PLEASE NOTE VENUE

PERFORMANCE PORTFOLIO

DECISION SCHEDULE

HARTLEPOOL
BOROUGH COUNCIL

Friday 16th November 2007

at 3.00 pm

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

Councillor Hargreaves, Cabinet Member responsible for Performance will consider the following items.

1. **KEY DECISIONS**
    No items

2. **OTHER ITEMS REQUIRING DECISION**
    2.1   Corporate Employee Development and Performance Appraisal Policy and Appraisal Scheme – *Chief Personnel Officer*

3. **ITEMS FOR INFORMATION**
    3.1   Corporate Complaints – July to September 2007 – *Assistant Chief Executive*
    3.2   Employee Attendance 2007/8 – 2nd Quarter – *Chief Personnel Officer*
    3.3   Half Yearly Diversity Report – *Chief Personnel Officer*
    3.4   Review of Strategic Risk Register – *Assistant Chief Executive*

4. **REPORTS FROM OVERVIEW OF SCRUTINY FORUMS**
    No items

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

PLEASE NOTE VENUE

5. **ITEMS FOR DISCUSSION / INFORMATION**

    5.1   Amendment to Recruitment and Retention Increment Scheme – *Chief Personnel Officer* (Para 4)

PERFORMANCE PORTFOLIO

16th November 2007

Report of: Chief Personnel Officer

Subject: CORPORATE EMPLOYEE DEVELOPMENT AND
PERFORMANCE APPRAISAL POLICY AND
APPRAISAL SCHEME

SUMMARY

1.   PURPOSE OF REPORT

To seek Portfolio Holder endorsement to amend the Council's corporate
employee development and performance appraisal policy and appraisal
scheme.

2.   SUMMARY OF CONTENTS

The report sets out the proposed amendment and the reasons for
change.

3.   RELEVANCE TO PORTFOLIO MEMBER

Corporate issues.

4.   TYPE OF DECISION

Non-key decision.

5.   DECISION MAKING ROUTE

Portfolio Holder only.

6.   DECISION(S) REQUIRED

That the Portfolio Holder endorses the proposed corporate employee
development and performance appraisal policy and appraisal scheme.

Report of: Chief Personnel Officer

Subject: CORPORATE EMPLOYEE DEVELOPMENT AND
                     PERFORMANCE APPRAISAL POLICY AND
                     APPRAISAL SCHEME

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1. **PURPOSE OF REPORT**

1.1   To seek Portfolio Holder endorsement of the Council's revised corporate
       employee development and performance appraisal policy (the policy)
       and appraisal scheme (the scheme).

2. **BACKGROUND**

2.1   The current policy and scheme have been in place since October 2003.

2.2   The Workforce Development Strategy 2007-2012 set out an objective to
       revise and update the scheme during this financial year and that the
       revised scheme would be competency based.

2.3   A sub-group of the Strategic Workforce Planning and Development
       Group was formed in June 2007, consisting of representatives from each
       department to update the scheme. A similar group was established at
       the same time to develop a competency framework. The plan was to
       combine the two documents once produced.

3. **PROPOSED CORPORATE EMPLOYEE DEVELOPMENT AND
    PERFORMANCE APPRAISAL POLICY AND APPRAISAL SCHEME**

3.1   A copy of the proposed scheme is at **Appendix A**. If approved, this
       revised scheme will begin its roll-out across the authority in February
       2008, in line with the corporate timeline stipulated for appraisals within
       the document.

3.2   It is worth noting that it is only the scheme that has been revised and
       updated. The policy on appraisal remains unchanged.

3.3   A scheduled programme of training has been developed for managers to
       communicate the scheme and how to use it effectively.

3.4   Briefings for employees on the revised scheme are planned for the New
       Year.

4.   TRADE UNION COMMENTS

4.1   The Hartlepool Joint Trade Union Committee (HJYUC) has been consulted on the proposed scheme and they have endorsed it.

5.   EQUALITY & DIVERSITY CONSIDERATIONS

5.1   A diversity impact assessment (DIA) has been completed for this revised scheme.

6.   FINANCIAL CONSIDERATIONS

6.1   As the revised scheme has been developed within the authority by a group of Officers, the financial cost to date has been minimal. Training on the new scheme for managers and other employees will be funded from the existing corporate training budget.
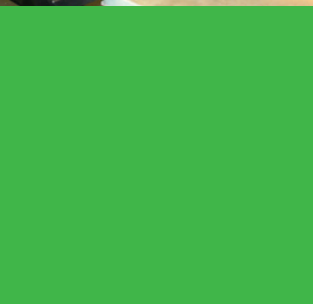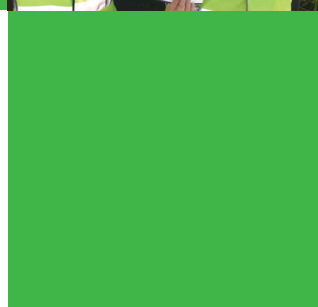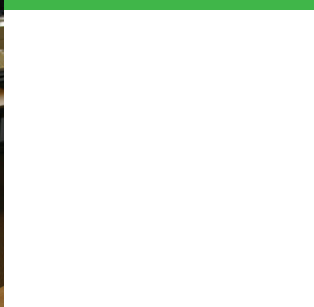
7.   RECOMMENDATION

7.1   That the Portfolio Holder endorses the corporate employee development and performance appraisal policy and appraisal scheme.

8.   CONTACT OFFICER

8.1   The Contact Officer is Lucy Armstrong, Corporate Workforce Development Manager, available on 01429 523476 or lucy.armstrong@hartlepool.gov.uk

Hartlepool Borough Council

CORPORATE EMPLOYEE DEVELOPMENT AND PERFORMANCE APPRAISAL POLICY AND APPRAISAL SCHEME

HARTLEPOOL
BOROUGH COUNCIL

"creating **tomorrow's** workforce **today**"

Published October 2007

Content | Page

Introduction

CORPORATE EMPLOYEE DEVELOPMENT AND PERFORMANCE APPRAISAL POLICY

Hartlepool Borough Council believes that appraisals are essential for the personal development of its people and the success of the organisation.

During 2007, a Strategic Workforce Planning Group consisting of representatives from each department reviewed and updated the council-wide appraisal scheme based on the success of the Neighbourhood Services department pilot of a competency based appraisal scheme.

The Scope

This policy applies to all council employees, with the exception of teachers (who have their own separate scheme) and those employed for less than 12 months in any one period of continuous service.

The appraisal scheme follows on logically from a structured induction period. Those employees whose contracts last for less than 12 months should have training and development needs identified and performance monitored through this induction process.

This group would include casual and temporary appointments, including those who are covering sickness or maternity leave. The Corporate Workforce Development Team can advise on the correct approach to take with these employees.

What is an appraisal?

Appraisal is essentially an opportunity for you and your manager to get together and discuss job performance, set specific objectives and targets to be achieved over the coming year and assess your current and future training and development needs. It is not a top down process but an opportunity for open and honest discussion.

Appraisal is an important part of the performance management process at Hartlepool Borough Council. Appraisal helps you to identify with your manager how best to improve your performance and, in doing so, help improve the Council's overall performance.

What is the purpose of appraisal?

Hartlepool Borough Council is committed to operating an appraisal scheme in order to:-

☐ Clarify individuals' roles and expectations of them and show how their activity contributes to departmental/organisational efficiency, objectives and aims
☐ Identify training and development needs and set out plans to meet them
☐ Establish performance targets that are specific, measurable, attainable, resourced, and time-bound
☐ Analyse and address barriers to effective performance
☐ Identify actions which contribute to corporate or service objectives

This will help employees become better at doing their proper jobs, which in turn should mean that individuals can succeed and develop, managers can monitor progress and tackle problems, and the authority can meet its strategic objectives and provide a best value service to the public.

What are the benefits of appraisal?

Appraisal offers you the opportunity to receive feedback on how you are doing, to understand what is expected of you and to discuss with your manager any barriers you experience to your success. It is also an opportunity to discuss your training and development needs and to highlight any longer term aspirations you may have.

In order for appraisal to achieve its full potential, you need to approach it positively, prepare for it and accept your responsibility for performance improvement.

Key principles of the Hartlepool Borough Council Appraisal Scheme

- Appraisal is integrated with other processes such as regular supervision (1:1s), team meetings and training and development.

- Appraisal reflects on (rather than substitutes) regular performance dialogue undertaken in supervision (1:1s) and team meetings.

- Competencies are used as the common denominator.

- Focus is less on performance assessment and more on performance development.

- Focus is not just on what an individual achieves but also the way they have achieved it.

- Appraisal is 'owned' by everyone not just HR.

- Individual objectives relate to wider organisation plans (service, department and corporate).

- Individual development relates to organisation needs rather than individual preferences.

- Focus is on the discussion and shared understanding and agreement that comes out of appraisal, rather than on simply completing the forms.

- Responsibility for performance development is shared between managers and their staff.

- Agreed outcomes from appraisal need to be incorporated into day-to-day activities.

- Appraisal is not linked to an individual's pay.

- Appraisal is not used as a tool for selecting people for redundancy.

- Appraisal is not used as a criteria to rate individuals against one another.

- Appraisal will be operated separately from any disciplinary process.

- Records of appraisal meetings will be treated in the strictest of confidence and will be kept in the employee's department.

Equality in Appraisal

It is essential that appraisers treat all staff fairly and equally in the appraisal process.

As a mechanism for measuring performance, the process of appraisal helps to identify staff development and training needs and other specific requirements to enable continuous satisfactory performance.

The Council is committed to providing equality of opportunity for its workforce and it is essential that each job-holder's performance is considered in an impartial and objective manner.

Appraisers and "grandparents" must be particularly alert to the possibility of unintentional discrimination. This can occur when assumptions are made about the abilities, expectations or ambitions of staff or when judgements are based on stereotypes rather than an individual's performance. This can prevent staff from being allowed the opportunity to develop to their full potential and, as a result, may have an adverse impact on the way we conduct our business.

Under the terms of the Disability Discrimination Act and the Council's commitment to the Positive About Disabled People Scheme, (Two Ticks Symbol), the appraisal meeting may be used by an appraiser and the individual to identify and remove "barriers to performance". This could be done by making reasonable adjustments such as additional training, equipment and / or adaptations to working arrangements, procedures etc.).

Similarly, if any employee is from an Ethnic Minority background, there should be provision within the appraisal for them to discuss any matters affecting them, such as holiday, prayer time, or dietary issues. Adjustments to working arrangements can be discussed to take into account specific needs relating to religion or culture. Whilst this is good practice, there is also a statutory duty within the Race Relations (Amendment) Act 2000 to promote racial equality in employment. In either case, the departmental Diversity representatives can provide appropriate advice and guidance in the first instance.

Appraisal is about identifying performance barriers and setting realistic yet challenging objectives. Individual capacity is an important component of this. Consequently, the appraisal interview is a suitable place in which to discuss things such as workload or day to day work pressures, and how both the individual and the organisation manage these.

Competencies

OUTLINE OF THE SCHEME

As with all public sector organisations, change is constant. There are always a number of new agendas and policies to respond to, and we need to ensure that our people have the right knowledge, skills and attributes to meet the challenges they face in the workplace and whilst delivering high quality customer focused services.

Many public sector bodies are producing frameworks, which describe the skills, knowledge and behaviours for public sector workers. In January 2006, the Employers Organisation for Local Government produced a toolkit which provides an overarching structure for local government, called the national framework.

This toolkit provides clear and concise advice and guidance which has assisted Hartlepool Borough Council to build our own competency framework. The national framework has 3 key elements, and these are mirrored in the HBC framework:

Values / drivers – What needs to be achieved
Competencies – How values / drivers are to be achieved
Characteristics – What individuals use when trying to achieve

The HBC framework strives to be relevant to all areas and levels of the Authority, clear and easy to use. We are a small authority and people are our greatest resource - we need to get the best out of our people. This framework supports organisational performance improvement. The focus being on enabling change for the better, improving the experience of the individual working in Hartlepool Borough Council and as a result ensuring the service we provide to local people are continuously improved by investing in our people and ensuring that our workforce is developed and we are prioritising and targeting any areas of weakness. Therefore this framework will be used as an integral part of our performance appraisal process to develop our employees.

Competencies

The framework is easy to follow. There are seven values which underpin everything we do and these are shown in the pink ring on the diagram on page 3. The blue ring shows the key competencies driven by the seven values and the yellow ring shows further competencies which may be applicable in more specialist and senior roles.

Four of the seven values are considered core values for all employees, and a fifth considered a core value for all managers. This means that the key competencies driven by each of these core values should be considered as a minimum in any competency discussion eg, during appraisal. These competencies have a star (*) next to them in the diagram and the descriptors to make them easier to identify.

Level indicators

Level 5 - Continuously exceeds requirements of role
possible candidate for career development

Level 4 - On occasion exceeds requirements of role
possible mentor for new staff

Level 3 - Meets the requirements of the role
would benefit from being mentored to meet next level

Level 2 - On occasion does not demonstrate the requirements of the role
Training Need (medium)

Level 1 - Regularly does not demonstrate the requirements of the role
Training Need (High)

The Competency Framework — Hartlepool Competency Framework

Center: Hartlepool Competency Framework

Segment 1 — Promoting Equality & Diversity*
- 1.1 Promoting Equality*
- 1.2 Valuing Diversity*
- 1.3 Managing Service related Diversity Issues
- 1.4 Knowledge of Equality Standard for Local Government

Segment 2 — ICT* & Communication*
- 2.1 IT supported Communication*
- 2.2 IT Application Skills*
- 2.3 Managing Information
- 2.4 Using ICT to Plan for the Future
- 2.5 Oral*
- 2.6 Written*
- 2.7 Reading*
- 2.8 Listening*
- 2.9 Report Writing
- 2.10 Presentation Skills
- 2.11 Persuasive Communication

Segment 3 — Healthy and Safe Working*
- 3.1 Managing Own Health and Safety*
- 3.2 Managing Health & Safety of Others
- 3.3 Managing Facilities / Premises

Segment 4 — Quality & Service Improvement*
- 4.1 Continuously Improving the Customer Experience*
- 4.2 Providing Excellent Services
- 4.3 Understanding Customer Needs

Segment 5 — Leadership & Direction* (Managers only)
- 5.1 Motivating Others* (Managers only)
- 5.2 Problem Solving* (Managers only)
- 5.3 Developing Others
- 5.4 Leadership Skills
- 5.5 Managing People
- 5.6 Managing Performance

Segment 6 — Specialist Knowledge
- 6.1 Technical Expertise
- 6.2 Professional Expertise

Segment 7 — Managing Self
- 7.1 Self Awareness
- 7.2 Personal development
- 7.3 Team work
- 7.4 Organisational & Political Awareness
- 7.5 Delivering Results
- 7.6 Workforce Planning

Appraisal Process

The appraisal process is split into two parts, an appraisal meeting and a training review meeting. The appraisal meeting is the opportunity to:

FEBRUARY
Departmental Management Teams complete appraisals

MARCH
Senior Management Teams complete appraisals

APRIL – JULY
All other staff complete appraisals

OCTOBER – NOVEMBER
All staff complete training reviews

- Review achievements and actions over the last year
- Discuss performance
- Set specific objectives and targets to be achieved over the coming year
- Discuss any barriers to success
- Discuss any issues or needs
- Highlight any longer term aspirations.

