and supply
- Reduction in numbers of low value house sales
- Reduction in the variation between average house prices in the Tees Valley HMR intervention area and the regional and national house price averages.
- Improved housing offer in the Tees Valley providing a range of tenures and housing type

5 Outputs

5.1 In the near future, in the order of 1500 dwellings are to be acquired for clearance across the sub-region. They will ultimately be replaced by 1500-1600 modern houses, designed and located to create a sense of place and to elevate the quality and interest of their immediate vicinity and surrounding neighbourhoods.

5.2 This process of renewal is balanced with complementary improvements and refurbishments of existing stock in adjacent areas which is key to facilitating transformational change in the targeted neighbourhoods.

6 Delivery Costs and Funding Requirements

6.1 Funding from CLG through the HMR programme and objective one of the Single Housing Investment Pot are two key sources of capital funding required to deliver housing market renewal activities. In the initial round of funding for 2006-08, Tees Valley bid for a combined total sum of £30 million from these two sources. Unfortunately, the sub-region was allocated only 18.2 million for the two year period. Whilst other public sector funding has been levered in to help deliver the projects, including Neighbourhood Renewal, New Deal for Communities and core funding from the Councils, a shortfall of public funds has severely restricted the scale of intervention over the last two years.

- 6.2 To facilitate the necessary scale of intervention over the next 3 years, the sub-region would need to secure £153,280,005 million of public sector investment. Whilst HMR activity would be supported by other Council funding streams, Tees Valley local authorities will continue to rely substantially on CLG and SHIP Objective One funding and a combined total of over £136 million would be required from these two sources. This equates to a requirement £47,174,101 from SHIP objective one and £88,936,998 from CLG in the period 2008-11.
- 6.3 In terms of outputs, if funding was unrestricted, this would deliver the following in the period 2008-11:
- 1,775 acquisitions
 - 2,122 demolitions
 - 740 relocation packages
 - 515 improvements
 - 1,960 new build
 - Up to £240 million of private sector leverage
- 6.4 However, based on past experience, it is clear that there is a significant variation between funding need and the level of funding that is likely to be forthcoming over this time period. For example, it is understood that the regional budget for objective one through SHIP for 2008-11 is c. £40 million. This is less than the full amount sought by the Tees Valley. Furthermore, recent dialogue between the Pathfinder Directors and CLG would suggest that the Tees Valley can at best expect a flat line settlement of resources which is substantially less than the amount required.
- 6.5 If the Tees Valley only manage to secure a flat line settlement from both funding sources (Objective One SHIP funding and housing market renewal funding from CLG), the sub-region will not be able to reach the scale of intervention that is required (operating almost 50% below capacity). The sub-region would have a public sector funding gap of over £100 million.

PROJECT 2: PRIVATE SECTOR RENEWAL

1 Purpose of Project

- 1.2 A key priority within the sub-region is to improve the condition of private sector stock across both tenures to meet the Governments target for decent homes by 2010. Continued investment in this core activity is fundamental to delivering sustained improvements in the private housing stock which includes targeted financial assistance for home owners and support to private sector landlords.

2 Strategic Fit

- 2.1 The project is helping to achieve Government targets for decent homes in the private sector and is maximising the cost effectiveness of existing stock through bringing empty properties back in to use on an affordable basis. The project embraces legislative requirements and guidance provided by the Housing Act 2004 and the Regulatory Reform Order 2002.

3 Project Outline

- 3.1 A number of financial assistance products have been developed and targeted at properties across the Tees Valley sub-region which are, or, are likely to become at risk of failing decent homes standards for the most vulnerable households. Products have been developed in consultation with the local community to ensure equality of access and have been developed on the basis of the customers' "ability to pay" with a range of repayment methods in place. The process also protects the customer from sub-standard work through careful selection of contractors. The project builds upon the successful implementation of loan products which are effectively managed by specialist teams in place to provide advice and guidance to home owners.
- 3.2 Engagement of private landlords is an essential stage towards the effective management of the private rented sector. Delivery teams liaise directly with private landlords through various forums to identify

priority works and a practical approach to implementing the necessary improvements to housing conditions in the most cost effective manner. This involves the promotion of joint working between the Councils and private sector landlords. Teams are skilled in the facilitation of good landlord and tenant relations and in the delivery of tailored advice and support to private sector landlords and tenants.

- 3.3 Investment in empty and nuisance properties is an effective use of resources and a means of ensuring that suitable existing stock has a role in the overall housing offer. Conditions of properties are improved in line with decent homes standards and brought back in to use on an affordable basis.

- 3.4 This project will build on existing expertise and practice to continue the effective management of private sector stock.

4 Outcomes

- 4.1 The project is designed to improve the condition of private sector stock in line with decent homes standards through targeted financial loan based products for vulnerable home owners and effective management of private rented stock. The project is expected to deliver the following outcomes:
- Increased proportion of privately owned properties meeting statutory licensing requirements.
 - Reduction in anti-social behaviour connected to poorly maintained privately owned property.
 - Increasing the number of accredited landlords and approved private properties.
 - Increasing the number of privately owned properties achieving SAP energy efficiency rating of 65+.

5 Outputs

- 505 vulnerable households accessing financial assistance in Decent Homes.
- 166 empty properties brought back into productive use.

- Numbers of priority need households nominated by the Council accessing privately owned homes benefiting from financial assistance.
- Numbers of properties meeting the requirements of the Health and Housing Safety Rating System enabling hospital discharge and / or promoting independence.

6 Delivery costs and Funding Requirements

- 6.1 The project is seeking £15,272, 917 of funding through SHIP for the period 2008-11.

PROJECT 3: TOWARDS HOME OWNERSHIP

1 Purpose of Project

- 1.1 This project will provide a stepping stone towards home ownership through the offer of a flexible and affordable shared equity option for those individuals who would otherwise be unable to afford to buy their own home. The product will be designed to provide affordability in the early years with built in flexibility to allow the purchaser to increase or decrease their equity should their financial situation change. The project will aim to employ a range of interventions appropriate to each case to bring empty dwellings back into use on an affordable basis.

2 Strategic Fit

- 2.1 This project addresses a number of priorities for action at a national, regional and local level. Through the offer of a flexible and affordable shared equity option, the project provides greater choice and opportunity to first time buyers, social tenants, key workers and people who rent privately. The project will increase the proportion of decent homes in the private sector and tackle wasted resources by bringing long term empty homes back into use on an affordable basis where this best meets the needs of the individual. As long-term empty properties are often a focal point of anti-social behaviour and criminal damage, tackling the issue can also contribute to delivering the respect agenda.

3 Project Outline

- 3.1 The project will offer a flexible and affordable shared equity option for eligible applicants who would otherwise be unable to afford to buy their own home. The project will recognise that household incomes may fluctuate over time. By minimising costs in the early years and enabling the purchaser to decrease their share to react to unforeseen changes in household finances, the scheme will give first time buyers the confidence to move into homeownership.

- 3.2 In addition, the project will have the potential to offer units at affordable rents with the ability to take up the shared equity offer at some future date as the household circumstances change. This is likely to apply in areas where there might be limited initial appetite for home ownership.

- 3.3 The greatest proportion of empty properties is within the central / core urban areas and therefore the scheme coverage is likely to dominate these areas. However, the main outcome is access to affordable homes. Whilst the scheme may overlap with neighbourhoods within the HMR intervention areas, it will not be targeting properties which are managed as part of the HMR intervention area.

- 3.4 Eligible applicants can purchase an equity share and staircase up to full ownership. LHA will indicate the target for entry level in each local authority area. An income assessment will be completed to determine what property and percentage of equity share an individual is eligible for. Clients will be targeted through regeneration area liaison, given the scheme's potential to assist with decant, and sub-regional Choice Based Lettings arrangements.

- 3.5 Purchasers can also staircase down from a higher equity share should their financial circumstances change, for example an older person requiring resources to maintain or improve their home. On disposal the project is given first option to purchase the equity. In line with the First Time Buyer's Initiative no charges will be applied to the retained equity for the first 3 years. Charges will then be stepped up from 1% in year 4 to 3% in year 6. All capital receipts from the sale of the retained equity will be recycled within the project.

- 3.6 This funding will also facilitate a proactive approach to enforcement to bring long-term empty properties back into use. The following interventions will be explored depending on the nature of the problem with initial, recoverable costs, being met from the scheme:

- Compulsory Purchase Powers (Single Property)
- Empty Dwelling Management Orders (EDMOs)
- Enforced Sales (registered and unregistered land or premises)
- Enforced Sales - Council Tax or other Debts

4 Outcomes

4.1 The priority for the project will be to deliver an intermediate housing option. However, there will be a range of associated benefits. Whilst facilitating access to affordable home ownership the project will also address the issue of empty properties and decent homes. Recycling resources within the scheme is designed to increase its longevity, outputs and reduce requirement for public subsidy in subsequent SHIP rounds. Intended outcomes will include:

- Improved access to affordable home ownership.
- Increased numbers of decent homes in the private sector.
- Reduction in numbers of empty and nuisance properties.
- Reduction in reports of anti-social behaviour and criminal damage.
- Improved quality of environment and increased well being for neighbours.

5 Outputs

5.1 Outputs are dependent on the target client group but are expected to include:

- 108 affordable units provided for eligible clients
- 108 long-term empty properties re-occupied, including works to bring to decent homes standard.

6 Delivery Costs and Funding Requirements

6.1 The project is seeking £6,450,000 of funding through SHIP during the period 2008-11.

PROJECT 4: RESPECT AND REWARD SCHEME

1 Purpose of Project

- 1.1 The project provides a holistic response to the related issues of poor housing conditions, crime and anti social behaviour by offering a package of incentives to improve housing management standards, particularly in the private rented sector.