There is also an opportunity to discuss any urgent training and development needs, although general and longer-term training and development needs should be discussed in greater detail during the training review meeting.

Appraisal meetings should be carried out within a six month time frame from February, with a final deadline of 31 July for all appraisal meetings to be completed.

Appraisal meetings will be carried out via a cascading method, with no-one conducting appraisal meetings without first receiving their own appraisal. Departmental Management Team appraisals will therefore be carried out in February, Senior Management Team appraisals in March and all other staff appraisals from April until July.

The training review meeting is the opportunity to review training and development undertaken over the last year; identify and plan to meet any new and outstanding training and development needs.

There is also an opportunity to discuss any issues that were not covered in, or that have arisen since, the appraisal meeting earlier in the year such as barriers to success, issues, needs and longer term aspirations.

Training review meetings should be carried out in October and November.
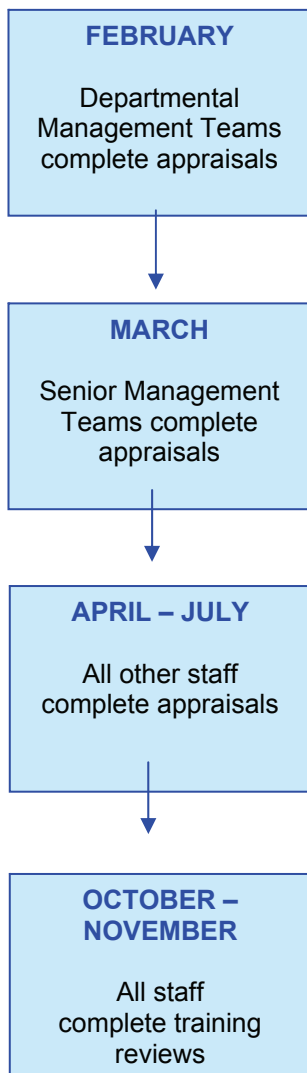
Preparing for the Appraisal

All appraisers should ensure they have completed the Council's Appraisal Training prior to conducting appraisal and training review meetings. Training is available by contacting your departmental workforce development representative.

It is an appraiser's responsibility to organise appraisal meetings and training review meetings with their staff and arrange suitable dates, times and venues for the meetings. It is important that appraisal and training review meetings are held in private and that both appraiser and appraisee will be undisturbed. You should allow up to two hours for each meeting.

Appraisal meeting preparation

Appraisers should decide prior to an appraisal meeting which competencies they wish to appraise a member of staff against. All staff must be appraised against the core competencies, and so these are already listed in the notification of appraisal meeting and appraisal form, but there may be other competencies which are also relevant to the individual's role.

Appraisers should inform a member of staff of the competencies being appraised when issuing the notification of appraisal meeting letter. This letter should be issued at least two weeks prior to the appraisal being carried out and should be accompanied by the following:

- Copy of last appraisal

- Current job description

- Relevant service plan extracts.

Within one week of the appraisal meeting, the appraisee should supply the appraiser with a list of any specific items they wish to discuss, if any, so that both parties have time to prepare for the meeting.

Prior to the appraisal meeting, both the appraiser and the appraisee should spend some time considering the performance of the appraisee against the chosen competencies, record the level they feel applies, and take these with them to the appraisal meeting.

Training review meeting preparation

Appraisers should issue the notification of training review meeting letter at least two weeks prior to the training review being carried out. This letter should be accompanied by the following:

- Copy of last training review

- Other historical training records

- Relevant training profile extracts (if your department has these).

Within one week of the training review meeting, the appraisee should supply the appraiser with a list of any specific items they wish to discuss, if any, so that both parties have time to prepare for the meeting.

Recording Appraisal Discussions

It is important to have a record of what is discussed and agreed at appraisal and training review meetings as managers and appraisees will need to refer to these at subsequent reviews.

The appraisal and training review forms have been created to facilitate meeting discussions and the recording of these discussions.

The appraisal form is divided into four parts:

- Review of last year

- Performance chart (assessment of competencies)

- Action plan

- Discussion notes and appraisal sign off.

The training review form is divided into three parts:

- Review of training and development

- Personal development plan

- Discussion notes and appraisal sign off.

The appraiser is responsible for recording appraisal and training review meeting discussions on the forms. The forms may be hand-written or word-processed.

Once an appraisal or training review form is completed, the appraisee should study this and add any comments if he or she wishes to do so. The form should then be passed to a 'grandparent' manager who is normally the appraiser's immediate supervisor in the department.

Recording Appraisal Discussions

OUTLINE OF THE SCHEME

The 'grandparent' manager's role is to take an overview of all appraisals and training reviews carried out by that particular appraiser and provide guidance or intervention if needed. The 'grandparent' should also inform the relevant departmental workforce development representative that an appraisal or training review has been completed.

Records of appraisals and training reviews should be kept by the appraisee and by the appraiser on the appraisee's personal file.

Whilst these records must remain confidential amongst the parties, performance management issues arising from appraisal can be discussed within the department and training needs and evaluation information should be shared with the relevant departmental workforce development representative. They will be able to provide further advice on the format in which they wish to receive this information.

1. Promoting Equality and Diversity

Core skill applicable to all employees

* indicates competency must to be assessed

Value

Understands the difference between Equality and Diversity. Works well with individuals from diverse backgrounds, understands the value of diversity in the workplace and respects colleagues' rights to be different from others.

Competency	
1.1	**Promoting Equality ***
	Understands the term 'Equality' and can explain the definition to others; actively promotes equality in all areas of their work; actively supports anti-discriminatory practices and identifies and takes action to address all forms of discrimination; challenges inappropriate behaviours, attitudes and practices; has knowledge of relevant equality legislation and subsequent HBC policies.
1.2	**Valuing Diversity ***
	Understands the term 'Diversity' and can explain the definition to others; knows the purpose of a Diversity Impact Assessment (DIA) and when they are needed; knows the purpose of an Impact Needs Requirement Assessment (INRA) and when they are needed; appreciates the value to be gained from a diverse workforce; applies the knowledge of relevant equality legislation in valuing the workforce and the service users.
1.3	**Managing Service related Diversity Issues**
	Is aware of diversity issues in providing customer service and avoids unwitting discrimination; understands and promotes HBC policies on equal opportunities and diversity; treats people as individuals, treating them with fairness, dignity and respect; is consistent in approach to avoid bias or unfavourable treatment of a particular group of people.
1.4	**Knowledge of Equality Standard for Local Government**
	Integrates the Equality Standard into service delivery; can explain the differences between the 5 levels of the Equality Standard; knows what actions need to be taken both corporately and departmentally to achieve the next level of the Equality Standard; is an equality champion for the authority; is competent to undertake a Diversity Impact Assessment (DIA) and an Impact Needs Requirement Assessment (INRA).

Level indicators

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

2. Information & Communication Technology (ICT) & Communication

Core skill applicable to all employees

* indicates competency must to be assessed

Value

Able to access and communicate information through information technology. Communicates effectively across all levels of the organisations. Presents facts both verbally and in writing using the most efficient and effective way. Listens to others and thinks about the information presented before acting upon it. Understands the benefits of embracing new technology to improve what we do. Supports the promotion and use of e-government initiatives.

Competency	
2.1	**ICT Supported Communication*** Competent in use of Lotus Notes and email etiquette; understands how ICT can improve communication; competent in use of Microsoft packages appropriate to role; can use ICT safely; minimising health and safety risks to self and others.
2.2	**IT Application Skills *** Has the appropriate level of IT skills for the role enabling maximum use of available technology; can use multiple applications; determines the best IT application for the task; improves processes through unique uses of technology; can demonstrate to others how to undertake basic ICT functions.
2.3	**Managing Information** Deploys appropriate IT to enhance service accessibility and delivery; uses ICT to produce performance management reports in agreed formats; uses multiple systems to gather data then evaluates data for relevance; develops methods for information sharing.
2.4	**Using ICT to plan for the future** Develops strategies for ICT development within service area; examines workforce skills for gaps in ICT; can demonstrate understanding of the HBC ICT strategy; appreciates the value of corporate or shared systems.

Cont'd

Level indicators

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (Medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

Competency		
2.5	**Oral Communication ***	
	Conveys spoken communication in clear and concise language; uses appropriate non verbal behaviour; shows appreciation and expresses thanks.	
2.6	**Written Communication ***	
	Conveys spoken communication in clear and concise language; can get the message across in written communication**.**	
2.7	**Reading Comprehension ***	
	Is able to understand complex documents such as policies, procedures, guidance etc when presented in a format suitable to individual needs; can understand written instructions.	
2.8	**Listening Skills ***	
	Actively listens and checks understanding before acting.	
2.9	**Report Writing**	
	Develops corporate reports in the manner and style appropriate to the audience.	
2.10	**Presentation Skills**	
	Communicates in a structured way; makes a strong professional impact (projects voice, engages and enthuses the audience).	
2.11	**Persuasive Communication**	
	Understands the Vision and can positively promote it to a team; uses an appropriate style and approach when seeking to persuade others; achieves desired results through effective negotiation.	

Level indicators

15

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (Medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

3. Healthy and Safe Working

Value

Understands the need to work safely, sees the safety of themselves and others as of vital importance. Understands health and safety policies and procedures and actively reports risks in the workplace. Manages safe workplaces and strives to continually improve the safe working practices.

Competency	
3.1	**Managing Own Health and Safety*** Is aware of the legislation regarding health and safety in the workplace; can identify nominated individuals such as first aider, fire marshals etc; is aware of the services of the health, safety and well-being team; has a current level 2 health and safety certificate; has carried out a workstation assessment in the last 12 months.
3.2	**Managing Health and Safety of Others** Ensures that own team work in a safe environment; has a current level 3 health and safety certificate; actively undertakes risk assessments for own area of work and reviews them regularly; understands the reporting procedures for health and safety incidents.
3.3	**Managing Facilities / Premises** Regularly ensures that health and safety information is available and up to date on the premises; ensures that regular checks are carried out on fire alarms, evacuation, bomb threats etc; arranges for repairs / works to be carried out quickly on areas which pose a risk.

Level indicators

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (Medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

4. Quality & Service Improvement

Value

Understands the need and can provide excellent services. Understands how corporate performance is measured and the implications of that performance measure. Monitors and evaluates own services and is always seeking to improve the service offer.

Competency	
4.1	**Continuously Improving the Customer Experience *** Challenges current working practices; makes suggestions to continuously improve service delivery; responds immediately to customer service complaints and service requests and learns from the experience.
4.2	**Providing Excellent Services** Actively monitors and reviews delivery of the service in accordance with service standards and performance indicators; consults with and actively encourages the opinions of service users; effectively plans to optimise the use of financial, human and other resources; sets an example of good customer service; evaluates customer service.
4.3	**Understanding Customer Needs** Has knowledge of who the customers are both internally and externally; can communicate the service standards and adapts style to suit customer needs; considers the needs of the customers when developing service plans for the area of work.

Level indicators

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (Medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

5. Leadership & Direction

Value

Understands the need and can provide excellent services. Understands how corporate performance is measured and the implications of that performance measure. Monitors and evaluates own services and is always seeking to improve the service offer.

Competency	
5.1	**Motivating Others** Involves everyone within the team in work activities; involves staff in discussions by encouraging the sharing of opinions and ideas; regularly uses "Thank you" and "well done" in a genuine and sincere way; celebrates achievements; shows by example the importance of engaging in personal development.
5.2	**Problem Solving** Applies creative solutions to problems; suggests solutions rather than dwelling on problems.
5.3	**Developing Others** Takes a personal involvement in staff development; coaches others, promotes knowledge transfer and modifies training style dependant upon situation or audience; creates a learning environment; recognises barriers to learning and seeks to address them (e.g. skills for life needs, learning difficulties etc).
5.4	**Leadership Skills** Able to effectively manage and guide group efforts; is determined, innovative, has a "can-do" attitude, pro-active and flexible; identifies employees with the potential to be developed into more senior roles; coaches and mentors staff and other managers.

Cont'd

Level indicators

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (Medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

5. Leadership & Direction - Continued

Competency	
5.5	**Managing People**
	Takes an active role in developing motivational strategies; creates positive morale among all employees; appropriately delegates tasks using assessment of employee abilities; facilitates to resolve disputes; implements HR Policies and Procedures correctly.
5.6	**Managing Performance**
	Understands the difference between objectives and actions; sets SMART objectives with staff; makes tough or unpopular decisions when necessary & deals effectively with poor performance; provides appropriate level of feedback concerning progress and provides constructive criticism; manages attendance and uses intervention methods to avoid staff absences; regularly reviews performance with employees using the appraisal system.

Level indicators

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (Medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

6. Specialist Knowledge

Value

Wants to work for Hartlepool Borough Council. Uses specialists knowledge to deliver high quality customer focused services. Actively develops themselves and keeps abreast of new developments in their area of expertise.

Competency	
6.1	**Technical Expertise** Possesses, or is studying for, qualifications relevant to the competent performance of the job; possesses the necessary experience, or is actively gaining it in a planned way, in order to undertake the role effectively; maintains a position at the leading edge of own technical function, applying this effectively within the organisation.
6.2	**Professional expertise** Maintains a position at the leading edge of own professional function, applying this effectively within the organisation; keeps abreast of what colleagues in similar roles in other organisations are doing, networking and adopting ideas as appropriate; has sufficient knowledge in a broader context in which own professional function is applied to perform effectively in own job area.

Level indicators

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (Medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

7. Managing Self

Role dependant

Value

Driven to further develop own skills. Sees working for HBC as a career rather than just a job. Wants to be the best at what they do. Committed to develop and progress through the organisation. Is aware of their own strengths and weaknesses and can add value to a team or project.