2 Strategic Fit

- 2.1 This scheme addresses a number of priorities for action at a national, regional and local level. In addition to the obvious contribution to the respect agenda, by improving standards in the private rented sector, it can also make a contribution on a wider front by increasing housing options and providing a viable alternative to temporary accommodation for homeless households. Improved housing management standards in the private rented sector, better channels of communication with support and advice agencies, and alternatives to tenancy enforcement will also help to prevent homelessness. Finally, the project will engage local communities in the creation of sustainable communities.

3 Project Outline

- 3.1 In pilot areas where there is physical investment to improve homes and the surrounding environment (external frontage and security improvements), private landlords will be required to demonstrate their commitment to tackling anti social behaviour by signing up to the Respect Quality Mark in Housing Management. RSLs in the area will be encouraged to sign up to the Respect Standard for Housing Management. Homeowners will be expected to make a similar commitment to working together to tackle anti social behaviour through a Neighbourhood Agreement.
- 3.2 The intention is to build on the success of Selective Landlord Licensing and pilot voluntary scheme for the private rented sector; the 'Respect Quality Mark in Housing Management'. This will build on existing

initiatives incorporating housing conditions, and housing management and clear responsibilities for landlords to actively work towards reducing incidents of anti-social behaviour. Private landlords who sign up to the voluntary Respect Quality Mark scheme will be rewarded with a package of security and facelift measures which will complement regeneration initiatives and offer an incentive to initial participation in the scheme.

- 3.3 This activity will also build upon a range of services already provided, in parts of the Tees Valley, to landlords and tenants within the private rented sector to tackle anti social behaviour by private rented tenants, to encourage private landlords to adopt good management practices and to end the cycle of inappropriate re-housing of anti social tenants. These services comprise:

- reference checking potential tenants;
- pre tenancy counseling and tenancy sign up service including robust tenancy agreements;
- post tenancy visits for all new tenants;
- encourage private rented lettings and assisting landlords with identifying suitable tenants by promotion in localities and via sub regional CBL;
- regular landlord forums and training sessions;
- tackling initial neighbour nuisance and anti social behaviour, caused by private rented sector tenants;
- investigate complaints of environmental crime caused by private rented sector tenants;
- taking appropriate legal action against anti social individuals; and,
- provision of training, legal advice and support to private rented sector landlords in dealing with anti social tenants.

- 3.4 Member landlords will be encouraged to use the available expertise in dealing with anti-social tenants and to participate in a range of interventions to encourage good tenant behaviour. Other measures to challenge perpetrators of anti social behaviour will include:

- joint home visits with Enforcement Officer, landlord and Police;
- Acceptable Behaviour Contracts;
- referrals to existing Families Projects or other supported tenancies;
- Parental Behaviour Contracts;
- Injunctions and ASBOs; and,
- Eviction, as a last resort when all other intervention measures have failed.

3.5 As an area where Selective Landlord Licensing operates, the Tees Valley is well placed to develop, promote and evaluate a voluntary scheme. Evidence is emerging that voluntary compliance is more likely where it is reinforced by the threat of a mandatory scheme and where incentives can be provided to encourage participation. The impact of this voluntary scheme will be evaluated to inform best practice across the sub region.

3.6 As a voluntary scheme, it will be linked with a menu of facelift options which will complement regeneration initiatives and offer an incentive to initial participation in the scheme. This will include brick cleaning, painting and boundary wall treatment. The extent of works completed will be determined by an assessment of the individual dwelling. Private landlords who sign up to the voluntary Respect Quality Mark scheme will be rewarded with a package of security / facelift measures. The project will target areas prioritised for Decent Homes standard works to maximise outputs and impact.

4 Outcomes

- 4.1 The project sets out to improve housing management standards, particularly in the private rented sector. The project will generate a range of outcomes, which will include:
- Reductions in complaints of anti social behaviour
 - Increased numbers of accredited private sector landlords
 - Improved quality of environment and increased well being for neighbours.

5 Outputs

- 180 private landlords signed up to the voluntary scheme (Respect standard/accreditation scheme).
- 180 homeowners signed up to Neighbourhood Agreement.
- 350 Private rented sector properties advertised in localities and via sub regional CBL.
- 30 Private landlord forum/training sessions.
- 450 homes improved to deliver sustainable community outputs.

6 Delivery Costs and Funding Requirement

- 6.1 The project is seeking £2,250,000 funding through SHIP during the period 2008-2011.

PROJECT 5: ECO STREETS INITIATIVE

1 Purpose of Project

- 1.1 This project will install energy efficiency measures into a number of properties to explore the impact of homes on CO2 emissions and to provide a measure of the carbon footprint. One property will be an open-house to showcase the effectiveness of renewable energy resources and to improve awareness of grants available to support innovative approaches to energy efficiency. The project will attempt to measure the associated benefits of energy efficiency for vulnerable households, with view to reducing levels of fuel poverty and improving general health.

2 Strategic Fit

- 2.1 The project will address priorities in a range of statutory and policy documents, including:

- Draft Climate Change Bill: Statutory targets for CO2 reductions in LA areas.
- Fuel Poverty Strategy: Aim to eliminate Fuel Poverty in all households by 2010
- The Energy White Paper: Every home adequately and affordably heated
- H.E.C.A. report: Reduction in CO2 emissions through improved energy efficiency.
- Public Health White Paper: Committed to tackling poor health and promoting healthier communities.
- UK Sustainable Development Strategy and Climate Change programme: recognise the need for improving energy efficiency.
- Decent Homes: The standard requires improvements to thermal comfort of dwellings.
- HHSRS: Addresses issues of cold, damp and mould in properties.

3 Project Outline

- 3.1 Home energy use is responsible for 27% of the UK CO2 emissions. Although new build

housing is more energy efficient, it is the older housing stock and its occupiers that will benefit most from this project.

- 3.2 Best practice suggests that projects should look to reduce the overall energy demand. This will be achieved by improving energy efficiency and exploring the use of renewable energy sources in existing, vulnerable homes as well as transforming their appearance within retained older housing areas across the Tees Valley. This initiative will support and underpin wider housing market renewal strategies.
- 3.3 Renewable energy sources produce few or no greenhouse gases thus reducing CO2 emissions. Under the EU Renewables Directive the UK has been set a target of generating 10% of its electricity demand from renewable sources by 2010.
- 3.4 A number of properties in a street will be purchased and will undergo transformation in terms of the installation of measures outlined below. The possibility of providing an open house as a drop in centre and advice outlet will be explored.
- 3.5 The properties will need to follow the sun path and primarily be southerly facing for maximum gain from the solar thermal heating system.
- 3.6 Physical measures, including cavity wall and loft insulation, or external wall cladding where there is no cavity, will be coupled with the use of solar hot water heating systems, biomass or condensing boilers and a resident education initiative across the community.
- 3.7 The impact of the scheme in terms of CO2 emissions savings will be measured, and the potential to link to training initiatives for local residents will be explored.
- 3.8 A Tees Valley-wide scheme will be able to reduce costs by bulk purchase, and by using local suppliers encourage sub-regional investment and minimise transport carbon emissions. It will also increase the viability of

recycling initiatives for old plumbing and roofing materials.

3.9 It is estimated by the North East Home Insulation Partnership (NEHIP) that Tees Valley has approximately 91,000 unfilled cavities and 145,000 lofts that have inadequate levels of loft insulation. The total value of work required to remedy this would be in the order of £72 million. In order to address the issue, NEHIP has suggested that Tees Valley becomes part of a proposed regional programme that provides a consistent regional home insulation offering that is free for all fuel poor and vulnerable households and sets a consistent affordable price for able-to-pay households. A consistent regional product will reduce the current fragmentation within existing grant structures, provide a more attractive offering to householders that is easier to market and manage, and has the potential of attracting a higher financial contribution from utilities.

3.10 NEHIP recommends the adoption of a charge of £99 per measure for able-to-pay households over the next 3 years. The financial implications for Tees Valley SHIP allocation based upon 70% Energy Efficiency Commitment / Carbon Emissions Reduction Target leverage is £1,684,605 per annum. This will draw down £8.525 million of additional other investment per annum.

4 Outcomes

4.1 The project will provide a testing ground to measure the impact of energy efficiency measures in properties, including eco-friendly energy sources. A range of outcomes are expected and will include:

- Reductions in levels of CO2 emission per property
- Increased SAP rating of dwellings
- Increased awareness of the benefits of energy efficiency amongst residents
- Increased awareness of the availability of grant assistance for the installation of eco-friendly energy efficiency
- Contribution to the fuel poverty agenda.

5 Outputs

Indicative outputs are shown in the table below.

Total cavity wall insulation installations	11,375
Total loft insulation installations	18,125
Carbon Savings (Life time/tonnes)	147,595
Priority Group Measures (households on benefits)	5,900
Vulnerable Group Measures (over 65s/under 5s)	6,195
Fuel Poor Measures (National UK Fuel Poverty Indicator)	3,540
Able-to-pay Measures	13,865

6 Delivery costs and Funding Requirements

6.1 There is a need to review existing community and technology case studies in order to develop a budget for capital works and educational and training initiatives.

6.2 The potential to access match funding for this project is high as a number of organisations have already expressed an interest in involvement. Organisations such as the Energy Savings Trust, National Energy Action, Renew Tees Valley. Also the utility companies, the DTI low carbon buildings programme phase 2, EU Sun Cities Programme.

6.3 It is anticipated that additional funding / leverage of around 50% will be accessed for this project.

6.4 The project is seeking £6,000,000 funding from SHIP over the period 2008-2011.

PROJECT 6: SANCTUARY AT HOME SCHEME

1 Purpose of Project

- 1.2 The purpose of this project is to contribute to the development of 'tenure neutral' sanctuary provision for those experiencing domestic violence in the Tees Valley. The project will ensure the provision of appropriate security measures for victims of domestic violence and harassment (including homophobic) to allow them to stay in their home, when it is safe to do so and when it is their preferred option. This project will complement our existing, established and valued refuge services.

2 Strategic Fit

- 2.1 At a national level, domestic violence is a factor in one in eight of all new cases of homelessness and accounts for around 13,000 homeless households each year. Through the development of sanctuary provision and appropriate security measures, the project will be a key step towards achievement of the BVPI 225 Domestic Violence target. The project will help to reduce levels of domestic violence and in turn levels of homelessness. There is evidence to suggest that this kind of intervention can help to increase feeling of safety and reduce crime levels by up to 20%. The project will contribute to the development of sustainable communities by allowing those experiencing domestic violence to remain in their own homes, where this is preferred.

3 Project Outline

- 3.1 Sanctuary schemes are an innovative approach to homelessness prevention. They provide professionally installed security measures to allow those experiencing domestic violence to remain in their own accommodation - where it is safe for them to do so, where it is their choice and where the perpetrator no longer lives within the accommodation. Thereby providing safe and settled accommodation rather than victims being forced to move, disrupting education, employment and family networks.

- 3.2 LA Community Safety Teams/Domestic Violence Co-ordinators (as is deemed appropriate in each LA) will provide the service working closely with Police Crime Prevention Officers who will decide on what measures should be used for each case.
- 3.3 While the provision of security measures will be tailored to accommodate the needs and circumstances of the individual involved, examples of home security include new window and five lever door locks, anti arson letterboxes, window grills and shutters, dust-till-dawn exterior lighting, door viewers/chains etc. The aim is to also provide a 'safe room' within the house - this involves the installation of a solid core fire door with smoke seals, installed in such a way as to open outwardly and cannot be kicked-in and can be securely locked.
- 3.4 In addition to the above, support will be provided as appropriate through the victims by various support agencies. This element of the project will be funded via the local authorities.
- 3.5 To ensure value for money and consistency of delivery the project will be procured on a Tees Valley wide basis.
- 3.6 The minimum criteria for contractors will be Criminal Records Bureau checks. Domestic violence training will be provided to all staff involved in the delivery of the improvement measures.
- 3.7 In the longer-term, there may be potential to work with social landlords to ensure that properties that receive the full intervention are then entered onto a register. Should the property become vacant at a future time it will be used to re-house victims of domestic violence (where appropriate). In the longer term, this will link into the sub-regional choice based lettings scheme. It will also be important to seek a financial contribution from landlords.

4 Outcomes

- 4.1 Through the development of sanctuary provision and appropriate security measures, the project will be a key step towards meeting targets in relation to levels of domestic violence levels and related homelessness issues. The project will deliver a range of outcomes which will include:
- Reduced levels of homelessness amongst those at risk of domestic violence
 - Increased cost savings for temporary accommodation providers and associated support services as a result of helping the beneficiary to stay in their own home.
 - Reduced disruption to education, employment and family networks as a result of increased access to safe and more permanent accommodation.
 - Improved integration of associated victim support services.

5 Outputs

- 5.1 Difficult to determine at this stage as scheme will be victim lead.

6 Delivery Costs and Funding Requirements

- 6.1 The project is seeking £1,200,000 funding from SHIP during the period 2008-2011.

PROJECT 7: DISABLED FACILITIES GRANTS

1 Purpose of Project

- 1.1 The project will provide grant assistance to adapt homes of mobility-impaired residents where adaptation will enable them to live independently in their own homes. The project enables individual solutions to be found which are tailored to meet the needs of the individual and which allow independent living where possible.

2 Strategic Fit

- 2.1 Since 1990, Local Authorities have been under a statutory duty to provide grant aid to (eligible) disabled people for a range of adaptations (for eligible works) to their homes. DFGs (introduced through the Housing Grants, construction and Regeneration Act 1996) provide an opportunity to assess individual need and to identify appropriate solutions which will promote independent living. This project will build on existing expertise and good practice already developed in the sub-region to ensure individual need is catered for in the most cost effective way.

3 Project Outline

- 3.1 With an ageing and increasingly frail population in the Tees Valley, the need for DFGs is rising. DFGs are critical to maintaining independence amongst disabled or otherwise non-mobile residents. Adaptations modify environments, allowing individuals to regain independence in their own homes. Tees Valley Authorities continue to work closely in implementing DFGs to identify ways in which to reduce the cost of works. Partners are currently exploring opportunities for joint procurement and other methods of increasing value for money whilst ensuring high standards. Additional funding is being sourced and used, however the need for adaptations continues to exceed available funding. The sub-region will ensure local approaches are aligned with forthcoming changes to Government guidance.

4 Outcomes

- 4.1 The project will build on existing adaptations works undertaken in the sub-region and deliver the following outcomes:
- Increased numbers of residents with a disability who are able to live independently.
 - Improved access to appropriate accommodation for disabled residents which enables them to live independently.

5 Outputs

- 5.1 Projected output figures may be subject to some change, in light of proposed changes to legislation which may affect outputs.

PROJECT 8: MOVE, ADAPT AND RECYCLE SCHEME

1 Project Purpose

- 1.1 This project will provide an innovative and alternative way of meeting the assessed housing needs of disabled persons by providing assistance to move to a new home where this proves more cost effective than adapting and modifying an existing home. Where a member of a household is disabled, homeowners will be eligible for assistance to buy a more suitable home when it is not possible or cost effective to adapt their existing dwelling. This will be a constructive additional use of limited DFG resources will help extend choice for disabled residents by providing an alternative means of addressing their needs.

2 Strategic Fit

- 2.1 The project builds on the adaptations works implemented through the DFG process. Proposed activity is complementary to key priorities identified in current government guidance and will be adapted accordingly to reflect forthcoming changes to government legislation in the implementation of DFG. If the rules governing the use of DFG resources are relaxed following the publication of the recommendations from the DFG consultation paper it may be appropriate to move towards the facilitation of loans. The Tees Valley has already developed appropriate loan packages and is well equipped to implement their delivery in this regard. The project aligns with the following key guidance documents:
- The project Delivering Housing Adaptations for Disabled People: Good practice guide for the delivery of adaptations.
 - Regulatory Reform Order 2002: Provides authorities with the powers to consider alternatives to adaptations.
 - Our Health, Our Care, Our Say: A new direction for community services from the Department of Health.

3 Project Outline

- 3.1 In some circumstances, assisting homeowners to buy a more suitable replacement home can be more cost effective in the longer term than adapting the current property. Recipients of an award via the project will continue to be entitled to receive a DFG to fund adaptations to the new home if required, but a balance will need to be struck between the potential for adaptation of the existing home and the scale of cost associated with adapting the new home.
- 3.2 The project will offer an incentive for the owner to buy a more suitable property and undertake adaptations at a reduced or equal cost that is more likely to meet their longer term needs. Individual case analysis will be undertaken to determine which would be the most cost-effective solution for the disabled resident.
- 3.3 As part of the assessment process for DFG, applicants are visited by an Occupational Therapist (OT) who determines whether they require adaptations to their home. The OT will determine whether the DFG applicant may be better served by moving to a more suitable property. If so, the applicant will be referred to the project officer. The OT will inform the applicant that an award under the Move, Adapt and Recycle Project may be available as an alternative to a major adaptation, if the client wishes to remain a homeowner.
- 3.4 The project officer will then liaise with the applicant and determine their eligibility for the scheme. If the application is to progress then the project officer will assist in helping to find a suitable alternative property. Contact will be made with estate agents to promote the scheme and encourage joint working so that the project officer and agents are familiar with the types of properties that could be of interest to potential eligible applicants. This will enable all options to be discussed with the applicant. The project officer will also consider alternative accommodation in the social

housing sector via the Disabled Housing Register operated as part of the sub regional CBL Scheme.

4 Outcomes

- 4.1 The project will maximise the use of limited DFG resources whilst also extend choice for disabled residents by providing an alternative means of addressing their needs. The intended outcomes are outlined below:
- Increased efficiencies leading to cost savings for associated services and DFG provision.
 - Improved access to independent living for disabled residents.
 - Increased range of choice of housing type and tenure for the client group.

5 Outputs

- 150 disabled residents re-housed within the private sector.
- £375,000 of DFG resources saved.
- 300 disabled residents referred for re-housing in the social rented sector via the sub-regional CBL Disabled Housing Register.

6 Delivery Costs and Funding Requirements

- 6.1 The project is seeking £11,293,043 of funding from SHIP during the period 2008-2011.

PROJECT 9: SAFE AND SECURE SCHEME (SASS)

1 Purpose of Project

- 1.1 The project will fund small repairs and minor adaptations for homeowners who are elderly or disabled to enable them to live independently where this is their preferred option. The project builds on existing adaptations work supported through Disabled Facilities Grants and is complementary to the 'Move, Adapt and Recycle' project.

2 Strategic Fit

- 2.1 The project builds on existing skills and expertise that has developed within the sub-region and has been developed in line with current government guidance which includes the following key publications:
- DFG Consultation - The Government's proposals to improve programme delivery.
 - Delivering Housing Adaptations for Disabled People - Good practice guide for the delivery of adaptations.
 - Public Health White Paper - committed to tackling poor health and promoting healthier communities.