Competency	
7.1	**Self Awareness** Is aware of own beliefs and values; shows confidence in own ability; knows own strengths and weaknesses; reflects on own behaviour and reviews performance.
7.2	**Personal Development** Understands own learning preferences; takes responsibility for own development needs; acknowledges and learns from own mistakes; is dedicated to own personal development and continuous self improvement.
7.3	**Team Work** Able to effectively work and complete assignments in group settings; works cooperatively with others to achieve common goals; identifies needs and provides assistance to team members; unselfishly gives credit to others for accomplishments; recognises own strengths and weaknesses when team roles are agreed.
7.4	**Organisational & Political Awareness** Understands the overall functions, aims and directions of the council including the "Hartlepool Way" and associated strategic objectives and action plans; understands and uses linkages between own unit / service / organisational objectives; understands how the Councils political and decision-making framework operates; is aware of internal politics and changing dynamics within the organisation and is able to achieve appropriate objectives; is aware of issues involved in local, regional and national networks and issues outside the organisation and how these impact on the council. **Cont'd**

Level indicators

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (Medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

Role dependant

Value

Driven to further develop own skills. Sees working for HBC as a career rather than just a job. Wants to be the best at what they do. Committed to develop and progress through the organisation. Is aware of their own strengths and weaknesses and can add value to a team or project.

Competency	
7.5	**Delivering results** Thinks and acts more than a few months ahead; plans the most effective use of resources; anticipates obstacles and problems; strives to meet agreed targets and reviews performance.
7.6	**Workforce Planning** Is aware of corporate workforce development and workforce planning activities; is aware of skills shortages in own area of work; actively plans for the future in terms of team skills and capacity; actively encourages others to develop.

Level indicators

Level 5 - Continuously exceeds requirements of role – *possible candidate for career development*
Level 4 - On occasion exceeds requirements of role – *possible mentor for new staff*
Level 3 - Meets the requirements of the role – *would benefit from being mentored to meet next level*
Level 2 - On occasion does not demonstrate the requirements of the role – *Training Need (Medium)*
Level 1 - Regularly does not demonstrate the requirements of the role - *Training Need (High)*

Hartlepool Borough Council Appraisal Scheme

Notification of Appraisal Meeting 2008/09

Friday, 02 November 2007

Dear

Your appraisal meeting has been scheduled to take place as follows:

Date:

Time:

Place:

Appraiser:

Please find attached a copy of your last appraisal report, together with appraisal guidance, the H.B.C. competency framework and relevant extracts from your service plan. If you would like to examine other documents, such as your personal development plan or your job description, please ask me.

The appraisal meeting is your opportunity to:
- ☐ Review your achievements and actions over the last year
- ☐ Discuss your performance in your role
- ☐ Set specific objectives and targets to be achieved over the coming year
- ☐ Discuss any barriers you experience to your success
- ☐ Discuss any issues or needs
- ☐ Highlight any longer term aspirations you may have

There will also be an opportunity to discuss any urgent training and development needs, although your general and longer-term training and development needs will be discussed in greater detail during your training review in October/November.

During the appraisal meeting, you and your manager will rate your performance against a set of competencies relevant to your role. These competencies have been taken from the H.B.C. Competency Framework and have been listed by your manager in the table overleaf. You can find details of what each competency entails in the Competency Framework document attached to this letter. If you feel any of the competencies listed are not relevant to your role, or that any relevant competencies are missing, please let me know.

In order to prepare for your appraisal meeting, please spend some time considering your performance against these competencies and record the level you feel applies to you in the table overleaf. Please bring this with you to the appraisal meeting.

The levels are:
1. Regularly does not demonstrate the requirements of the role
2. On occasion does not demonstrate the requirements of the role
3. Meets the requirements of the role
4. On occasion exceeds the requirements of the role
5. Continuously exceeds the requirements of the role

23

I will also record the level I feel applies to you and the appraisal meeting will be our opportunity to discuss both of these ratings and reach an agreed actual rating.

Competency	Rating	Notes
1.1 Promoting Equality		
1.2 Valuing Diversity		
2.1 ICT Supported Communication		
2.2 IT Application Skills		
2.5 Oral Communication		
2.6 Written Communication		
2.7 Reading Comprehension		
2.8 Listening Skills		
3.1 Managing Own Health and Safety		
4.1 Improving Customer Experience		

After the appraisal meeting, I will complete a report summarising our discussions which we will need to sign off.

Appraisal is not about discussing current operational issues. It is an opportunity to discuss past and future performance and review key tasks and development needs. Long term barriers to effective performance and working relationships are suitable topics for discussion. The appraisal meeting can also be used to discuss, in a positive and open way, personal factors such as issues relating to disability, race, or the management of workload and work pressures. If it is agreed that any issues raised need to be dealt with under other policies or procedures, such as employee support, dignity or grievance, they will be referred appropriately.

If you have any specific issues you wish to discuss, please let me know within five days so that we can both have time to prepare for the meeting.

Signed:	
Job Title:	

Name:	Job Title:
Team:	Division:
Department:	Date Appointed:
Name of Appraiser:	Date of Appraisal:

Have you met the objectives identified as part of your appraisal last year and noted in the action plan?					
	Fully		Partially		Not at all	

Please identify which objectives were not met/partly met, and the reasons why:

Objective not met/partly met:	Reason:

Any objectives that are outstanding and still relevant should be carried forward to your action plan (Part 3).

Performance Chart
Assessment of Competencies

Appraisal Form 2008-2009 - Part 3

With reference to those competencies from the H.B.C. Competency Framework which have been agreed with your manager as applicable to your role and listed below, use the appraisee rating column in the performance chart below to record the level you feel applies to you.

The levels are:

5. Continuously exceeds the requirements of the role

4. On occasion exceeds the requirements of the role

3. Meets the requirements of the role

2. On occasion does not demonstrate the requirements of the role

1. Regularly does not demonstrate the requirements of the role

Your appraiser will also make a record of the level they have rated you at. Your appraisal is your opportunity to discuss both of these ratings and reach an agreed actual rating. Comments can be continued in part 4 if required.

Competency	Appraisee Rating	Appraiser Rating	Agreed Rating	Comments
1.1 Promoting Equality				
1.2 Valuing Diversity				
2.1 ICT Supported Communication				
2.2 IT Application Skills				
2.5 Oral Communication				
2.6 Written Communication				
2.7 Reading Comprehension				
2.8 Listening Skills				
3.1 Managing Own Health and Safety				
4.1 Improving Customer Experience				

Use this page to record any additional competencies to be assessed.

Competency	Appraisee Rating	Appraiser Rating	Agreed Rating	Comments

Action Plan

Appraisal Form 2008-2009 - Part 4

Part 3: Action plan

This action plan must be developed during your appraisal and summarises your objectives for the coming year. These objectives must be Specific, Measurable, Achievable, Realistic and Timely (SMART) and link to the targets in your service plan.

Name: | **Job Title:**

Objective	Service Plan Ref	Activity	By whom	Timescale	Progress (update through-out year)

Part 4: Discussion notes and appraisal sign off

At the end of your appraisal you should have a further discussion around any issues that have not been covered, or that you wish to cover in more depth. As a minimum you should discuss the following. Please tick each area once covered and make notes of the discussion in the box below. Notes can be continued on another sheet if required.

- ☐ Comments on your performance chart
- ☐ Issues you feel should be taken into account in relation to your past performance
- ☐ Any barriers to successful future performance
- ☐ Any changes you would like to see (eg. to the way your team/section operates) that might help you achieve more
- ☐ Changes to your responsibilities/job description
- ☐ Coping with the demands and pressures of your job
- ☐ Flexible working arrangements
- ☐ What you have learned since your last appraisal/review and how you have used that learning
- ☐ Any urgent training and development needs
- ☐ Any diversity and equality issues
- ☐ Any health and safety issues
- ☐ Your attendance
- ☐ Any actions needed to meet progression criteria/career grades
- ☐ Career aspirations

Appraiser:	Date:
Appraisee:	Date:
Grandparent:	Date:

**Once the appraisal is complete and the form has been signed off
by all parties, it is the responsibility of the grandparent to inform the
departmental workforce development representative.**

Hartlepool Borough Council Appraisal Scheme

Notification of Training Review Meeting 2008/09

Friday, 02 November 2007

Dear

Your training review meeting has been scheduled to take place as follows:

Date:

Time:

Place:

Appraiser:

Please find attached a copy of your last training review report, together with your historical training records and relevant extracts from the department's training profiles. If you would like to examine other documents, such as corporate and departmental training programme information, please ask me.

The training review meeting is your opportunity to:
      Review the training and development you undertook last year
      Identify and make plans for meeting any new and outstanding training and development needs

There will also be an opportunity to discuss any issues that were not covered in, or that have arisen since, your appraisal earlier in the year such as barriers to success, issues, needs and longer term aspirations.

After your training review meeting, I will complete a report summarising our discussions which we will need to sign off.

If you have any specific issues you wish to discuss, please let me know within five days so that we can both have time to prepare for the meeting.

Signed:

Job Title:

Training Review Form

Hartlepool Borough Council Appraisal Scheme

Training Review Form 2008/09

Name: **Job Title:**

Team: **Division:**

Department: **Date Appointed:**

Name of Appraiser: **Date of Training Review:**

Part 1: Review of training and development

Have you had the training and development that was identified as part of your appraisal last year and noted in the personal development plan?

All   Some   None

Please identify which training and development needs were met, and detail the final cost and time implications and the impact.

Need met: Cost: Time   Impact

Please identify which training and development needs were not met, and the reasons why:

Need not met: Reason:

Any training and development needs that are outstanding and still relevant should be carried forward to your personal development plan (Part 2).

Part 2: Personal development plan

Your personal development plan should include all your training and development needs, including on-going commitments (eg. professional qualifications) and CPD, as well as needs not met last year (where appropriate).

There are three levels of priority for training and development needs:

High priority

Training and development which is essential in order for the appraisee to be suitably skilled and qualified for the role, eg. mandatory training/qualifications in the training profiles.

Medium priority

Training and development which is not critical but which would enhance the ability of the appraisee to perform their role more effectively or work across a range of roles or functions, eg. desirable training/qualifications in the training profiles.

Low priority

Training and development which has little or partial relevance to the current post but which will enhance the appraisee's career progression opportunities.

Name:	Job Title:

Training and Development Need and Objective	Training and Development Action or Activity (eg. training course, self-study)	Priority (High, Medium, Low)	QBT Form Re-quired (Yes/No)	Est-imated Time and Cost	Date to be Com-pleted	How Im-pact will be Evalu-ated

Part 3: Discussion notes and training review sign off

At the end of your training review you might want to have a further discussion around any issues that have not been covered, or that you wish to cover in more depth.

As a minimum you should discuss the following. Please tick each area once covered and make notes of the discussion in the box below. Notes can be continued on another sheet if required.

- ☐ Progress to date on the objectives identified in your appraisal action plan
- ☐ Issues you feel should be taken into account in relation to your past performance
- ☐ Any barriers to successful future performance
- ☐ Any changes you would like to see (eg. to the way your team/section operates) that might help you achieve more
- ☐ Changes to your responsibilities/job description
- ☐ Coping with the demands and pressures of your job
- ☐ Flexible working arrangements
- ☐ What you have learned since your last appraisal/review and how you have used that learning
- ☐ Any diversity and equality issues
- ☐ Any health and safety issues
- ☐ Your attendance
- ☐ Any actions needed to meet progression criteria/career grades
- ☐ Career aspirations

Appraiser:	Date:
Appraisee:	Date:
Grandparent:	Date:

Once the training review is complete and the form has been signed off by all parties, it is the responsibility of the grandparent to inform the departmental workforce development representative.

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PERFORMANCE PORTFOLIO
Report to Portfolio Holder
16ᵗʰ November 2007

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Report of:　　　Assistant Chief Executive

Subject:　　　CORPORATE COMPLAINTS – July to September 2007

SUMMARY

1.　PURPOSE OF REPORT

To report to the Portfolio Holder on corporate complaints performance for the second quarter of 2007/8.

2.　SUMMARY OF CONTENTS

The report covers performance information on numbers of complaints, timescales for investigation and outcomes of investigations for formal complaints dealt with in the second quarter of 2007/08.

3.　RELEVANCE TO PORTFOLIO MEMBER

The Portfolio Member has responsibility for performance management issues.

4.　TYPE OF DECISION

Non-key

5.　DECISION MAKING ROUTE

Portfolio Holder meeting on 16ᵗʰ November 2007

6.　DECISION(S) REQUIRED

That the report be noted.

Report of: Assistant Chief Executive

Subject: CORPORATE COMPLAINTS – July to September 2007

_____

1.   **PURPOSE OF REPORT**

1.1   To report to the Portfolio Holder on corporate complaints performance for the
        second quarter of 2007/8.

2.   **FORMAL COMPLAINTS INFORMATION – July – September 2007**

2.1   In the second quarter of 2007/08, 7 corporate complaints were recorded by
        departments and 7 social care complaints, a total of 14 formal complaints. The
        Neighbourhood Services Department had 2 complaints, the Chief Executive's
        Department dealt with 4 complaints, the Adult and Community Services Department
        dealt with 1 corporate complaint and 5 social care complaints and the Children's
        Services Department dealt with 2 social care complaints. In the first quarter of the
        year 21 formal complaints was recorded overall. (See Appendix 1 for detailed
        figures)

2.2   The social care complaints received by the Adult & Community Services and
        Children's Services Departments are dealt with under statutory procedures which
        differ from the corporate procedure in terms of time scales and investigative
        process. They are regularly reported to the appropriate portfolio holders. However,
        for the sake of completeness, basic statistics on numbers of complaints received
        are included in this report to give the Performance Portfolio Holder an overall picture
        of complaints levels across the authority.

        Meeting deadlines

2.3   The corporate complaints procedure has a deadline of 15 days for reporting back to
        a complainant with a written response to their complaint, after a thorough
        investigation. For social care complaints, deadlines vary depending on the level of
        the complaint - within 10 working days for the Local Resolution stage, 25 working
        days for the Formal Investigation stage and 30 working days for the Complaint
        Review Panel stage. Prompt investigation is always a priority for all types of
        complaints, but in some cases the complexity of a complaint and/or the number of
        people to be contacted during the investigation can mean that the deadline cannot
        be met. In the second quarter of 2007/08, the deadline was met in 86 percent of
        cases, which is the same proportion as the first quarter of the year.