3 Project Outline

- 3.1 The project is designed to provide a community support service which focuses on allowing eligible older and disabled people to remain in their own homes by carrying out small repairs and adaptations. Risk assessment will identify need and determine the nature of works required. Adaptations will reduce the risk of accidents which will generate cost savings through reduced admission levels to hospitals and residential care.

4 Outcomes

- 4.1 The project will deliver two main outcomes:
- Increased numbers of older and disabled residents able to remain in their own homes.
 - Reduced admissions to hospital or residential care.

5 Outputs

- 3700 households assisted between 2008 and 2011.
- Average of 1.5 hours service provided to each client (dependent upon nature of tasks undertaken).
- 3700 risk assessments completed.

6 Delivery Costs and Funding Requirements

- 6.1 The project is seeking £4,500,000 funding from SHIP during the period 2008-2011.

PROJECT 10: ACCESS TO DECENT HOMES

1 Purpose of Project

- 1.1 The project will promote an innovative choice based approach through targeted financial incentives to facilitate moves between tenures and access to decent homes.

2 Strategic Fit

- 2.1 The project is addressing a key priority at national, regional and sub-regional level in relation to access to affordable decent homes. Targeted financial assistance provides residents with the opportunity to switch between tenures as personal circumstances change and to access decent homes in the tenure of their choice.

3 Project Outline

- 3.1 Many residents find themselves on the margin of home ownership and can find their housing choice limited to one housing market. However, with some capital investment a proportion of such residents could access and sustain occupation of a wider range of alternate tenures. This project will address this very issue through targeted financial assistance packages, which can help to bridge the financial gap and facilitate movement between tenures and housing markets.
- 3.2 The project will be invaluable to vulnerable households in non-decent accommodation. Financial assistance will help to facilitate re-housing within decent housing regardless of tenure.
- 3.3 The project will also address an affordability issue for first time buyers. Many first time buyers are unable to provide deposit and legal fees payments. This can mean that, whilst a commercial lender is able to provide a mortgage product that the buyer is able to sustain following occupation, owner occupation is out of their reach without initial capital investment. Through targeted financial assistance, the project will provide a stepping stone in to home ownership in to

property which is affordable and in line with decent homes standards.

- 3.4 The initial outlay of funds required in advance of tenancy commencement in the private sector means that tenure in the private rented sector is often inaccessible for many. Following the rationalisation of social housing provision, post stock transfer, social rented accommodation does not always provide an alternative. Whilst many are forced to apply for social rented accommodation as a direct result of the barriers in to the private rented sector, this increases pressure on an already stretched resource. The supply of social housing is limited and the Housing Register waiting times are increasing. Many are trapped in an intolerable situation. The project will provide financial assistance to overcome the burden of advance bond deposits to landlords for example and therefore help to bridge the gap in to decent accommodation in the private rented sector.

- 3.5 Finally, the project will also enable long-term owner occupiers to downsize to smaller properties where properties are currently under occupied or financial circumstances change. In doing so, this process can also free up larger property that is in demand.

4 Outcomes

- 4.1 The project will be an integral part of the work already underway in the sub-region to improve access to decent and affordable housing and is expected to deliver the following outcomes:
 - Increased numbers of residents able to access the local housing market and tenure of their choice
 - Enhanced choice of tenure to the community
 - Improved access to affordable private sector housing.
 - Improved range of incentive packages which facilitate access to decent homes.

5 Outputs

- 60 first time buyers assisted to access housing market per annum.
- 50 bonds paid in advance to vulnerable residents.
- 35 tenure switch from owner-occupier to RSL per annum.

6 Project Costs and Funding Requirements

- 6.1 The project is seeking £1,500,000 funds from SHIP during the period 2008-2011.

PROJECT 11: THE RURAL HOUSING ENABLER

1 Purpose of Project

- 1.1 The project will see the appointment of a dedicated Rural Housing Enabler (RHE) for the Tees Valley Sub-Region to investigate, support and provide an "independent" interface between land owners, existing rural residents and the Tees Valley local authorities to increase the supply of appropriate development opportunities in rural locations. The RHE will be responsible for identifying opportunities to deliver a number of affordable units in a cost effective, value for money way within a rural community setting which is in accordance with identified local housing need. The later stages of the project will see land assembly works in rural locations and development of affordable housing units.

2 Strategic Fit

- 2.1 The project will help to raise awareness of the housing accessibility difficulties faced by the extended families of rural residents seeking to remain in their rural environment.

3 Project Outline

- 3.1 This is a Tees Valley sub-regional resource that will seek to deliver an increased supply of rural affordable housing units across the whole Tees Valley sub-region. The RHE role will be line managed by a managing agent who will be independent from the local authorities and have experience of the local rural environment and economy. It is anticipated that the lead authority for the sub-region will be Darlington Borough Council on behalf of all Tees Valley sub-regional local authority partners.
- 3.2 Appointment of a dedicated Tees Valley sub-regional RHE to identify suitable sites, work with local communities, parish councils, land owners, private developers and Registered Social Landlords to provide an independent negotiating resource to increase the supply and delivery of rural affordable housing.

- 3.3 The RHE role will involve the identification of suitable pockets of land, secure agreement from rural land owners to a sale and capture the commitment of local rural communities to deliver new affordable housing. The appointment of a dedicated RHE employed through an independent managing agent will not only bring objectivity and independence, (often crucial elements to land negotiations) but, could also attract an element of match funding from DEFRA.

- 3.4 The RHE will seek development opportunities in rural areas by liaising and working closely with land agents in rural communities where there is identified priority local housing need. The RHE role will also seek to engage with the national network of RHEs, implement good practice models, benchmark against national targets and seek to achieve maximum value for money from new innovative approaches.

- 3.5 In light of the remoteness of some utility services in rural areas, there is an opportunity to deliver pilot eco-homes projects to provide an alternative energy resource and to contribute to the fuel poverty agenda.

4 Outcomes

- 4.1 The RHE will identify viable development opportunities for local land owners in association with active local private developers and RSLs. Through development of affordable housing units in rural locations, the project will help to counter outward migration, and, the loss of economically active local skilled labour.

- 4.2 The outcomes of this project are extensive and are listed below:

- Increased number of rural housing units successfully delivered which are in keeping with the surroundings and contributes to the sustainability of rural communities.
- Reduction in the carbon footprint of local agricultural and traditional

skilled industry workers by reducing their home to work travel time.

- Retention of local skilled economically active people who would otherwise have to migrate from the rural community due to the buoyancy of the local rural housing market.
- Reduction of underused, obsolete or empty rural dwellings bringing them back into productive use.
- Reduction in the incidence of rural homelessness.

5 Outputs

- 5.1 Deliver 10 rural affordable housing units of mixed tenure across the Tees Valley Sub-Region by 2011.

6 Delivery Costs and Funding Requirements

- 6.1 The project is seeking £650K funding from SHIP during the period 2008-11.

6.0 CONCLUSIONS

- 6.1. In terms of housing provision, stock renewal, quality and choice, the sub-region has developed considerable momentum, backed by community buy-in and support. Communities are involved throughout the process of deciding on future action for neighbourhoods and initiatives reflect community aspirations.
- 6.2. Because of the successful delivery enjoyed so far, the Tees Valley features experienced teams able to react professionally and promptly to all aspects of housing provision, from conception to final completion.
- 6.3. The Tees Valley authorities have an excellent record of forward thinking, joint working and delivering in partnership with each other and their communities. We wish to build on successful existing projects and deliver new projects aimed at delivering the sub-regional housing strategy and to improve the housing conditions of the residents of Tees Valley.
- 6.4. The Action Plan provides the context for delivery of a range of alternative housing provision across the sub-region, all of which is programmed to have the greatest impact on the housing offer available and ensure that genuine choice is available to all households, and especially that a deficient or inadequate housing offer does not put a brake on the potential for sustainable economic growth

SHIP FUNDING REQUIREMENTS 2008-2011 - APPENDIX A

[illegible][illegible]

Total SHIP Funding Year 3											
Local Authority	Project 1	Project 2	Project 3	Project 4	Project 5	Project 6	Project 7	Project 8	Project 9	Project 10	Project 11
	Housing Market Renewal	Private Sector Renewal (Core)	Towards Home Ownership	Respect and Reward Scheme	Eco Streets	Sanctuary at Home	Disabled Facilities Grants	Move, Adapt and Recycle Scheme	Safe and Secure Scheme	Incentive Packages - Access to Decent Homes	Rural Housing Enabler
Darlington	n/a	724,673	456,187	159,135	424,360	84,872	526,719	212,180	318,270	106,090	45,972
Hartlepool	n/a	952,725	456,187	159,135	424,360	84,872	509,355	212,180	318,270	106,090	45,972
Middlesbrough	n/a	1,746,856	456,187	159,135	424,360	84,872	1,259,882	212,180	318,270	106,090	45,972
Redcar & Cleveland	n/a	1,002,503	456,187	159,135	424,360	84,872	725,445	212,180	318,270	106,090	45,972
Stockton	n/a	914,524	456,187	159,135	424,360	84,872	928,029	212,180	318,270	106,090	45,972
Total	15,753,499	5,341,282	2,280,935	795,675	2,121,800	424,360	3,949,431	1,060,900	1,591,350	530,450	229,860
											Totals
											3,058,459
											3,269,146
											4,813,804
											3,535,014
											3,649,619
											34,079,541