        Outcomes of complaints investigations

2.5   When a complaint investigation has been completed, a judgement is made by the
        investigating officer as to whether the authority has been at fault, and hence the
        complaint is upheld fully or in part, or not. In the second quarter of 2007/08, 43
        percent of complaints (6 complaints) were fully upheld and 21 percent (3

complaints) were partly upheld. This is a slight variation from the figures for the first quarter of 2007/08 of 29 percent (6 complaints) fully upheld and 19 percent (4 complaints) partly upheld.

Remedies for complaints

2.6 Where a complaint has been upheld either in part or in full, it expected that the complainant will be offered a remedy. Departments are asked to provide information on what remedies have been offered to complainants. In some cases, it was possible to offer a remedy that put a complainant in the position they would have been in but for the Council's error, e.g. by doing a financial reassessment of someone's circumstances; or by refunding expenses incurred due to the authority's delay. In other cases, a direct remedy of this sort was not possible but apologies have been made given; explanations provided as to how the problem arose and of the action taken to prevent the problem recurring, where appropriate.

Learning from complaints

2.7 Complaints can provide useful information on how a service is performing and what problems are being experienced by service users. Departments provide information on what lessons have been learnt from the complaints that they have received and what actions have been taken to prevent their recurrence. In the second quarter of 2007/08, wherever possible, departments have taken action. For example, work has been done with a contractor organisation to improve their operating methods; staff training issues have been identified and procedures have been amended to avoid recurrence of a problem. Departmental complaints co-ordinators and management teams continue to review complaints information to identify and deal with potential problem areas and issues.

3. RECOMMENDATIONS

That the report be noted.

4. BACKGROUND PAPERS

Corporate Complaints - April to June 2007 - Report to the Performance Management Portfolio Holder, 31st August 2007.

Hartlepool Borough Council Corporate Complaints Procedure.

5. CONTACT OFFICER

**Liz Crookston, Principal Strategy & Research Officer,
Chief Executive's Department, Corporate Strategy Division
Hartlepool Borough Council**

**Tel No: (01429) 523041
Email: liz.crookston@hartlepool.gov.uk**

APPENDIX 1 – COMPLAINTS MONITORING – July 1ˢᵗ – September 30ᵗʰ 2007 (Quarter 2)

	NUMBER		MEETING DEADLINES				OUTCOMES					
	Total no. of complaints		Reported on within deadline		Reported outside deadline		Not upheld		Upheld in part		Upheld	
	Qtr 1	Qtr 2	Qtr 1	Qtr 2	Qtr 1	Qtr 2	Qtr 1	Qtr 2	Qtr 1	Qtr 2	Qtr 1	Qtr 2
CHIEF EXECUTIVE'S												
Corporate Strategy	1	**0**	1	**-**	-	**-**	1	**-**	-	**-**	-	**-**
Finance	5	**3**	4	**3**	1	**-**	2	**1**	-	**1**	3	**1**
Human Resources	1	**1**	1	**1**	-	**-**	-	**-**	1	**-**	-	**1**
Legal	1	**-**	1	**-**	-	**-**	-		1	**-**	-	**-**
TOTAL FOR CHIEF EXEC'S	8	**4**	7	**4**	1	**-**	3	**1**	2	**1**	3	**2**
ADULT & COMMUNITY SERVICES												
Corporate complaints	5	**1**	3	**1**	2	**-**	1	**-**	2	**-**	2	**1**
Social Care complaints	1	**5**	1	**4**	-	**1**	-	**2**	-	**2**	1	**1**
TOTAL FOR ADULT & COMM SERVICES	6	**6**	4	**5**	2	**1**	1	**2**	2	**2**	3	**2**

APPENDIX 1 – COMPLAINTS MONITORING – July 1st – September 30th 2007 continued

	NUMBER		MEETING DEADLINES				OUTCOMES					
	Total no. of complaints		Reported on within deadline		Reported outside deadline		Not upheld		Upheld in part		Upheld	
	Q1	**Q2**	Q1	**Q2**	Q1	**Q2**	Q1	**Q2**	Q1	**Q2**	Q1	**Q2**
CHILDREN'S SERVICES												
Corporate complaints	1	**0**	1	**-**	-	**-**	1	**-**	-	**-**	-	**-**
Social Care complaints	0	**2**	-	**2**	-	**-**	-	**1**	-	**-**	-	**1**
TOTAL FOR CHILDREN'S SERVICES	1	**2**	1	**2**	-	**-**	1	**1**	-	**-**	-	**1**
REGENERATION & PLANNING SERVICES	0	**0**	-	**-**	-	**-**	-	**-**	-	**-**	-	**-**
NEIGHBOURHOOD SERVICES	6	**2**	6	**1**	-	**1**	6	**1**	-	**-**	-	**1**
TOTAL NUMBER OF COMPLAINTS	21	**14**	18	**12**	3	**2**	11	**5**	4	**3**	6	**6**
			86%	**86%**	14%	**14%**	52%	**36%**	19%	**21%**	29%	**43%**

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PERFORMANCE PORTFOLIO

Report to Portfolio Holder
16 November 2007

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Report of: Chief Personnel Officer

Subject: EMPLOYEE ATTENDANCE 2007/8 - 2nd QUARTER

SUMMARY

1.   PURPOSE OF REPORT

To update the Portfolio Holder on performance up to the second quarter of 2007/8 and actions taken in relation to employee sickness absence.

2.   SUMMARY OF CONTENTS

The report provides details of employee sickness absence for the second quarter of 2007/8 and actions taken across the Council.

3.   RELEVANCE TO PORTFOLIO MEMBER

Corporate issues.

4.   TYPE OF DECISION

Non-key decision.

5.   DECISION MAKING ROUTE

Portfolio Holder only.

6.   DECISION(S) REQUIRED

Note the report.

Report of: Chief Personnel Officer

Subject: EMPLOYEE ATTENDANCE 2007/8 - 2nd QUARTER

1.0   PURPOSE OF REPORT

1.1   To update the Portfolio Holder on performance up to the second quarter of 2007/8 and actions taken in relation to employee absence.

2.0   BACKGROUND

2.1   The extent to which employees are absent from work due to illness has a direct impact on the quality, level and cost of the provision of services. As such the Government has included BVPI12 – The number of working days/shifts lost due to sickness absence in its group of Corporate Health Performance Indicators.

3.0   THE COUNCIL'S PERFORMANCE FOR THE 2nd QUARTER OF 2007/8

3.1   The target figure for 2007/8 for the Council is 11.05 days absence per wte employee (whole time equivalent). The end of year prediction at the end of the 2nd quarter remains at 12.05 days per wte per employee per annum as illustrated in Figure 1 below. This shows a static position from the 1st quarter prediction where sickness levels have neither improved nor worsened. The Council continues to focus on sickness absence management to enable the Council to achieve its target of 11.05 wte average sickness per employee for the 2007/8 year.
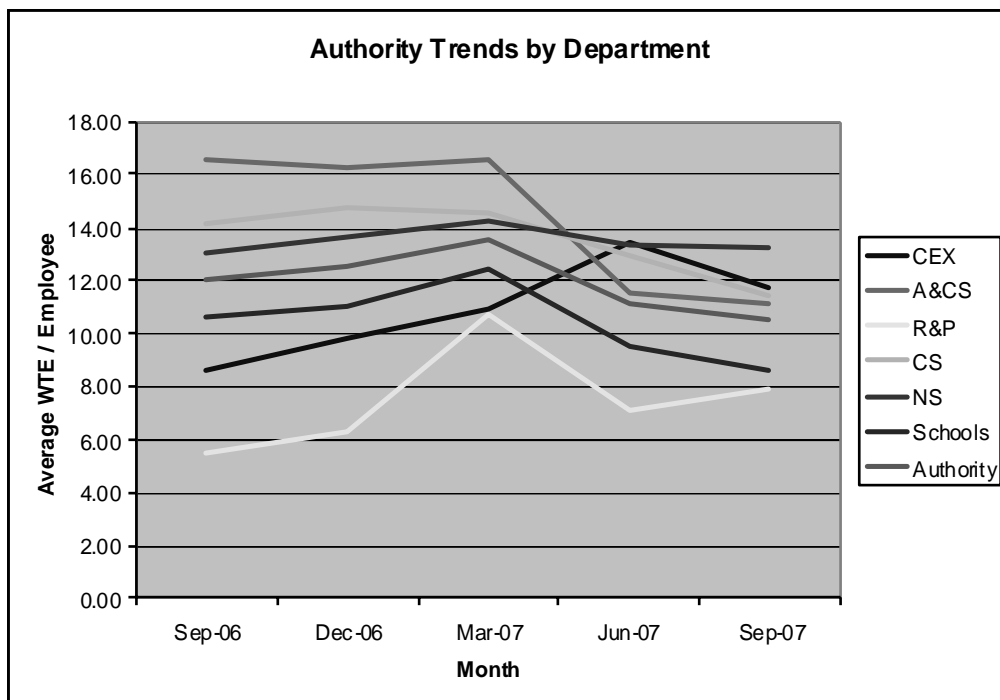
Figure 1
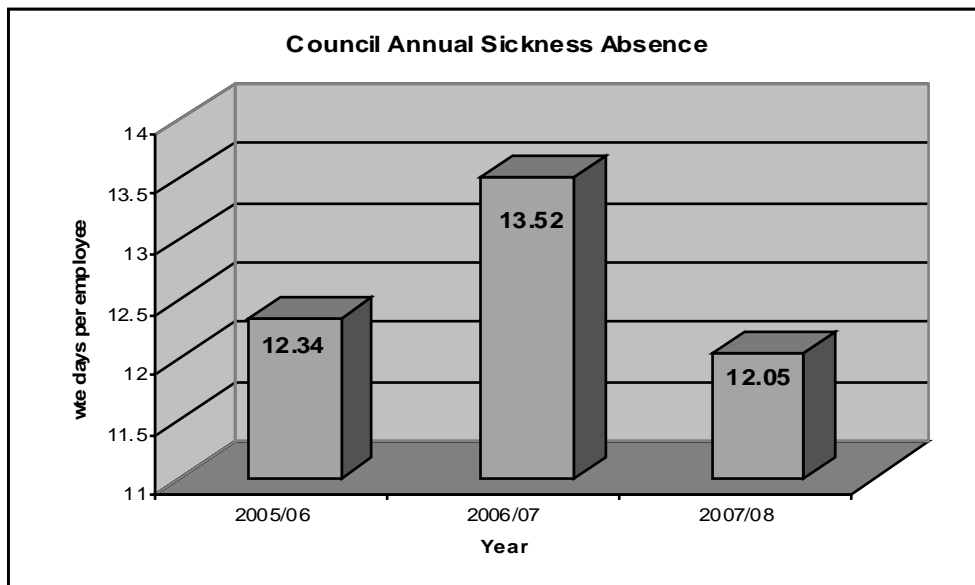
3.2 Figure 2 below illustrates the actual performance at the end of the 2nd quarter of each Department, and Schools for each quarter from September 2006 to September 2007.

- There is an overall downward trend in sickness absence rates in Schools, Adult & Community Services, Community Services, Children's Services and the Chief Executive Department.
- There is a steady increase in the rates in the Regeneration & Planning Department which is linked to long term sickness absence that has a greater effect on a small Departments rates and is expected to reduce from November. The Regeneration & Planning Department continue to have the lowest sickness absence rates across the Council.
- Neighbourhood Services show a fluctuating sickness rate where even with greater focus on sickness management there appears to be little impact on the figures. There are staff concerns regarding the payout of a bonus earlier in the year and worries over the effect of job evaluation. These, together with change programmes to develop services within the Department, are creating a more unsettled environment that is likely to be having a detrimental effect on sickness absence rates.
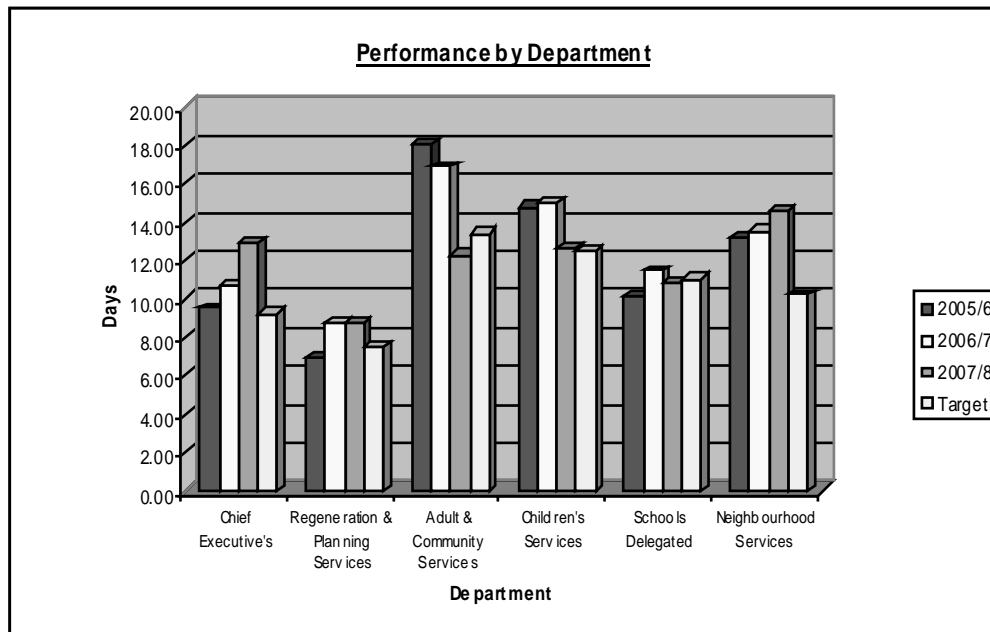
Figure 2

3.3 Figure 3 below identifies the end of year prediction figures for each Department as at 30 September 2007. This can be compared to performance over the last two years for each Department and for Schools. The final column shows the target set by each department/schools group for the end of the year.

Figure 3

3.4   Table 1 below illustrates the actual **1st quarter** (April to June) and **2nd quarter** (July to September) average sickness absence days per wte employee and a comparison of performance at the 1st and 2nd quarters in the last 2 years.   The results in 2007/8 show an encouraging decline in sickness compared to the second quarter of the previous year.