Total SHIP Funding All 3 Years (2008-11)											
Local Authority	Project 1	Project 2	Project 3	Project 4	Project 5	Project 6	Project 7	Project 8	Project 9	Project 10	Project 11
	Housing Market Renewal	Private Sector Renewal (Core)	Towards Home Ownership	Respect and Reward Scheme	Eco Streets	Sanctuary at Home	Disabled Facilities Grants	Move, Adapt and Recycle Scheme	Safe and Secure Scheme	Incentive Packages - Access to Decent Homes	Rural Housing Enabler
Darlington	n/a	2,072,138	1,329,087	463,635	1,236,360	247,272	1,506,107	618,180	927,270	309,090	133,938
Hartlepool	n/a	2,724,233	1,329,087	463,635	1,236,360	247,272	1,456,455	618,180	927,270	309,090	133,938
Middlesbrough	n/a	4,994,979	1,329,087	463,635	1,236,360	247,272	3,602,519	618,180	927,270	309,090	133,938
Redcar & Cleveland	n/a	2,866,568	1,329,087	463,635	1,236,360	247,272	2,074,345	618,180	927,270	309,090	133,938
Stockton	n/a	2,614,999	1,329,087	463,635	1,236,360	247,272	2,653,617	618,180	927,270	309,090	133,938
Total	47,174,101	15,272,917	6,645,435	2,318,175	6,181,800	1,236,360	11,293,043	3,090,900	4,636,350	1,545,450	669,690
											Totals
											8,843,077
											9,445,520
											13,862,330
											10,205,745
											10,533,448
											100,064,221



APPENDIX B

Projects & Strategic Objectives

PROJECTS AND STRATEGIC OBJECTIVES

PROJECT	PURPOSE OF PROJECT	INDICATION OF WHICH STRATEGIC OBJECTIVE EACH PROJECT ADDRESSES
Housing Market Renewal	<p>Purpose of project:</p> <p>To create a network of sustainable communities through renewal and improvement of existing stock and replacement of obsolete housing with modern homes to change the character of neighbourhoods with housing market failure.</p>	<p>Strategic objective 1:</p> <p>To rejuvenate the housing stock.</p>
Private Sector Renewal (core)	<p>Purpose of project:</p> <p>This includes provision of financial assistance packages to vulnerable homeowners for improvements to bring the property up to decent homes standards and investment in empty and nuisance properties with view to bringing them back in to use on an affordable basis. This core element also includes management of the private rented sector.</p>	<p>Strategic objective 3 and 4:</p> <p>To secure the improvement and maintenance of existing housing. To promote good management and targeted housing investment to address specific community and social needs.</p>
Towards Home Ownership	<p>Purpose of project:</p> <p>Addressing affordability, providing stepping stone in to home ownership through offer of flexible and affordable shared equity option for eligible applicants who would otherwise be unable to afford to buy their own home. By doing so, bring empty homes back in to use on affordable basis.</p>	<p>Strategic objective 2 and 3</p> <p>To ensure the type and mix of new housing provides choice, supports economic growth and meets housing needs and demand on an affordable basis. To secure the improvement and maintenance of existing housing.</p>
Respect and Reward Scheme	<p>Purpose of project:</p> <p>To provide incentives to improve housing management standards and conditions, particularly in the private rented sector whilst also reducing anti-social behaviour.</p>	<p>Strategic objective 3:</p> <p>To ensure the type and mix of new housing provides choice, supports economic growth and meets housing needs and demand on an affordable basis. To secure the improvement and maintenance of existing housing.</p>
Eco Streets	<p>Purpose of project:</p> <p>This project will install energy efficiency measures in to a number of properties to explore the impact on CO2 emissions and carbon footprint of homes. The project will specifically focus on the positive impact on vulnerable households in terms of promoting affordable warmth, reducing levels of fuel poverty and improving health.</p>	<p>Strategic objective 3:</p> <p>To secure the improvement and maintenance of existing housing.</p>

PROJECT	PURPOSE OF PROJECT	INDICATION OF WHICH STRATEGIC OBJECTIVE EACH PROJECT ADDRESSES
Sanctuary at Home	<p>Purpose of project:</p> <p>Provision for those experiencing domestic violence in the Tees Valley. Installation of security measures to allow those experiencing domestic violence to remain in own accommodation.</p>	<p>Strategic objective 4:</p> <p>To promote good management and targeted housing investment to address specific community and social needs.</p>
Disabled Facilities Grants	<p>Purpose of project:</p> <p>Adaptation of homes to provide assistance to non-mobile residents that will help them to live independently in their own homes.</p>	<p>Strategic objective 4:</p> <p>To promote good management and targeted housing investment to address specific community and social needs.</p>
Move, Adapt and Recycle Scheme	<p>Purpose of project:</p> <p>Incentives for home owners (where member of household is disabled) to buy a more suitable property and / or undertake adaptations at a reduced or equal cost that is more likely to meet their longer term needs.</p>	<p>Strategic objective 3 and 4:</p> <p>To secure the improvement and maintenance of existing housing. To promote good management and targeted housing investment to address specific community and social needs.</p>
Safe and Secure Scheme	<p>Purpose of project:</p> <p>Small repairs and minor adaptations within eligible older and disabled people's own homes</p>	<p>Strategic objective 3 and 4:</p> <p>To secure the improvement and maintenance of existing housing. To promote good management and targeted housing investment to address specific community and social needs.</p>
Incentive Packages - Access to Decent Homes	<p>Purpose of project:</p> <p>Incentives to assist residents to access decent homes in tenure of their choice by becoming owner-occupiers, social or private sector tenants.</p>	<p>Strategic objective 2, 3 and 4</p> <p>To ensure the type and mix of new housing provides choice, supports economic growth and meets housing needs and demand on an affordable basis. To secure the improvement and maintenance of existing housing. To promote good management and targeted housing investment to address specific community and social needs.</p>
Rural Housing Enabler	<p>Purpose of project:</p> <p>To identify development opportunities for affordable housing in rural areas through liaison with private developers and RSLs.</p>	<p>Strategic objective 2:</p> <p>To ensure type and mix of new housing provides choice and supports economic growth and meets housing needs and demand on an affordable basis.</p>









Tees Valley
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PARTNERSHIP IN ACTION



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CABINET REPORT

29th October 2007



Report of: The Director of Neighbourhood Services and
Director of Regeneration and Planning Services

Subject: MANAGING RADIOACTIVE WASTE SAFELY: A
FRAMEWORK FOR IMPLEMENTING
GEOLOGICAL DISPOSAL. A PUBLIC
CONSULTATION BY DEFRA, DTI AND THE
WELSH AND NORTHERN IRISH DEVOLVED
ADMINISTRATIONS

SUMMARY

1.0 PURPOSE OF REPORT

To advise Cabinet of the Government consultation paper, "Managing Radioactive Waste Safely: a framework for implementing geological disposal" and a potential response based on the comments of the Nuclear Legacy Advisory Forum (NuLeAF), the collaborative forum for local authorities with nuclear interests.

2.0 SUMMARY OF CONTENTS

The report refers to the background of work undertaken by the Committee on Radioactive Waste Management (CORWM) and the Government's response in agreeing in principle to an option of long term geological disposal of waste. The current Government consultation document is summarised, with details in Appendix 1. It sets out proposed arrangements for the identification of sites for such disposal, including consultation and regulation procedures. Cabinet's attention is drawn to a briefing paper prepared by NuLeAF which is suggested as the basis for a response to the Government's consultation paper. Whilst many aspects of the consultation paper's proposals are welcomed, NuLeAF raise various queries requiring further consideration and detail, particularly in relation to the definition of potential host communities and the assessment criteria for site selection.

3.0 RELEVANCE TO CABINET

The subject of radioactive waste management raises a range of physical, social and economic considerations for Hartlepool.

4.0 TYPE OF DECISION

Non key.

5.0 DECISION MAKING ROUTE

Cabinet, 29th October, 2007.

6.0 DECISION(S) REQUIRED

That the Cabinet endorses a response based on the NuLeAF.

Report of: The Director of Neighbourhood Services and
Director of Regeneration and Planning Services

Subject: MANAGING RADIOACTIVE WASTE SAFELY: A
FRAMEWORK FOR IMPLEMENTING
GEOLOGICAL DISPOSAL. A PUBLIC
CONSULTATION BY DEFRA, DTI AND THE
WELSH AND NORTHERN IRISH DEVOLVED
ADMINISTRATIONS

1. BACKGROUND

- 1.1 Members may recall previous reports to Cabinet on the work of the independent Committee on Radioactive Waste Management (CoRWM), who were advising Government on options for management.
- 1.2 In October 2006 the UK government and the devolved administrations published a response to the recommendations made by CoRWM. In their response they accepted CoRWM's main recommendation that geological disposal, preceded by safe and secure interim storage, was the way forward for the long-term management of the UK's higher activity radioactive wastes, and said that they would consult on a framework for implementing geological disposal.
- 1.3 The consultation document follows from that commitment and sets out the Governments proposals for:
 - The technical programme and aspects of design and delivery of a geological repository; and
 - The process and criteria to be used to decide the siting of a repository, including development of a volunteerism/partnership approach and the assessment and evaluation of potential sites
- 1.4 The purpose of the consultation document is to seek views on these issues, i.e. how to go about calling for expressions of interest from communities, and how a geological disposal facility should be developed. **Appendix 1** summarises the document.

2. CONSULTATION DOCUMENT

- 2.1 The consultation document summarised in Appendix 1 covers the following areas:

- being clear about the inventory of wastes to be managed, for discussion with potential host communities and for consideration in the design of disposal facilities
- the technical approach to developing a repository
- public and stakeholder engagement, with a key role for the Nuclear Disposal Authority to work in partnership with potential communities throughout the process of siting and developing facilities
- the system of regulations applying to the Site Licence Company that will develop and operate facilities. This will involve staged approvals by the appropriate specialised regulators
- the planning system to be applied, again involving staged approvals, and subject to the outcome of the current review of the planning system and how it relates to major developments of national significance
- the definition of host communities, the wider local interests and the local decision making bodies
- the issuing of a public invitation for communities to express an interest in taking part in the siting process
- geological screening of potential locations to exclude unsuitable areas
- assessment process for potential sites, including consultation arrangements, with criteria including level of community support, potential impacts on people and the environment
- a partnership approach to implementation
- packages of community benefits.

3. **RESPONSES**

- 3.1 NuLeAF, the collaborative forum for local authorities with nuclear interests, of which the Council is a member, has produced a briefing paper with comments on the issues raised by the consultation document. That paper is attached as **Appendix 2**. Your officers would endorse the comments of that paper as the basis of a response from the Council. Attention is particularly drawn to the comments in response to Questions 6 re defining “community” and Question 9 re the assessment criteria, which are set out below for ease of reference.

Question 6: Do you agree with this approach to defining ‘community’ for the purposes of the site selection process? If not, what alternative approach would you propose and why?

Preliminary comments on approach to defining community: the Government’s preference for an approach based on voluntarism and partnership is welcome. As is its recognition of “the important role that existing local democratic decision-making structures must play in a successful process as they are elected representatives with a mandate to speak for communities”. NuLeAF recognises that the proposed categories of ‘community’ will all have important roles to play within the siting process. However, there are three key aspects of Government’s proposed approach that raise significant concerns:

- The Government's proposal that local landowners or organisations could express an interest in having a repository built on their land, encourages a premature focus on specific sites. Identification of potential sites within a local authority area would be better managed once a Siting Partnership has been established and with explicit regard to local authority policies on the development of land and waste management. Any decision to undertake surface-based investigation of such sites should only be taken with the explicit support of the potential 'host community'.
- If any landowners or local bodies wish to express an interest, they should enter into discussions with their principal local authority/ies with a view to jointly making an approach to Government. The early involvement of the appropriate local authority/ies is necessary if the foundations are to be laid for the partnership approach that Government is seeking. Any attempts to by-pass the involvement of the local authority/ies could jeopardise the development of an effective partnership.
- The CD fails to make reference to the need for a formal local decision about whether to participate in the siting process. Government should recognise that the purpose of an initial expression of interest is to facilitate discussion and agreement about the steps that are needed to reach a formal local decision about participation. These steps include:

(a) reaching agreement about the local processes for decision-making;

(b) undertaking community engagement and assessment to inform the decision about participation; and

(c) the application of 'sub-surface' criteria to rule out local areas that are not suitable for repository development. The Government's omission of provision for a formal local decision about participation militates against an open and transparent process, and means that there is a considerable risk that an initial expression of interest will be misinterpreted as a decision to volunteer.

A failure on the part of Government to seriously address these concerns is likely to increase the risk that no local authorities will be found that will endorse participation in the siting process.

Question 9: Has Government identified the relevant assessment criteria? If not, what other criteria should be used? Do you have any comments on how the criteria should be applied at different stages?

Preliminary comments on the assessment criteria: the proposed criteria provide a check-list of the major issues that will need to be assessed. As such, they should be seen as providing a basis for further discussion within a Siting Partnership. It is expected that this discussion will develop and refine the criteria as appropriate to the stage of assessment and local circumstances. The Government should provide guidance, rather than be prescriptive in specifying criteria, their weighting and assessment methodology. It is important for local confidence and trust in the siting process, that the development of the criteria, weightings and methodology, and their application, can be undertaken in partnership between the relevant national and local players.

Preliminary comments on right of withdrawal: the Government's proposal that local decision-makers could exercise a right of withdrawal after desk-based and surface investigation stages is welcome. This right is an integral part of a siting process based on willingness to participate. As argued above, these decision-makers should also have opportunity to make a decision about participation at the start of the siting process, following community engagement. Further discussion is needed about whether there is a case for a more limited form of right of withdrawal between underground investigations and repository construction, based on specialist and regulatory assessment of the environmental safety case.

4. **RECOMMENDATION**

- 4.1 That the Cabinet endorses a response based on the NuLeAF briefing document at Appendix 2.

**Managing Radioactive Waste Safely: A Framework For Implementing
Geological Disposal**

Consultation Document

The Consultation Document consists of seven chapters covering different aspects of the implementation framework and asks a number of questions for comment throughout each of the chapters.

Chapter 1. Introduction

Provides largely historical background information on the stages of the MRWS programme and sets out the key players and their roles and responsibilities in the delivery of geological disposal.

Chapter 2. The Radioactive Waste Inventory

Outlines the types and quantities of radioactive waste in the 'baseline inventory'. CoRWM took a prudent approach, including the total amounts of radioactive wastes and other materials that could, possibly, come to be regarded as wastes in the future (depending on decisions on the future status of spent fuel, plutonium and uranium stocks). The baseline therefore includes both wastes and materials that already exist, those that could be generated as a result of current nuclear operational activities and those that could arise from the eventual decommissioning and clean up of existing nuclear sites. It highlights the need for flexibility and ongoing discussion with host communities about potential changes to the inventory for disposal, for example from re-categorisation of spent fuel, plutonium and uranium, and any new build.

Para 2.8 states. "Given these uncertainties, it is not possible to say at this stage exactly what the 'inventory for disposal' will be, and there is therefore a need for flexibility in the design of the geological disposal facility. It will be necessary to refine the inventory in the years to come however as the design evolves, and in order to engage in discussions with potential host communities. Communities will want a clear understanding of what could be disposed of, and where the uncertainties might be before they agree to the project going ahead."

The chapter also makes reference to the need for agreement on a mechanism or 'change control process' for updating the inventory after the final agreement with a community on the preferred site for repository development.

Question 1: Do you agree with this approach to compiling and updating the radioactive waste inventory and using it as a basis for discussion with potential host communities? If not, what would you propose?

Chapter 3. Outline implementation programme for geological disposal.

Technical Approach to Developing a Repository

- Describes a notional repository concept, including illustrations of shafts, tunnels and vaults. It makes reference to whether a repository should be designed to allow a period of extended underground storage of wastes prior to closure. After noting CoRWM's view that early closure is preferable, the document states that: "The Government ...on balance considers that CoRWM's conclusion was correct". Nonetheless, the document states that the repository will be designed and constructed such that extended retrievability is not excluded. It also states that in line with CoRWM's recommendations further research will be carried out to reduce uncertainties, support development of site-specific safety cases, and to optimise facility design and delivery.

Question 2: Do you have any comments on the proposed technical approach for developing a geological disposal facility, as set out in chapter 3?

Public and Stakeholder Engagement

- Outlines the Government's thinking on public and stakeholder engagement during the siting process:

Para 3.43 states; The UK Government's proposal is that the NDA should work in partnership with potential host communities throughout the process of geological disposal facility siting and development. It is principally through this mechanism, that the UK Government envisages that the NDA will engage with those members of the public and stakeholders who would be most affected by the development of a geological disposal facility.

Para 3.44 states: The NDA already engages widely with the public and with its current stakeholders, consulting on the work covered

by its Strategy and Annual Plans, using various mechanisms including a National Stakeholder Group and Site Stakeholder Groups at its sites.

Para 3.45 states: During the development of the geological disposal facility, the NDA will also seek to use stakeholder forums established by various interest groups and CoRWM in addition, NDA plans to undertake a range of further activities of public and stakeholder engagement at both national and local level as required. These are likely to include: holding workshops and seminars on specific aspects of geological disposal in response to demand; posting information on the NDA website and distributing interested parties; providing briefings and presentations; and working with the media. These activities will take place both during the consultation period and continue in a more focussed manner as the implementation process develops. These events will help raise awareness of the issues amongst stakeholders and enable them to provide input to its proposed arrangements for delivery of a geological disposal facility.

Question 3: Do you agree with the approach to public and stakeholder engagement set out here? If not, how do you believe your input could be better managed or your concerns addressed?

Chapter 4. Protecting people and the environment: regulation, planning and independent scrutiny and advice.

System of Regulation

- Provides a description of the regulatory regime applicable to the Site Licence Company (SLC) that will undertake repository development and operation. This will be undertaken by the regulatory bodies with the responsibilities for regulating nuclear sites; The Health and Safety Executive, The Environment Agency, The Office for Civil and Nuclear Security (OCNS) and The Department for Transport (DfT).
The suggestion is that a series of “hold points” will apply to the main regulatory steps. In particular: “it is envisaged that development of a geological disposal facility will be subject to staged authorisation by the environmental regulator. This implies a series of important hold-points as the development programme progresses. At each hold-point the developer submits an updated environmental safety case to provide

continuing assurance that the selected site will meet regulatory requirements.”

- It also notes that the “Government is reviewing whether or not the legislative and regulatory provisions available to the environmental regulators are sufficient to enable them to undertake the necessary staged authorisation process of the NDA’s geological disposal facility development.”

Question 4: Government believes the system of regulation outlined in paragraphs 4.2 to 4.14 is strong and robust in relation to a geological disposal facility. Do you agree? If not, what other regulation do you feel is necessary?

Proposed Planning Reforms

- Chapter 4 continues with an overview of planning issues. It explains that more than one planning permission will be needed during the siting programme, including for intrusive surface based investigations (e.g. boreholes), for underground investigations and for repository construction. It states that a “degree of staging” in the planning process for underground investigations and repository construction may be necessary, and that Government is considering how this might be done (para 4.20)
The Chapter outlines the reforms proposed in the planning White Paper. It then states that

4.23 The UK Government believes that the development of a geological disposal facility would be a major development of national significance. It may therefore need to be covered by the new arrangements set out for consultation in the planning White Paper. In this context, the UK Government is also considering the need to produce a National Policy Statement covering disposal of higher activity radioactive waste and the potential role of the Infrastructure Planning Commission. Both will need to fit with a voluntarism and partnership approach with a host community.