Table 1

Sickness Rate	2005/6	2006/7	2007/8
1st Quarter	11.23	12.17	11.16
2nd Quarter	10.01	11.83	10.48

4.0   ACTIONS UNDERTAKEN IN THE 2nd QUARTER OF 2007/8

4.1   A number of actions were undertaken during the first 6 months of 2007/8 which are expected to help to achieve the target including:

- Regular meetings of Sickness Champions Group with revised terms of reference to ensure the Group achieve maximum impact
- Distribution of monthly departmental sickness analysis reports by HR
- Departments monitor targets and actions to reduce sickness absence levels

- Continued improvement of case management for employees across the Council and a planning process for future actions
- Continued improvement of Occupational Health Services
- Corporate Management Team Briefings in August 2007 communicated key areas of sickness absence management to managers
- Being positive about successes in managing sickness absence to maintain motivation to continue drive rates down

5.0 ACTIONS PLANNED FOR 2007/8

5.1 A number of actions are planned during the second quarter of 2007/8 and beyond, that are expected to help in achieving sickness targets in the future. These are set out below.

- Departments are recognising the high rates and the need to manage sickness absence so awareness of the issues is far greater
- A closer partnership with trade unions to work together to manage sickness absence in the Council (following job evaluation)
- A focus by Human Resources on small group training for line managers and supervisors in priority areas relating to return to work interviews
- The new Occupational Health Service to proactively promote and market employee support initiatives to positively increase the options for employees who fall ill and in turn, impact on the sickness absence rates. This has been delayed due to unavoidable employee structure changes within the service.
- Continued review of flexible working measures, including home working, may impact on the rates in the future

6.0 RECOMMENDATIONS

6.1 That employee absence in the second quarter of 2007/8 and actions taken or planned, be noted.

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PERFORMANCE PORTFOLIO

16th November 2007

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Report of: Chief Personnel Officer

Subject: HALF YEARLY DIVERSITY REPORT

SUMMARY

1.0   PURPOSE OF REPORT

To report progress made in respect of planned actions for achieving Level 3 of the Equality Standard for Local Government (BVPI 2a) by March 2008 and other achievements in the first six months of 2007/8.

2.0   SUMMARY OF CONTENTS

The report provides details of the Council's progress in respect of the actions planned to achieve Level 3 of the Equality Standard for Local Government by March 2008, departmental achievements and planned diversity actions in the next six months.

3.0   RELEVANCE TO PORTFOLIO MEMBER

Corporate Performance.

4.0   TYPE OF DECISION

This is not a key decision.

5.0   DECISION MAKING ROUTE

Portfolio Holder only.

6.0   DECISION(S) REQUIRED

Endorse the report and note the achievements and progress made.

Report of: Chief Personnel Officer

Subject: HALF YEARLY DIVERSITY REPORT

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1. **PURPOSE OF REPORT**

1.1 To report progress made in respect of the planned actions for achieving Level 3 of the Equality Standard for Local Government (BVPI 2a) by 2007/8 and other achievements in the first six months of 2007/8.

2. **BACKGROUND**

2.1 At your meeting held on 21st May 2007, the 2006/7 Annual Race and Diversity Report was endorsed. It was also reported that the Council had achieved Level 2 of the Equality Standard for Local Government (BVPI 2a) and had set itself a target of achieving Level 3 by 31 March 2008. All Diversity actions as a result of the statutory Race, Disability and Gender Schemes have been reflected in the Diversity Steering Group Action Plan. The progress made so far is reported in here.

3. **Key achievements since April 2007**

3.1 The Diversity Steering Group Action Plan has been incorporated into the Council's Performance Management database, along with those diversity related actions identified by departments in Departmental Plans. Quarterly updates are provided on all actions included in the Performance Management database, including diversity actions. Progress made is indicated using the following traffic light system.

> RED – Action not expected to meet target
> AMBER – Action expected to meet target
> GREEN – Action target achieved

3.2 Significant progress has been made, and is expected to continue, in respect of Diversity actions. Out of a total of 274 Diversity actions, 24.1% have achieved targets; 60.6% expect to achieve target and 10.2% are not expected to achieve targets as detailed below in Table 1.

Table - Corporate progress summary on actions.

Green	Target Achieved	66
Amber	Expect to achieve target	166
Red	Not expected to achieve	28
A	Reported Annually	7
N	No update provided	7
Total number of actions reported- 274		

3.3   Key Corporate achievements since April 2007 include: -

➢ The Council is continuing to progress towards achieving Level 3 of the Equality Standard
➢ Gender Equality Scheme published as an addendum to the existing Race and Diversity Scheme.
➢ Appointment of CMT Equalities Champion
➢ The Talking with Communities and the consultation with Lesbian Gay, Bi-sexual and Transgender (LGBT) has its own Diversity section on the Your Town Your Say website. (http://consultation.hartlepool.gov.uk/inovem/consult.ti/system/text/diversity)
➢ Diversity Steering Group Action Plan included within the Performance Management Database
➢ Progress has been made in linking the Impact Assessments into Service Planning.
➢ Guidance on Impact Needs Requirement Assessments (INRA) revised.
➢ Corporate guidance developed detailing how equality is to be integrated into service planning (including setting targets based on equality objectives).
➢ Equality issues mainstreamed into Procurement
➢ Diversity module is implemented as mandatory in the Leadership Management and Development Programme
➢ External grant was procured for the External and Internal critical challenge on the Council Services. This is now being implemented and progress is being made.
➢ Draft Corporate Access Strategy is now ready for consultation with the stakeholders
➢ Progress in preparation for External Validation process for next year.

4.   **Key Actions Planned for the next six months**

➢ Declare achievement of Level 3 of the Equality Standard
➢ Work through the Internal and External scrutiny process of the Council services
➢ Complete the language translation and interpretation services publicity
➢ Finalise the Access Strategy
➢ Prepare Single Equality and Diversity Scheme (2008-2011) incorporating Race, Gender, Disability, Age, Religion/Belief and Sexual Orientation
➢ All INRAs to inform the diversity actions in Service Plans
➢ Prepare for the Validation process

5.   Summary of key actions and achievements by departments since April 2007

Appendix A   Chief Executives
Appendix B   Neighbourhood Services:
Appendix C   Adult & community Services
Appendix D   Regeneration & Planning
Appendix E   Children Services:

6.   RECOMMENDATION

6.1   That the Portfolio Member endorses the half yearly Race and Diversity progress Report and notes the achievements and progress made.

<div align="right">**Appendix A**</div>

<u>Chief Executives</u>

Summary on CEX Department progress

Within CEX there are 115 actions identified in the Diversity section of the Departmental plan.
Table below summarises the progress made until Sept 07.

CEX progress summary on Actions

Green	Target Achieved	26
Amber	Expect to achieve target	59
Red	Not expected to achieve	24
A	Reported Annually	2
N	No update provided	4
Total number of actions reported -		115

Key Achievements (April 2007- Sept 2007)

- The department is continuing to lead and make a significant contribution towards the Council's target of reaching Level 3 of the Equality Standard
- The Community Engagement Officer is making a significant impact with substantial increases in benefit take-up for people with disabilities, carers and mentally impaired people
- Recruitment bulletins now being more widely circulated producing an increase in applications from Black and minority ethnic groups
- The Benefits team was awarded outstanding customer services award as part of the Council's Celebrating Success awards
- Diversity issues have been incorporated into the HR modules of the Learning Management and Development Programme
- Equality and diversity issues have been Incorporated in scrutiny investigations
- A community profile has been published to assist departments with diversity assessments
- Draft diversity monitoring guidance has been produced
- The design of Hartbeat is being amended to make the option of obtaining information in other format more accessible
- Diversity issues incorporated into the HR modules of the Learning Management and development programme
- All division's completed diversity assessment to identify diversity objectives for 2007/8 and progress on the actions identified is being monitored through the performance management database

DIA's (so far)

An assessment of the department's plans for 2007/8 was completed and this identified that a diversity impact assessment (DIA) would be required when the revised pay and grading and associated single status conditions of service was agreed.

Further Actions (October 2007-March 2008)

- Targets for the remainder of the year include consulting on the opening times and satisfaction with the contact centre.
- Improving monitoring within the contact centre
- Improve awareness to ensure the whole community is aware of their rights under the Freedom of Information Act

Neighbourhood Services

Summary on Neighbourhood Services department's progress

Within the Neighbourhood Services there are 69 actions identified in the Diversity section of the Departmental plan.
Table below summarises the progress made until September 07.

Neighbourhood Services summary on Actions

Green	Target Achieved	27
Amber	Expect to achieve target	41
Red	Not expected to achieve	1
N	No update provided	0
Total number of actions reported -		69

Key Achievements (April 2007- Sept 2007)
Introduction of new induction which includes basic equality for all and extended information for building cleaning and catering staff. Contract in place to provide assistance to people who need help with bulky waste collections (Endeavour Care) Managing Diversity Leaflet published and available corporately.

Stranton Nursery - an officer attended Talking with Communities to present details of services provided, feedback given at the session will be used to improve future services.
 	
Environmental Enforcement
   - diversity training complete and briefing on language line planned
 	
Recycling – an officer attended Talking with Communities to explain the services provided and to raise awareness of the recycling.
 	
Procurement
   - Officers guide now includes requirement for equality aspects to be included in all contracts and guidance on identifying, setting and monitoring equality targets and objectives.
   - North East Centre of Excellence (NECE) Harmonisation of contract Documents project on target to achieve full incorporation of equality requirements by the end of the year.
 	
Ramp constructed to transport office within Church Street Depot.
 	
Community Transport

- Dial-a-Ride user group meetings took place 18 July and 3 October.
- Officer attended Day Service Consultation event 27 September

Road Safety - 20 mph zones outside schools – schemes delivered for Barnard Grove, Sacred Heart, St Hild's, St John Vianney and Brougham

Equality monitoring introduced on noise monitoring and evaluation forms.

Food and Health & Safety at Work leaflets available in various languages.

Parking - Additional disabled bays created at Eden Street (2) and Multi Storey Car Park (6)

Further Actions October 07 to March 08

Dial-a-Ride user group meetings scheduled for January and March 2008.

Sections to attend Talking with Communities event in February 2008
- Transport services
- Road Safety
- Environmental Enforcement

Concessionary Fares - Registration event for BME groups to be held before the end of 2007.

Alternative access to Spion Kop to be investigated in partnership with Heritage Coast initiative.

Continuing to work on hackney carriage / private hire vehicles licensing policy in relation to disabled access

INRA's to be reviewed / completed as part of the service planning process.
8 DIAs to be completed.

Adult & Community Services

Within the A&CS there are 37 actions identified in the Diversity section of the Departmental plan.
Table below summarises the progress made until Sept 07.

Adult & Community Services summary on Actions

Green	Target Achieved	1
Amber	Expect to achieve target	33
Red	Not expected to achieve	0
A	Reported Annually	3
Total number of actions reported -		37

Key Achievements (April 2007- Sept 2007)

- Re-opening of Wingfield Castle
- Events planned for 200th anniversary of the Abolition of Slavery, due to take place in October 2007.
- Agreement reached to sponsor an award in Tees Valley 'Taste of Africa' awards taking place in October 2007.
- Began writing Workforce Diversity strategy, due in October 2007 to MLA.
- Talking with communities – libraries attending November
- Equality report in preparation, linked to information for DIA's INRAs
- New post-holder appointed who will have diversity as part of their portfolio

DIA's /INRAs (so far)
- BME users audit planned for Tees Valley did not take place due to the Diversity Officer from Renaissance NE leaving post
- Relocation of employment link team

Further Actions (October 2007-March 2008)

- Update directory for Supporting People which will include accessibility information
- Training on accessible information to be held, taught sessions on diversity and customer care covering rights/values
- Roll out In Control project
- Reprovision of Learning Disabilities who are in long term provision into their own home
- Looking at developing at centre for independent living
- Mental Health going to LGBT in December to consult
- Looking at improving coordination of transport

Appendix D

Regeneration & Planning

Summary on Regeneration & Planning department's progress

Within the Regeneration & Planning there are 29 actions identified in the Diversity Section of the Departmental plan.
Table below summarises the progress made until Sept 07.

Regeneration & Planning summary on Actions

Green	Target Achieved	10
Amber	Expect to achieve target	14
Red	Not expected to achieve	3
N	No update provided	0
A	Reported Annually	2
Total number of actions reported -		29

Key Achievements (April 2007- September 2007)

Community Safety and Prevention

- To promote tolerance and reassurance amongst young and older people, young people have now joined the Anti-Social Behaviour Task Group and intergenerational activities have taken place aimed at breaking down barriers between the generations.

- The Anti-Social Behaviour Team co-ordinated a well attended cookery programme which ran between April and June and culminated in a Ready Steady Cook Event, which was won by a young person who decided to make a career in cooking.

- Drug Intervention presentations delivered to visually impaired and hard of hearing groups through local forums.

- A preliminary report for first quarter of the year has been produced on Drug Intervention Requirement (DIR) web statistics that identifies the percentage of service users from the five diversity strands of religious beliefs, race, disability, gender and age.

- A representative attended the Lesbian, Gay, Bisexual and Transgender forum to talk about the Domestic Violence Strategy.

Community Strategy

- To embed diversity issues into the Procurement process, a diversity statement has been included in Local Area Agreement offer letters.

Economic Development

- The Visit Tees Valley Area Tourism Partnership has commenced access audits for Hartlepool, Middlesbrough & Stockton as part of whole Tees Valley Audit.

- Meetings, workshops and seminars have taken place targeting specific groups and raising awareness of equality & diversity issues, e.g. an Equality and Diversity Seminar was held in June for Council and external employers.

- A Youth Unemployment Working Group has been established with membership from Children's Services (in particular Connexions), Economic Development, Jobcentre Plus and the Learning & Skills Council.

- The NRF funded Progression to Work scheme has assisted 6 local residents with disabilities and health problems to enter into employment.

Housing

- A Housing Advice officer attended the Talking with Communities forum in September and links have been established with Salaam Centre.

- The Housing Advice customer satisfaction survey has been amended to include a question on sexual orientation.

- The impact of introducing Housing Renewal Assistance Loans was monitored and no adverse feedback was received on the ability of older persons to secure essential works.

- The Bond Guarantee Scheme for difficult to house clients in the private sector has been amended to offer assistance with administration fees.

Planning

- The Access Officer has carried out public building Access Audits on the Wingfield Castle, Bryan Hanson House, Dyke House School, Brierton School and Manor College of Technology, as well as all of the swimming pools within the town.

Regeneration

- A process for providing a variety of methods, venues and times of consultation to ensure inclusiveness and make additional efforts to ensure specific age groups, disabled people, religious beliefs and social groups are involved has been established and applied when engaging all parts of the community.

- Strengthening with Communities Best Value Review Strategic Improvement Plan progress report submitted to Regeneration, Liveability and Housing Portfolio Holder in April 07.