Question 5: Do you think the proposed planning reforms in England outlined in Chapter 4 should apply to the development of a geological disposal facility, and if so how could this be integrated with the voluntarism and partnership approach outlined in Chapter 5

Chapter 5. Site selection using a voluntarism and partnership approach.

Approach to Defining Community

- Sets out the Government's proposal for defining 'community' for the purposes of voluntarism and partnership. It envisages 'community' to have three dimensions:

Para 5.11 The community in which the facility will be built can be termed the '**Host Community**'.

Government proposes that 'Host Community' be a small geographically defined area, and include the population of that area and the owners of the land (if the latter are not members of the host community). It could be a town or village, but could be a smaller area.

Para 5.12 Outside this host community, there are likely to be other communities that have an interest in whether or not a facility should be built in the host community, and there needs to be a mechanism that allows them to become involved in the process. Such a community might be the next village, a community on the main transport routes to the host community, or even the whole democratic unit (e.g. county) within which the host community is situated. Government proposes that such communities be termed '**Wider Local Interests**'.

Para 5.13 Depending on the nature of the host community and the wider local interests they may have legal decision-making powers, which are generally vested in democratically elected representatives in councils. There are different local authority structures in different parts of the UK. For example in England local authorities include district councils, county councils, metropolitan district councils and London Boroughs and local authority areas may be single (unitary) or two tier in nature, whilst in Wales and Northern Ireland local authorities are unitary. It will be these branches of local government which have representative decision-making authority for their community. Government proposes that such communities be termed '**Decision Making Bodies**'.

The document goes on to state "Government believes that all three groups above, to the extent that they do not overlap, will need to liaise closely with one another. Government also believes that in practice both it and the NDA will have to engage with all three 'communities'. Government also believes that it is not desirable to be prescriptive about who could come forward with an initial expression of interest. There is nothing to stop a local landowner or organisation from proposing that a geological disposal facility be

built on land owned by them, but an expression of interest could just as easily come from a parish or district council.

The document then points out that Government will want to be satisfied that “an expression of interest” is credible. It suggests that credibility might be demonstrated by:

- A local decision-making body having canvassed local opinion on the issue, having provided information to its electorate, and by it being able to establish and demonstrate (possibly with independent verification) a high level of support from a particular host community for starting discussions with the Government;
- A host community and decision making body having started to discuss the issue with wider local interests; or and perhaps most convincingly,
- All community interests (i.e. host community, wider local interests and decision-making bodies) having organised themselves in a partnership for the purposes of taking part in the siting process.

Question 6: Do you agree with this approach to defining ‘community’ for the purposes of the site selection process? If not, what alternative approach would you propose and why?

Providing information and issuing invitations

- The Chapter goes on to explain that the Government proposes to undertake a programme of awareness raising and information dissemination. Working with NDA, NuLeaf and CoRWM, it proposes to prepare an information pack for interested communities.
- It also explains that once it has announced its framework for implementation (a White Paper is expected in the first part of 2008), Government will issue a public invitation for communities to express an interest in taking part in the siting process. It proposes that “a potential host community should advise UK Government, or the appropriate devolved administration government, that it has an interest in entering into discussions about the siting process..2. It adds that “ In doing so it should indicate the level of support within the host community and indicate any approaches that have been made to, and the level of support secured from, the relevant decision-making bodies and wider local interests”

Question 7: Do you agree with the proposals for providing information to communities and the way the government proposes to issue invitations?

Initial Sub-Surface Screening Criteria

- The Chapter also explains that the Government wishes to establish at the earliest opportunity whether the geology or sub-surface characteristics in the area of an interested community is unsuitable for developing a repository. To do this it established two expert groups to develop criteria that could be used as part of an initial high-level exercise to exclude unsuitable areas from further consideration. The two groups concluded that “a safe disposal system could be designed in a wide variety of UK geological environments and settings”, and identify two main exclusion factors:
 - The risk of accidental intrusion into a geological disposal facility by future generations seeking to extract resources; and
 - The need to protect the quality of exploitable groundwater used as a source of water supply.
- Government proposes that once communities have made an initial expression of interest, the British Geological Survey (BGS) would apply the criteria to eliminate any sites that are obviously unsuitable. The BGS would make a draft report available for review prior to completion and publication.

Question 8: Do you believe that the initial sub-surface screening criteria proposed by the expert panel are correct? Do you believe that the way in which Government proposes to apply these criteria in the process is correct? If not, how could this be done differently?

Assessment of Potential Sites

- The Chapter goes on to outline three subsequent stages in the site selection:
 - Desk-based studies of sites not screened-out by sub-surface criteria
 - Surface-based investigations of remaining candidates to identify a preferred site

- Underground investigations and construction
- After each of the first two stages Government proposes that the host community would consider the NDA's assessments and "make recommendations to its local decision-making bodies about whether to proceed to the next stage". The decision-making bodies (local authorities) would then decide whether they wish to proceed to the next stage.
- The document explains that because underground investigation and construction are specific to one site and involve very significant expenditure, Government proposes that the local 'right of withdrawal' would end prior to that stage.
- The document then refers to a set of criteria for use in assessing sites:
 - level of community support
 - geological setting
 - potential impact on people
 - potential impact on the nature environment and landscape
 - effect on local socio-economic conditions
 - transport and infrastructure provision and
 - cost, timing and ease of implementation
- Government acknowledges that not all criteria may be relevant at every stage and that they may have a different weight in different assessments. Following this consultation, Government "will decide on the criteria to be used and their relative weighting, and will publish a methodology for their use"
-

Question 9: Has Government identified the relevant assessment criteria? If not, what other criteria could be used? Do you have any comments on how the criteria should be applied at different stages?

Community Partnerships

- The document highlights that the siting process will require considerable engagement by communities. While it does not intend to be prescriptive about how this engagement is undertaken, Government "does favour a partnership approach". It states that a partnership "could provide a forum for the host community and the implementer to exchange information and views and for the partnership to advise the decision-making

bodies and the NDA... The document then sets out the possible role and membership of a partnership, and its relationship to national bodies. It states that "in some cases decision-making bodies might take the lead in establishing partnerships with the host community and wider interests"

Question 10: Do you have any comments on whether and how a partnership arrangement could be used to support a voluntarism approach?

Engagement Packages

- The document explains that "Government acknowledges the point made by CoRWM and NuLeaf that communities may incur costs from taking part in the site selection process and may expect Government to contribute to these costs" It notes that such packages have been used in other countries to fund local partnerships, and that funds are underpinned by formal agreements covering:
 - Partnership costs-core staff and administration, overheads, out of pocket expenses of participants, access to independent advice;
 - Local authority costs-additional officers, attending meetings, access to independent advice;
 - Wider community engagement-information provision, engagement events.
- Government indicates that "prospective host communities and local decision-making bodies are best placed to judge what work is likely to be needed, including the setting up and running of partnerships, and what this might cost. It does not therefore propose at this point to predetermine the level of funding needed"

Question 11: Do you agree that the work of communities and/or partnerships should be funded by Government through an engagement package? If so, what activities do you think it would be reasonable to expect Government to fund?

Community Benefits Packages

- The Chapter also covers 'Community Benefits Packages'. It notes that direct and indirect benefits would accrue to a community from hosting the multi-million pound repository project. It refers to NuLeaf's proposals that a benefits package should contribute to the sustainable development of the affected area and the well being of local communities and their descendants, and to illustrate

examples of the elements included in benefits packages in other countries.

- The document then states that “Government does not believe it sensible to determine as part of this consultation how existing or specific mechanisms could be used, or to define the level or nature of benefits. Instead it believes that any benefits packages should be developed between communities, the NDA and Government as discussions progress, taking into account affordability and value for money considerations”.

Question 12: How best can Government and the NDA ensure that the development of a geological disposal facility delivers lasting benefits to the host community? Should this involve the use of benefits packages and if so how might this best be achieved, taking into account the need to make the best use of public funds?

6.6 APPENDIX 2

Preliminary comments from NuLe AF briefing paper 10

Question 1: Do you agree with this approach to compiling and updating the radioactive waste inventory and using it as a basis for discussion with potential host communities? If not, what would you propose?

Preliminary Comments on Changes to the Inventory: The suggestions in the CD are welcome. Further confidence in ways of handling substantive increases to the inventory could be generated by explicitly adopting CoRWM's recommendation that any such increase will require an additional step in the negotiation process with host communities to allow them to take a decision to accept or reject any additional waste. The implementation framework would benefit from explicit adoption of the CoRWM recommendation.

Technical Approach to Developing a Repository

Chapter 3 of the CD describes a notional Repository concept, including illustrations of shafts, tunnels and vaults. It makes reference to whether a repository should be designed to allow a period of extended underground storage of wastes prior to closure. After noting CoRWM's view that early closure is preferable, the CD states that: "The Government ... on balance considers that CoRWM's conclusion was correct".

Nonetheless, the CD states that the repository will be designed and constructed such that extended retrievability is not excluded (para 3.20).

Chapter 3 also states that in line with CoRWM's recommendation further research will be carried out to reduce uncertainties, support development of the site-specific safety cases, and to optimise facility design and delivery (para 3.21).

Question 2: Do you have any comments on the proposed technical approach for developing a geological disposal facility, as set out in Chapter 3?

Preliminary Comments on Retrievability: The commitment not to exclude extended retrievability is welcome. NuLeAF believes that the issue of whether to design a repository for an extended period of underground storage prior to closure should be

discussed and agreed with potential host communities during the siting process. NuLeAF has produced a Briefing Paper to inform debate about the pros and cons of early versus delayed closures.