- Discussions are being carried out with Registered Social Landlords on sites for affordable housing development which may also include provision for particular age groups.

DIA's (so far)

- Domestic Violence Strategy
- Coastal Arc Strategy
- Rift House/Burn Valley Neighbourhood Action Plan
- Owton Neighbourhood Action Plan

Further Actions (October 2007-March 2008)

Community Safety and Prevention

- Managers to consider the HBC diversity e- learning course for all Community Safety and Prevention staff, as well as awaiting costs and details of diversity training from Cleveland Police.

- Improve signage at the Drugs Centre.

- Produce final report on Drug Intervention Requirement statistics.

- Undertake DIA's on Racially Motivated Incident's policy, CCTV and Crime and Disorder Strategy.

Economic Development

- On completion of the Tees Valley access audit, a dissemination programme to be developed.

- Youth Unemployment Working Group to develop a strategy to tackle youth unemployment and skills.

- Target younger incapacity benefit claimants through a small pilot scheme utilising ESF and additional youth funding via the Progression to Work Scheme.

- Assist further local residents with disabilities and health problems into employment through the Progression to Work scheme.

Housing

- Prepare a draft strategy by the end of December 2007 to improve the take-up of energy efficiency measures by ethnic groups.

- Review enforcement policy for unauthorised gypsy/traveller encampments in conjunction with other departments/agencies

- Undertake DIA on Joint Allocation Policy.

- Housing Advice team to meet with the Salaam Centre to promote housing advice services.

Planning

- Undertake building access audits on remaining public buildings (3 year programme).

Regeneration

- Further monitoring of the Strengthening with Communities Best Value Review Strategic Improvement Plan progress to take place under departmental service plan.

- Rossmere Neighbourhood Action Plan DIA to be undertaken.

- Engage with community groups on the Strengthening with Communities Best Value Review Strategic Improvement Plan following the review and revision of the Hartlepool Compact Programme.

Children Services

Summary on Children Services department's progress

Within the Children Services there is 1 action identified in the Diversity section of the Departmental plan.
Table below summarises the progress made until Sept 07.

Children Services summary on Actions

Green	Target Achieved	2
Amber	Expect to achieve target	18
Red	Not expected to achieve	0
N	No update provided	0
Total number of actions reported -		20

Key Achievements (April 2007- Sept 2007)

- Work with schools and other agencies to ensure that children and young people from black and minority ethnic communities, travellers, asylum seekers and refugees have access to services and the needs of all children growing up in a diverse society are met. Initial analysis of examination results, attendance and exclusion data for vulnerable groups the school year 2006/07 is good, improvements have been made in all areas.
- Increase the number and range of foster and adoptive placements to meet local needs. The Placement Strategy is currently being reviewed. A recruitment process for foster carers is underway. The Adoption Service is under review.
- Reduce the number of placement moves for looked after children and increase the stability of placements. The increase in the number looked after children have slowed down, resulting in a corresponding reduction in number of placement changes. If the current trend continues there should be a reduction in quarter 3. Additional foster carers have been recruited and approved and this has helped.
- Implement the Building Schools for the Future project plan for 2007/ 08. This action is on target for completion of Strategy for Change Part 1 by 24/12/07, and Strategy for Change Part 2 by 31/03/08.
- Challenge and support schools in targeting vulnerable children and young people for additional intervention and support so that they achieve in line with or better than expected levels. Initial analysis of examination results, attendance and exclusion data for vulnerable groups for the school year 2006/07 is good, improvements have been made in all areas.
- Ensure all children and families have access to high quality childcare and integrated services through Children's Centres and Extended Schools and the Play Strategy. The Play Strategy is currently being implemented- BIG lottery

bid submitted Sept '07 (decision Dec '07). Children's Centres and Extended Schools activities being delivered in localities. Managers in post for each locality. DCSF target designated by March '08 on target.

- Ensure that all children and young people from vulnerable groups (learning difficulties / disabilities (LDD), black ethnic minority (BME), travellers, asylum seeker and refugee communities) have the opportunity to gain full access to services and have a role in service development. Some progress has been made; a participation worker for looked after children is in post. The next stage of the strategy is in the design phase.

- Connexions service works with other teams and agencies to achieve NEET (not in education employment or training) targets agreed with Government Office North East. Connexions has clear plan for reducing NEET, systems are in place to monitor participation and performance; effective joint systems are in place for tracking and supporting young people through key points of transition (particularly September Guarantee).

- Raise the aspirations of vulnerable children and young people in Hartlepool. Activities and projects have been developed to raise aspirations, these include; holiday support to NDC residents groups, Aim higher Young Carers Project production of DVDs to promote participation in Higher education. October half term activity week for Looked After Children.

- Improve joint commissioning and contracting arrangements in relation to out of authority placements for looked after children. A Commissioning manager is now in post. A contracting and placement service is in the process of being developed. A Placement Strategy review is also ongoing.

- Work with key partners to improve the provision of occupational therapy and speech and language therapy services (SALT). Discussions with the PCT are ongoing. Additional SALT is being purchased by some primary schools.

- Children's Services Departmental Diversity Working group to ensure that INRA's and DIA's are completed on plans and policies and ensures there is full access to services by children from black and minority ethnic communities, travellers, asylum seekers and refugees. Group established. Teams notified to include INRAs as part of 6-month review of operational plans.

- Early Intervention: Identify vulnerable groups e.g. disabled children, black and minority ethnic children (BME), looked after children (LAC), and ensure service delivery is adapted accordingly and promotes equality of access for all service users e.g. by including specific reference to disabled children and disabled parents within the Parenting Strategy. Draft Parenting Strategy completed which includes specific reference to vulnerable children and young people.

- Contribute to strategies to reduce child poverty. The Computers for Schools initiative was approved in September, which targets disadvantaged children and young people.

Further Actions (October 2007-March 2008)

- Complete review of the Placement Strategy.
- Complete Strategy for Change Part 2 by 31/03/08 in relation to BSF.
- In relation to Sure Start, Extended Schools and Early Years the following have been highlighted as diversity issues to be addressed; continue to promote

childcare as an option for men and evaluate the Children's Information Service and other info given to the public in relation to languages and other types of print.

- Improve the level of participation from vulnerable groups (learning difficulties / disabilities (LDD), black ethnic minority (BME), travellers, asylum seeker and refugee communities) to ensure they have the opportunity to gain full access to services and have a role in service development.
- Complete the development of a contracting and placement service.
- Complete the Placement Strategy.

PERFORMANCE PORTFOLIO
Report to Portfolio Holder
16th November 2007

Report of: Assistant Chief Executive

Subject: REVIEW OF STRATEGIC RISK REGISTER

SUMMARY

1.0   PURPOSE OF REPORT

1.1.   To inform the Portfolio Holder of the current position with regard to the Council's Strategic Risk Register.

2.0   SUMMARY OF CONTENTS

2.1   Describes amendments to existing strategic risks and any additional strategic risks following a review by Corporate Risk Management Group (CRMG) and Corporate Management Team (CMT). The review primarily involves examining risk ratings in terms of impact and likelihood and effectiveness of control measures in place to mitigate the risk.

3.0   RELEVANCE TO PORTFOLIO MEMBER

3.1   The Portfolio Member has responsibility for risk management issues.

4.0   TYPE OF DECISION

4.1   Non- key.

5.0   DECISION MAKING ROUTE

5.1   Portfolio Holder meeting 16th November 2007.

6.0   DECISION (S) REQUIRED

6.1   To note the review and amendments to the Council's strategic risk register and actions being taken.

Report of:　　　　Assistant Chief Executive

Subject:　　　　REVIEW OF STRATEGIC RISK REGISTER

1.　PURPOSE OF REPORT

1.1　To review the Council's Strategic Risk Register.

2.　BACKGROUND

2.1　The Risk Management strategy identifies specific accountabilities and responsibilities for the management of risk at Hartlepool Borough Council. In line with these, at its meeting on 26th September 2007, the Council's Corporate Risk Management Group (CRMG) considered the Strategic Risk Register.

2.2　Once agreed by CMT on the 29th October 2007 the changes are now to be reported to the Performance Management Portfolio Holder as the cabinet member with the overall responsibility for the Risk Management Strategy Framework.

3.　REVIEW OF STRATEGIC RISK REGISTER SEPTEMBER 2007

3.1　The Council undertook the initial review of its strategic risks with the assistance of its risk adviser Gallagher Bassett. The outcome of this was reported to Cabinet on June 19 2006. The process of regular reviews is now underway. Following the most recent of these, there are 41 strategic risks identified across the authority. The updated Strategic Risk Register is attached as Appendix 1.

3.2　The table below summarises the changes since the last review in March 2007.

Strategic Risk Ratings without control measure implementation / with control measures implemented	April 2006	Oct 2006	Mar 2007	Sept 2007
Red / Red	6	6	7	8
Red / Amber	13	13	14	17
Amber / Amber	10	10	9	10
Red/Green	3	4	2	3
Amber/Green	4	3	3	2
Green/Green	0	0	1	1
Total	**36**	**36**	**36**	**41**

Red/Red risks

3.3 The following 8 risks continue to be identified as category red after control measures have been put in place. These are known as 'red/red' risks, and are of particular importance for the Council given that their impact/likelihood has not been sufficiently mitigated by the control measures in place to date. The Council is constantly striving to seek improvements in the control measures of these red/red risks with the control measures also being monitored and amended along with the risk ratings. The comments in the table above indicate progress.

Risk Ref/Resp. Officer	Risk Description	Comment
PER5-1.3 Denis Hampson	Flu Pandemic	Contingency plans in place and being continually revised/developed in to reflect new health guidance.
FIN5-1.8 Graham Frankland	Financial Viability and capacity of Building Consultancy Services	Staffing resources are being managed to match falling workloads, Framework Agreement being procured
ENV5-1.3 Alan Coulson	Failure to carry out testing and ongoing monitoring of the Anhydrite Mine	Contractor expected to start on site by end of April to undertake investigation works
FIN5-1.1 Joanne Machers	Future Equal Pay claims	Negotiating transfer of unskilled Red Book workers to Green Book terms and terminating bonus schemes.
FIN5-1.11 Joanne Machers	Current Equal Pay Claims inc settlement of or adverse finding in ET or existing equal pay claims	Preliminary legal points have been resolved. There are ongoing discussions with claimants solicitors regarding possible settlement terms
FIN5-1.2 Nicola Bailey	Failure to provide Council services during emergency conditions	Control measures used to address the requirements of the Civic Contingencies Bill.

Risk Ref/Resp. Officer	Risk Description	Comment
REP5-1.1 Mike Ward	Discretionary services cut or reduced	Risk and consequences of proposed cuts are highlights at appropriate points. Budget Strategy now includes a consultation process.
SOC5-1.1 Peter Scott	Inability to meet very high levels of local housing needs including affordable housing	Ongoing discussions with RSL/Housing Associations to identify development areas including affordable housing schemes

New Risks

3.4 Six new risks have been added to the Strategic Risk Register and these are detailed below. One risk has been deleted and been reworded to be incorporated in one of the new risks. Three risks titles have been reworded to more accurately reflect the risk, and all of the control measures and ratings for all other risks remain the same.

ASS5-1.4 Graham Frankland	Failure in asset management planning to make best use of the assets in terms of acquisition, disposal and occupation	3-5 year disposal strategy in place, Capital program for 07/08 to 09/10 revised and short term accommodation strategy being developed
ICT5-1.2	Fail to make progress on review of ICT contract in a timely fashion reducing the Council's ability to achieve service improvement through ICT and/or service disruption	Process has been agreed by CEMT and regular monitoring is reported to CMT
POL5-1.9 Adrienne Simcock	Failure to secure ministerial/DCSF approval for Outline Business Case for BSF	Potential stakeholders engaged, programme plan developed, ICT investment secured and regular reports to Cabinet and Portfolio holder

POS5-1.1 Paul Walker	Maintaining the 4* rating of the Council will provide opportunities to influence and positively reflect the achievements of the Council	Performance targets regularly reviewed by management teams/cabinet. Further improved Performance management arrangements for 2007/08
POS5-1.2 Peter Scott	Failure to facilitate the redevelopment of HCFE	Project team meets monthly to oversee progress and address key issues and funding. Close working links established between the Council and HCFE.
SOC5-1.1 Peter Scott	Inability to meet very high levels of local housing needs including affordable housing	Ongoing discussions with RSL/Housing Associations to identify development areas including affordable housing schemes

Deleted Risks

REP5-1.2 Paul Walker	Reduction of CPA rating will lead to adverse publicity and damage to the Council's reputation	Incorporated into new risk POS51.1

Risks with amended risk ratings

3.5   One of the risks within the Strategic Risk Register has been amended within this recent review.

Risk Ref/Resp. Officer	Risk	Previous Rating	New Rating	Explanation of change
Graham Frankland	FIN5-1.3	Amber/ Green	Amber/ Amber	Capacity of corporate procurement function to deliver is proving a difficulty. Delays in fully progressing spend analysis.

The officers will need to provide a short explanation of this change in order for all amendments to be report to the Portfolio Holder

Next Review

3.5 The Strategic Risk Register is reviewed by the CRMG on a quarterly basis. The findings will then be reported again to CMT and then on to Portfolio.

4. RECOMMENDATION

4.1 To note the review and amendments to the Council's strategic risk register and actions being taken.

Appendix 1 – Risk Register Ratings

In line with the risk management strategy, each risk is categorised to help ensure a systematic and comprehensive approach to risk management, the categories being:

- Political
- Financial
- Social
- Environmental
- Personnel

- Physical assets
- Information and technology
- Contractors/partners/suppliers
- Reputation

The risk rating is calculated on the basis of impact and likelihood – and the greater the degree of severity and probability, the higher the risk rating, in line with the following matrix:

LIKELIHOOD	IMPACT			
	Extreme	High	Medium	Low
Almost certain	RED	RED	RED	AMBER
Likely	RED	RED	AMBER	GREEN
Possible	RED	AMBER	AMBER	GREEN
Unlikely	AMBER	GREEN	GREEN	GREEN

IMPACT

Extreme   Total service disruption / very significant financial impact / Government intervention / sustained adverse national media coverage / multiple fatalities.

High   Significant service disruption / significant financial impact / significant adverse Government, Audit Commission etc report / adverse national media coverage / fatalities or serious disabling injuries.

Medium   Service disruption / noticeable financial impact / service user complaints or adverse local media coverage / major injuries

Low   Minor service disruption / low level financial loss / isolated complaints / minor injuries

LIKELIHOOD

Expectation of occurrence *within the next 12 months* -
- o Almost certain
- o Likely
- o Possible
- o Unlikely

Appendix 2 – Strategic Risk Register September 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**ASS5-1.3**
Section	STRATEGIC	**Review**	31/12/2007
Category	PHYSICAL ASSETS		

Risk Description **Failure to plan school provision appropriately**

Resp Officer   ADRIENNE SIMCOCK

Rating Without Control Measure Implementation   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
▪ Monitor population trends and school surplus places

▪ Ensure authority's statutory duties are met in relation to planning school places

▪ Three rounds of consultation in relation to Building Schools for the Future (BSF) completed

▪ Regular reports to Cabinet and Mayor's briefing on BSF

▪ Support from 4Ps

▪ Project team in place

Planned Risk Control
▪ Develop strategy for Change for Building Schools for the Future (BSF)

▪ Develop proposals in relation to Primary Capital Programme (PCP)

▪ Appoint Technical Advisers

Comments
Failure to plan school provision appropriately could result in being unable to access government funding to replace & refurbish school buildings. Establish agreed strategy for Building Schools for the Future and Primary Capital Programme.

Advanced Comments
Failure to plan school provision appropriately with declining school numbers could result in being unable to replace & refurbish school buildings. Unable to access programme for funding to maintain inefficient & costly premises. School premises do not meet new curriculum i.e not fit for purpose.

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**POL5-1.1**
Section	STRATEGIC	**Review**	31/12/2007
Category	POLITICAL/LEGISLATIVE		

Risk Description   Failure to appropriately safeguard children

Resp Officer   ADRIENNE SIMCOCK

Rating Without Control Measure Implementation   **AMBER**

Iimpact:	HIGH
Likelihood:	POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact:	HIGH
Likelihood:	POSSIBLE

Existing Risk Control Measures
- Some Data Protection procedures and protocols are in place and are reviewed through the Performance and Quality Group of the Local Safeguarding Children Board
- Collaboration with partners via the Local Safeguarding Children's Board

- Local Safeguarding Children Board, procedures, processes and guidance in place in relation to Child
   Protection and Safeguarding Children.
- Development of Integrated Working and Information Sharing programme

- Appointed Caldicott Guardian

- E-Safety group established

Planned Risk Control
- Complete implementation of Integrated Children's System implemented.

- Complete Integrated Working and Information Sharing programme

- Appointment of additional officers to support training and development within LSCB and to monitor the quality of reviews.

Comments
Failure to Implement the Information Sharing Agenda in line with DfES targets could create safeguarding and possibly financial risks.

Advanced Comments
Many Council departments, including Children's Services store and handle sensitive and private information, much of this used in multi agency settings and on electronic media. Data protection procedures are in place. A number of partners have a duty to collaborate to ensure the welfare of children for example health, police. If information is not shared (i.e. the failure to implement the information sharing agenda) correctly could result in the death of a child.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**POL5-1.9**
Section	STRATEGIC	**Review**	31/12/2007
Category	POLITICAL/LEGISLATIVE		

Risk Description **Failure to secure ministerial/DCSF approval for Outline Business Case for BSF**

Resp Officer   ADRIENNE SIMCOCK

Rating Without Control Measure Implementation   **RED**

Iimpact:	EXTREME
Likelihood:	POSSIBLE

Amended Rating with Control Measures Implemented   **GREEN**

Impact:	HIGH
Likelihood:	UNLIKELY

Existing Risk Control Measures
- Principal stakeholders engaged e.g: LSC on 14 - 19, Dioceses

- Programme plan developed

- ICT investment secured

- Agreement with PfS on procurement route

- Regular reports to cabinet and portfolio holder

- Gateway 0 process completed and recommendations being addressed.

Planned Risk Control
- Appointment of External Advisers

- 14-19 strategic issues being strengthened in line with Gateway 0 recommendations

- Closer links being built to LSC

Comments
In the absence of ministerial/DCSF approval, the investment is unable to take place.
Advanced Comments
None

Report Run By   CEACPH

02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**ENV5-1.3**
Section	STRATEGIC	**Review**	31/12/2007
Category	ENVIRONMENTAL		

Risk Description **Failure to carry out testing and ongoing monitoring of the Anhydrite Mine**

Resp Officer   ALAN COULSON

Rating Without Control Measure Implementation   **RED**

Iimpact: EXTREME
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **RED**

Impact: EXTREME
Likelihood: POSSIBLE

Existing Risk Control Measures

▪ Study carried out in 2001 which identified the need for further monitoring

▪ Cabinet agreed first stage of investigation

▪ Further testing to be carried out in late 2006

▪ Financial approval from English Partnerships received April 07

▪ Site Investigation Work is almost complete

▪ Consultant will start looking at interpretative report

Planned Risk Control

▪ Will be awaiting the outcome report from the Site Investigation work.

▪

Comments
Risk of subsidence and cost to Council in monitoring condition. Also problem in determining Planning applications. Exact condition unknown at present

Advanced Comments
The Council purchased land above an Anhydrite Mine in 1980. Planning permission has been granted to build on the zone of influence. There is a land stabilisation programme which was originally grant funded by the Environment Protection Agency that recommends testing and ongoing monitory to identify the speed of erosion. If a large planning application was received by the Council which overlapped the anhydrite mine the Council would not be able to determine the planning applications if the land stabilisation programme is not continued by the Council this could result in legal costs & negative publicity. However from the data & information the Council currently has there is no short term risk of collapse…

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**FIN5-1.9**
Section	STRATEGIC	**Review**	31/12/2007
Category	FINANCIAL		

Risk Description Contaminated Land

Resp Officer   ALAN COULSON

Rating Without Control Measure Implementation   **RED**

Iimpact:	EXTREME
Likelihood:	POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact:	HIGH
Likelihood:	POSSIBLE

Existing Risk Control Measures

▪ An approved inspection strategy monitored by cabinet

▪ Framework Consultant Technical Assessments to transfer risks to external companies

▪ Seaton Carew - Work is ongoing in trying to remediate this site.

▪ A large amount of resources has been put into resolving the problems at Seaton Carew, the remediation work will be sent out to tender before the end of March 2007.

▪ We now have a preferred contractor and subject to financial approval from Defra, work will commence late summer.

▪ We have been advised from Defra that financial approval is immanent.

Planned Risk Control

▪ Preferred contractor now in place and awaiting start date.

▪

<u>Comments</u>

The contaminated land process is resource intensive and very sensitive in the community. Pressure to take action on other potential sites could affect the Council's finances, staff and reputation

<u>Advanced Comments</u>

None

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**ICT5-1.1**
Section	STRATEGIC	**Review**	31/12/2007
Category	INFORMATION & TECHNOLOGY		

Risk Description Experiencing failure or lack of access to Critical ICT systems

Resp Officer   ANDREW ATKIN

Rating Without Control Measure Implementation   **RED**

Iimpact: EXTREME
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
- Data back up and recovery plans operated by Northgate

- Information security action plan is in place to address the requirements of the Audit Commission audit

- Ind. Prof.ICT advice now in place

- Core system service standards availability added into the SLA - new.

- SLA service Standards revised upwards in terms of availability.

- Client Service Officer now in post to monitor N'gate quality/service standards

Planned Risk Control
- Business continuity arrangements being developed through corporate group

- Contract review planned as part of service plan for 2007/8

-

Comments
The Council operates a number of critical computer based systems. Major failure of the system or denial of access could cause serious disruption/total loss of service delivery...

Advanced Comments
The council operates a number of critical computer based systems. Major failure of the system or denial
of access could cause serious disruption/total loss of service delivery.
E.g a Power Spike resulting in loss of ICT and back up systems

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**REP5-1.7**
Section	STRATEGIC	**Review**	31/12/2007
Category	REPUTATION		

Risk Description **Loss of Council reputation due to both internal and external factors**

Resp Officer   ANDREW ATKIN

Rating Without Control Measure Implementation   **RED**

Iimpact:	HIGH
Likelihood:	LIKELY

Amended Rating with Control Measures Implemented   **AMBER**

Impact:	MEDIUM
Likelihood:	POSSIBLE

Existing Risk Control Measures
- Strong relationships with all departments/councillors to plan how the Council deals with major/key issues
- Strong relationships with outside bodies to plan how the Council deals with major/key issues
- Emergency Plan in place to deal with major incidents
- Members development programme to ensure members are able to deal with situations that involve external
  agencies i.e the media
- Officers development programme to ensure officers have the skills to deal with all situations professionally
- Business Continuity Plans in place and development continues

Planned Risk Control
- Plans to be developed to raise council profile with new portfolio holder

Comments
External factors include agencies such as the media, other local authorities and business. Internal factors include situations where incorrect/inaccurate information is released by officers or members

Advanced Comments
None

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC		**Risk Ref**	**PER5-1.2**
Section	STRATEGIC		**Review**	31/12/2007
Category	PERSONNEL			

Risk Description　**Failure to provide council services during emergency conditions**

Resp Officer　　　DENIS HAMPSON

Rating Without Control Measure Implementation　　　　　　　　　**RED**

Iimpact:	EXTREME
Likelihood:	POSSIBLE

Amended Rating with Control Measures Implemented　　　　　　**AMBER**

Impact:	EXTREME
Likelihood:	UNLIKELY

Existing Risk Control Measures

- Some ad hoc continuity plans in some services

- High level of planning for an emergency affecting the local community or environment

- Business Continuity Champion appointed (Autumn 2006)

- MI Response Plan for Schools

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Planned Risk Control

- Draft pandemic Flu plan in progress

- Departmental Business Continuity planning in progress

- Review of Council's MI Response Plan in progress

Comments
Further consideration should be paid to planning to continue the council's own services should it be affected by any event which denies access or availability of key resources.

Advanced Comments
The Council is the lead authority in the Tees valley area for emergency planning and detailed emergency plans for a major disaster affecting the local population or environment, and ensuring that these are in place and have been tested.

Report Run By　CEACPH　　　　　　　　　　　　　　　　　02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC		**Risk Ref**	**PER5-1.3**
Section	STRATEGIC		**Review**	31/12/2007
Category	PERSONNEL			

Risk Description **Flu pandemic**

Resp Officer   DENIS HAMPSON

Rating Without Control Measure Implementation   **RED**

         Iimpact: EXTREME
         Likelihood: LIKELY

Amended Rating with Control Measures Implemented   **RED**

         Impact: HIGH
         Likelihood: LIKELY

Existing Risk Control Measures

- Main Flu pandemic contingency plan in draft and operable

- Bus. Continuity Plan with Departmental overarching framework

- Critical Services Identified at a strategic level

- Strategic Incident Response Team

- Disaster Plan with Northgate & remote access plan.

- Exercises conducted with Health agencies

Planned Risk Control

- New national guidance being drafted

-

Comments

Estimated that 25% of the population could be affected at any one time resulting in 40% staff absenteeism due both to illness & carers responsibilities. Nationally this is a HIGH risk - question is not, if it will happen, but when!

Advanced Comments

It is estimated that 25% of the population could be affected at any point resulting in 40% of staff being absent from work both due to illness and carers responsibilities. This could result in the Council being unable to deliver their critical services and impact on the community.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**FIN5-1.2**
Section	STRATEGIC	**Review**	31/12/2007
Category	FINANCIAL		

Risk Description **Failure to provide council services during emergency conditions**

Resp Officer   Ewen Weir

Rating Without Control Measure Implementation   **RED**

     Iimpact: HIGH

     Likelihood: ALMOST CERTAIN

Amended Rating with Control Measures Implemented   **RED**

     Impact: HIGH

     Likelihood: LIKELY

Existing Risk Control Measures

- Business Continuity plans being prepared in all services

- High level of planning for an emergency affecting the local community or environment

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Planned Risk Control

- Document Management development

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Comments

Further consideration should be paid to planning to continue the council's own services should it be affected by any event which denies access or availability of key resources.

Advanced Comments

Further consideration should be paid to planning to continue the council's own services should it be affected by any event which denies access or availability of key resources. The Council is the lead in the Tees valley area for emergency planning & detailed emergency plans for a major disaster affecting the local population or environment, and ensuring that these are in place and have been tested.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**ASS5-1.1**
Section	STRATEGIC	**Review**	31/12/2007
Category	PHYSICAL ASSETS		

Risk Description   Lack of resources to maintain building stock

Resp Officer   GRAHAM FRANKLAND

Rating Without Control Measure Implementation   **AMBER**

Iimpact: HIGH
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
- Capital programme resources in place for 07/08, 08/09 and 09/10

- Prudential borrowing arrangements to provide £3m towards the Civic Centre

- Strategic Asset Management group established

- Reviewed Capital Strategy and Asset Management Plan in place

- Plan to reduce maintenance backlog produced for cabinet

-

Planned Risk Control
- Further pressure s highlighted in budget process - additional investment in capital programme for 2007/8 and beyond
- Rationalisation of building stock as a result of longer term accommodation strategy to be based on the future shape of the authority.
-

Comments
Much of the Council's building stock is in poor condition due to past underfunding of required maintenance. This is now being addressed. Current maintenance must be sustained. Key line of enquiry in CPA use of resources assessment

Advanced Comments
Much of the Council's building stock is in poor condition. This includes the Civic Centre, Mill House, and a number of Community service buildings e.g Libraries. Not all buildings meet the requirements of the Disabilities and Discrimanation Act which could lead to prosecution and impact on the reputation of the   Council. The needs of the building stock has changed and therefore they are not necessarily fit for purpose or located in the correct area which could also impact on the reputation of the Council. The Civic Centre is full to capacity (to the extent that it has proven difficult to recruit new posts)

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**ASS5-1.4**
Section	STRATEGIC	**Review**	31/12/2007
Category	PHYSICAL ASSETS		

Risk Description **Failure in asset management planning to make best use of assets in terms of acquisition, disposal and occupation**

Resp Officer   GRAHAM FRANKLAND

Rating Without Control Measure Implementation   **RED**

Iimpact: HIGH
Likelihood: LIKELY

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
- Review of latent value completed

- 3-5 year disposal strategy in place

- Flexible disposals programme to achieve capital receipts

- Short term accommodation strategy developing

- Capital strategy and asset management plan revised

- Capital program in place for 07/08 to 09/10

Planned Risk Control
- Review of disposal strategy

- Continued service asset management review

- Plan for future scope of the authority. Long term accommodation strategy

Comments
Poor use of assets/resources, not achieving capital receipts, lack of investment programmes and not achieving valuations / efficiencies are all risks to the Council's operation of service financial strategy and CPA score