Preliminary Comments about Research: The commitment to undertake further research in accordance with CoRWM's recommendation is welcome. It will be essential that this is done in an open and transparent way, so that stakeholders can see what research is being undertaken, and understand the way it contributes to the reduction of uncertainties and development of site specific safety cases.

Question 3: Do you agree with the approach to public and stakeholder engagement set out here? If not, how do you believe your input could be better managed or your concerns addressed?

Preliminary Comments on Public and Stakeholder Engagement: The Government's proposal that the NDA will work in partnership with potential host communities through the siting process is welcome. Government should also expect repository development to feature as a key aspect in the NDA's stakeholder engagement plan, so that there is clarity about the timing of the NDA's different national and local engagement activities on repository development, and the objectives of those activities. In addition, it is important that Government itself takes a more programmatic approach to its stakeholder engagement activities up to the point when NDA takes the lead. It is disappointing that the Government was unable to announce at the launch of the current consultation what engagement activities would take place to complement the formal process of commenting on the CD document. The quality of the Government's engagement programme will be an important factor in determining the success or otherwise of the early part of the siting process (see also comments below on the invitation process).

Question 4: Government believes the system of regulation outlined in paragraphs 4.2 to 4.14 is strong and robust in relation to a geological disposal facility. Do you agree? If not, what other regulation do you feel is necessary?

Preliminary Comment on the System of Regulation: the proposed staged approach to regulation, with important hold-points as development progresses, is welcome. It will be important to align this approach with right of withdrawal and planning decisions during the siting process. NuLeAF is involved in discussions with NDA and the Environment Agency about how to do this. It should be noted that the EA considers that amendments to the Radioactive Substances Act are required to ensure a legislative underpinning to their early and step-wise involvement in the siting process, particularly regarding regulatory consents at key stages. This would help provide strong and effective environmental regulation through the siting process.

Question 5: Do you think the proposed planning reforms in England outlined in Chapter 4 should apply to the development of a geological disposal facility, and if so how could this be integrated with the voluntarism and partnership approach outlined in Chapter 5?

Preliminary Comment on applicability of proposed planning reforms: the Government statement that proposed planning reforms will need to fit with a voluntarism and partnership approach is welcome. NuLeAF has set out proposals for how the siting process should take into account planning requirements and a right of withdrawal on the part of participating communities⁶. These proposals provide a basis for discussion about how the planning reforms could be integrated with the voluntarism and partnership approach. An important point to note is that if NuLeAF's proposed approach is followed, and a local right of withdrawal has not been exercised, it could be expected that the planning application for repository construction will be supported by the local Siting Partnership and Planning Authority. In such circumstances, it is not clear what purpose would be served by referring the planning application to the Infrastructure Planning Commission for determination.

With regard to a "degree of staging" in the planning process, further clarification is needed about what this might entail. NuLeAF is pursuing these issues in discussion with Government, the NDA and the regulators.

Question 6: Do you agree with this approach to defining 'community' for the purposes of the site selection process? If not, what alternative approach would you propose and why?

Preliminary comments on approach to defining community: the Government's preference for an approach based on voluntarism and partnership is welcome. As is its recognition of "the important role that existing local democratic decision-making structures must play in a successful process as they are elected representatives with a mandate to speak for communities". NuLeAF recognises that the proposed categories of 'community' will all have important roles to play within the siting process. However, there are three key aspects of Government's proposed approach that raise significant concerns:

- The Government's proposal that local landowners or organisations could express an interest in having a repository built on their land, encourages a premature focus on specific sites. Identification of potential sites within a local authority area would be better managed once a Siting Partnership has been established and with explicit regard to local authority policies on the development of land and waste management. Any decision to undertake surface-based investigation of such sites should only be taken with the explicit support of the potential host community'.
- If any landowners or local bodies wish to express an interest, they should enter into discussions with their principal local authority/ies with a view to jointly making an approach to Government. The early involvement of the appropriate local authority/ies is necessary if the foundations are to be laid for the partnership

approach that Government is seeking. Any attempts to by-pass the involvement of the local authority/ies could jeopardise the development of an effective partnership.

- The CD fails to make reference to the need for a formal local decision about whether to participate in the siting process. Government should recognise that the purpose of an initial expression of interest is to facilitate discussion and agreement about the steps that are needed to reach a formal local decision about participation. These steps include:

(a) reaching agreement about the local processes for decision-making;

(b) undertaking community engagement and assessment to inform the decision about participation; and

(c) the application of 'sub-surface' criteria to rule out local areas that are not suitable for repository development⁷. The Government's omission of provision for a formal local decision about participation militates against an open and transparent process, and means that there is a considerable risk that an initial expression of interest will be misinterpreted as a decision to volunteer.

A failure on the part of Government to seriously address these concerns is likely to increase the risk that no local authorities will be found that will endorse participation in the siting process.

Question 7: Do you agree with the proposals for providing information to communities and the way Government proposes to issue invitations?

Preliminary comment on issuing invitations: the Government's proposal to work with NuleAF and others on the preparation of information materials is welcome. However, the way it proposes to issue invitations is problematic because it encourages a premature focus on specific sites and places insufficient emphasis on the role of the relevant decision-making bodies in this key initial step in the siting process. The basis for this view is set out in response to Q6. The Government also proposes that considerable effort be put into gauging the level of community support prior to an initial expression of interest (eg see para 5.15), when that effort needs to be taken to inform a formal local decision about whether to participate⁸. This suggests a lack of clear thinking about the distinction between an expression of interest and a formal decision about participation.

Question 8: Do you believe that the initial sub-surface screening criteria proposed by the expert panel are correct? Do you believe that the way in which Government proposes to apply these criteria in the process is correct? If not, how could this be done differently?

Preliminary comments on the initial sub-surface screening process: The proposed approach is likely to be appropriate as long as it is clearly understood that the objective is to identify excluded areas in order to inform local decision-making about whether to participate in the siting process. This objective would ensure that the application of the criteria is limited as far as practicable to the provision of information about areas that should be excluded, rather than part of a premature attempt to identify potential sites for repository development. As argued above, it is preferable for the initial identification of potential sites within an area to be approached systematically once a decision to participate has been taken and a Siting Partnership is up and running.

The proposals to use the BGS to apply the criteria and to publish the findings are welcome. The implementation framework should also specify that the relevant local authority/ies will be the local point of contact for the BGS. This would assist coordination in local authority areas if a situation arises where there is more than one interested 'host community', and would be appropriate where a local authority wishes to know which local areas within its boundaries are not suitable for repository development.

Question 9: Has Government identified the relevant assessment criteria? If not, what other criteria should be used? Do you have any comments on how the criteria should be applied at different stages?

Preliminary comments on the assessment criteria: the proposed criteria provide a check-list of the major issues that will need to be assessed. As such, they should be seen as providing a basis for further discussion within a Siting Partnership. It is expected that this discussion will develop and refine the criteria as appropriate to the stage of assessment and local circumstances. The Government should provide guidance, rather than be prescriptive in specifying criteria, their weighting and assessment methodology. It is important for local confidence and trust in the siting process, that the development of the criteria, weightings and methodology, and their application, can be undertaken in partnership between the relevant national and local players.

Preliminary comments on right of withdrawal: the Government's proposal that local decision-makers could exercise a right of withdrawal after desk-based and surface investigation stages is welcome. This right is an integral part of a siting process based on willingness to participate. As argued above, these decision-makers should also have opportunity to make a decision about participation at the start of the siting process, following community engagement. Further discussion is needed about whether there is a case for a more limited form of right of withdrawal between underground investigations and repository construction, based on specialist and regulatory assessment of the environmental safety case.

Question 10: Do you have any comments on whether and how a partnership arrangement could be used to support a voluntarism approach?

Preliminary comments on Community Partnerships: the Government's proposals for community partnerships are welcome, and are largely consistent with NuLeAF's preconsultation input.

The Government should give encouragement to the setting up of local partnerships in participating areas, and prepare guidance to ensure that the partnerships provide effective vehicles for local involvement in the siting process. It is important that the timetable for the siting process allows sufficient time for local discussion and negotiation to enable a shared local vision to be developed about the mission, role and organisation of a local partnership. A partnership must have sufficient time to get up to speed and function effectively in the siting process.

Question 11: Do you agree that the work of communities and/or partnerships should be funded by Government through an engagement package? If so, what activities do you think it would be reasonable to expect Government to fund?

Preliminary comment on engagement packages: the Government's proposals are welcome. It will be important that the work of partnerships and participating local authorities receives adequate funding from Government. These proposals are largely consistent with NuLeAF's pre-consultation input¹⁰. Government should also provide a commitment to meet the costs of the key steps leading to a decision to participate in the siting process (including community engagement to inform that decision). These early costs can be identified and agreed in discussions between Government and local authorities that have expressed an interest in participation.

Question 12: How best can Government and the NDA ensure that the development of a geological disposal facility delivers lasting benefits to the host community? Should this involve the use of benefits packages and if so how might this best be achieved, taking into account the need to make the best use of public funds?

Preliminary comment on benefits packages: in order to provide sufficient incentive for participation in the siting process, Government should provide a clear commitment that a benefits package in addition to the direct and indirect benefits from repository development will be provided. It should make clear its commitment to honour a benefits package negotiated and agreed by the relevant parties within the siting process.

A geological repository will be a highly controversial development. The scale of the benefits package will have to enable local judgements to be made that the overall benefits outweigh the actual and perceived detriments. A lack of certainty that a substantive package will be available could increase the risk that no local authorities will be found that will endorse participation in the siting process.