Advanced Comments
None

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC		**Risk Ref**	**ENV5-1.4**
Section	STRATEGIC		**Review**	31/12/2007
Category	ENVIRONMENTAL			

Risk Description **Environmental and financial consequences of climate change**

Resp Officer   GRAHAM FRANKLAND

Rating Without Control Measure Implementation   **AMBER**

    Iimpact: HIGH
    Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

    Impact: HIGH
    Likelihood: POSSIBLE

Existing Risk Control Measures
- Environmental partnership is established as a theme partnership in the LSP along with sub groups

- Neighbourhood Services are leading on environmental & energy saving agenda within the Council. Departmental sustainability plan prepared to mitigate impact
- Council has signed up to Tees Valley Climate Change Partnership

- Produce energy saving policies as guidance

- Monitor energy usage and procurement

- Flexible purchasing policy agreed via NEPO

Planned Risk Control
- Further energy saving awareness / education inc EST key account management review

- Deliver climate change strategy. • Climate change action plan being prepared

- Procurement of energy for 08/09. • The funding of a climate change officer

Comments
By not achieving energy consumption reductions the council will face substantial rises in cost & fail to deliver on the climate change agenda & target set by the govt so damaging the environment of Hartlepool

Advanced Comments
None

Report Run By CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**FIN5-1.3**
Section	STRATEGIC	**Review**	31/12/2007
Category	FINANCIAL		

Risk Description **Failure to deliver efficiency savings through procurement**

Resp Officer GRAHAM FRANKLAND

Rating Without Control Measure Implementation **AMBER**

Iimpact: HIGH
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented **AMBER**

Impact: MEDIUM
Likelihood: POSSIBLE

Existing Risk Control Measures
- Corporate procurement group established to drive implementation of national and local strategy requirements
- Procurement strategy developed & baseline developed with progress & performance being monitored
- Collaborative link with NE Centre of Excellence & Tees Valley Authorities
- E procurement needs identified as part of IEG 4
- 5 year Procurement Plan in place with linked projects
- Contract Procedure Rules updated

Planned Risk Control
- Enhance collaboration with other local authorities
- Revised procurement strategy to be produced. •Strategic procurement function to be reviewed - In particular resourcing / capacity
- Spend analysis to be completed. •Contract registration to be enhanced. •e-procurement to be further developed

Comments
The CA highlighted need to strengthen Councils strategic procurement and how we deliver services. There are capacity issues to be addressed as well as corporate 'buy-in' to projects, the achievement of savings & the redirection of budgets.

Advanced Comments
The Implementation of the National Procurement strategy is of increasing importance nationally given the requirements of the efficiency. A good deal of work is required for Hartlepool to be able to implement this strategy. Failure to implement National Procurement Strategy could result in government intervention/reduced funding.

Report Run By CEACPH 02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**FIN5-1.8**
Section	STRATEGIC	**Review**	31/12/2007
Category	FINANCIAL		

Risk Description Financial Viability and capacity of Building Consultancy services

Resp Officer   GRAHAM FRANKLAND

Rating Without Control Measure Implementation   **RED**

Iimpact: HIGH
Likelihood: ALMOST CERTAIN

Amended Rating with Control Measures Implemented   **RED**

Impact: HIGH
Likelihood: LIKELY

Existing Risk Control Measures
- Reduction on staffing levels to match work programme

- Increase in TOS budget support

- Increase in income generation

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Planned Risk Control
- Explore further income generation. •Review corporate funding allocation

- Pursue framework agreements   • Ensure council projects are delivered 'in-house'

- Collaborate with other LA's and partners •Seek additional resources for legionella & management

<u>Comments</u>
BC delivers key legislative requirements eg legionella management. The reduction of fee earning work & the increase in corporate work gives rise to units viability & H&S obligations of Council Recruitment & retention is serious concern.

<u>Advanced Comments</u>
Risk to the financial viability of buidling consultancy. Initial risk measures inadequate to solve long term problem. Political uncertainty about how to progress. Building Consultancy Service work/projects are reducing (The Govt approach to schools exacerbates the issue) which could result in the loss of architects & other skills the services still maintains central overhead costs which may not be met by income generation and the service may be unable to deliver the current level of services.

Report Run By CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**POL5-1.5**
Section	STRATEGIC	**Review**	31/12/2007
Category	POLITICAL/LEGISLATIVE		

Risk Description Failure to operate vehicles safely

Resp Officer   JAYNE BROWN

Rating Without Control Measure Implementation   **RED**

Iimpact:	HIGH
Likelihood:	LIKELY

Amended Rating with Control Measures Implemented   **GREEN**

Impact:	HIGH
Likelihood:	UNLIKELY

Existing Risk Control Measures
- 4 weekly monitoring of trading position

- Staff trained in the delivery of the MiDAS driver training scheme

- Onboard weighing systems fitted to refuse vehicles, to monitor vehicle overloading

- Selected driver training.

- Associated risk assessments and safe systems of work in place

- All Workshop, Community Transport and Procurement risk assessments and Safe systems of work have been reviewed

Planned Risk Control
- Evaluation of fleet management systems, to be procured through the Tees Valley procurement strategy group
- Establish an integrated transport strategy

- Driver policy, handbook and associated training being developed in conjunction with Road and Transport Safety team

Comments
None
Advanced Comments
None

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**REP5-1.8**
Section	STRATEGIC	**Review**	31/12/2007
Category	REPUTATION		

Risk Description   Loss of O License

Resp Officer   JAYNE BROWN

Rating Without Control Measure Implementation   **RED**

Impact: EXTREME
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact: EXTREME
Likelihood: UNLIKELY

Existing Risk Control Measures

- Review as part of quarterly performance management

- Loading measurement equipment & monitoring process implemented with weight readings fed directly
  to operational managers
- Robust driver vehicle inspection regime supported by efficient vehicle maintenance facility

- Tachograph and driver licences inspected on a regular basis

- Comprehensive driver training scheme and code of practice initiated in Transport Services Section

- 2 professional staff capable of holding 'O' licence

Planned Risk Control

- None

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Comments
Provide a fleet of vehicles fit for purpose. Unable to run vehicle fleet, high financial and reputation loss. Government Intervention. Service unable to operate. Condition of fleet due to lack of investment. No
    licence holder employed

Advanced Comments
If the Council fails to operate the vehicle fleet in line with the conditions of their operating licence the licence could be removed e.g. drivers hold the correct licences, vehicles are loaded correctly and meet safety standards. This would mean that the Council would be unable to run their vehicle fleet, services such as refuse, those transporting vulnerable people would be unable to use their vehicles. This could result in government intervention, high financial cost and loss of reputation.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**ICT5-1.2**
Section	STRATEGIC	**Review**	31/12/2007
Category	INFORMATION & TECHNOLOGY		

Risk Description **Fail to make progress on review of ICT contract in a timely fashion reducing the Council's ability to achieve service improvement through**

Resp Officer JOAN CHAPMAN

Rating Without Control Measure Implementation **AMBER**

Iimpact: EXTREME
Likelihood: UNLIKELY

Amended Rating with Control Measures Implemented **AMBER**

Impact: EXTREME
Likelihood: UNLIKELY

Existing Risk Control Measures
▪ Initial report prepared

▪ Agreement of process by CEMT and CMT

▪ Regular monitoring of progress by CEMT and CMT

▪

▪

▪

Planned Risk Control
▪ Cabinet report & funding agreement October 2007

▪ Carrying out Gateway Reviews throughout project

▪ Regular meetings of programme Board

Comments
None
Advanced Comments
None

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC		**Risk Ref**	**FIN5-1.1**
Section	STRATEGIC		**Review**	31/12/2007
Category	FINANCIAL			

Risk Description **Future Equal pay claims**

Resp Officer   JOANNE MACHERS

Rating Without Control Measure Implementation   **RED**

Impact: HIGH

Likelihood: LIKELY

Amended Rating with Control Measures Implemented   **RED**

Impact: HIGH

Likelihood: LIKELY

Existing Risk Control Measures
- Resources have been factored into the budget strategy for future pay claims

- Consultation & negotiation with staff and unions with ACAS support

- Job Evaluation exercise is completed

- Bridging the gap arrangements for 1 April 2004 - 31 March 2007

-

- Settlement agreed (via COT3) of almost 100% of high risk group employees until March 07

Planned Risk Control
- Single Status Agreement under negotiation

- Negotiating transfer of unskilled Red Book workers to Green Book terms and terminate bonus schemes
- Pre-remedies settlement under negotiation for successful claimants

Comments
Increased financial burden from successful claims will reduce funds available for service delivery and may threaten jobs.

Advanced Comments
Although 97% of all equal pay claims have been bought out up to 31st March 2004, a significant number of claims are still registered and there is an ongoing risk relating to these.

Equal pay considerations may affect competitiveness

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**FIN5-1.11**
Section	STRATEGIC	**Review**	31/12/2007
Category	FINANCIAL		

Risk Description **Current Equal Pay Claims including settlement of, or adverse findings in ET of existing equal pay claims**

Resp Officer   JOANNE MACHERS

Rating Without Control Measure Implementation   **RED**

        Iimpact: HIGH

        Likelihood: ALMOST CERTAIN

Amended Rating with Control Measures Implemented   **RED**

        Impact: HIGH

        Likelihood: ALMOST CERTAIN

Existing Risk Control Measures

▪ Potential costs factored into financial planning arrangements

▪ Counsel's advice received in respect of possible settlement terms

▪ Ongoing discussions with claimants solicitors regarding possible settlement terms

▪ Preliminary legal points resolved

▪ Favourable ET decisions regarding Aided School employees (subject to appeal)

▪

Planned Risk Control

▪ Pre-remedies hearing settlement under negotiation

▪

Comments

Current equal pay claims could result in significant additional costs to the Council & a significant impact on the Council's finances & financial planning arrangements.

Advanced Comments

None

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**PER5-1.1**
Section	STRATEGIC	**Review**	31/12/2007
Category	PERSONNEL		

Risk Description   **Loss of key staff / Insufficient numbers of staff to match service delivery demands**

Resp Officer   JOANNE MACHERS

Rating Without Control Measure Implementation   **RED**

Iimpact: HIGH
Likelihood: LIKELY

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures

- Development of career grade structures in Regeneration and Planning

- Use of outside support as appropriate - Agency & consultants

- Mainstreaming of exit strategies for some posts

- Recruitment & Retention team in place within Human Resources with Recruitment and Retention Strategy agreed

- Corporate Restructure complete & new directors grading structure agreed

- People Strategy and Workforce Development Plan in place

Planned Risk Control

- Single Status Agreement to incorporate career grades, career pathways, generic job profiles, etc.

- New pay & grading structure will consider market testing data

- Workforce planning guide for officers published

Comments
Further losses of key posts could significantly impact on the ability of the Council to maintain current excellent performance ratings and also meet the overall aims and objectives set by the Council.

Advanced Comments
Further losses of key posts could significantly impact on the ability of the Council to maintain current excellent performance ratings & also meet the overall aims & objectives set by the Council. Over past 12 months a number of senior staff have left the authority to take up posts elsewhere.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**FIN5-1.10**
Section	STRATEGIC	**Review**	31/12/2007
Category	FINANCIAL		

Risk Description **Failure to maintain trading activity**

Resp Officer   KEITH SMITH

Rating Without Control Measure Implementation   **RED**

Iimpact:	HIGH
Likelihood:	LIKELY

Amended Rating with Control Measures Implemented   **GREEN**

Impact:	HIGH
Likelihood:	UNLIKELY

Existing Risk Control Measures
- Four weekly monitoring of trading position

- Business/Service Plans including monitoring of performance of trading activities.

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Planned Risk Control
- None

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Comments
There is potential over the next 2/3 years for a reduction in trading activity due to increased central overhead costs & charges to services remaining the same therefore operating at a loss.

Advanced Comments
There is a potential over the next 2/3 years for a reduction in trading activity due to increased central overhead costs & charges to services remaining the same therefore operating at a loss. If the cost of cleaning services are increased there is a possibility that departments e.g. schools would stop using the service which would also result in reductions in the trading activity of the Council.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**CPS5-1.2**
Section	STRATEGIC	**Review**	31/12/2007
Category	CONTRACTORS, PARTNERS & SUPPLIERS		

Risk Description **Failure to have adequate governance procedures in partnerships/partnership protocol**

Resp Officer MIKE WARD

Rating Without Control Measure Implementation **AMBER**

Impact: MEDIUM
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented **GREEN**

Impact: LOW
Likelihood: POSSIBLE

Existing Risk Control Measures

▪ The Council currently has a number of ad hoc arrangements covering various partnership activities.

▪ These are dependant upon the size complexity & importance of the partnership.

▪ These cover set up and subsequent monitoring arrangements.

▪

▪

▪

Planned Risk Control

▪ Comprehensive strategic framework for all partnerships.

▪

Comments
In some partnerships the council takes funding as the accountable body.

Advanced Comments
In some partnerships the council takes funding as the accountable body. The council does not always have control over the decisions that are made by an organisation in the partnership and therefore incorrect decisions could be made resulting in claw back of funding. In some partnership working the Council may pay money up front and claim the money back from funding streams through appraisals on an annual basis. If there is a poor relationship between parties claims may not be made in sufficient time and the council could be left with significant costs.

Report Run By CEACPH 02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**FIN5-1.4**
Section	STRATEGIC	**Review**	31/12/2007
Category	FINANCIAL		

Risk Description **Sustainability of grant funded services / projects**

Resp Officer   MIKE WARD

Rating Without Control Measure Implementation   **RED**

Iimpact: HIGH
Likelihood: LIKELY

Amended Rating with Control Measures Implemented   **AMBER**

Impact: MEDIUM
Likelihood: LIKELY

Existing Risk Control Measures
- Exit strategies for key time limited programmes

- Flexibility and financial freedoms granted to CPA "excellent" rated authority

- Application made for special resources to meet housing improvement requirements

- Review of affected programmes once DCSG allocations announced

- The Council has included details of reducing and time expiring grant schemes into its budget process

- Loss of funding considerations is integrated into the budget process

Planned Risk Control
- None

Comments
Sustainability of a service once a funding stream comes to an end is a risk in many areas.
Advanced Comments
Financial position of the Council is relatively strong however many services (including mainstream services) are funded through specific time-limited ring fenced funding streams. Sustainability of a service once a funding stream comes to an end is a risk in many areas.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC		**Risk Ref**	**FIN5-1.5**
Section	STRATEGIC		**Review**	31/12/2007
Category	FINANCIAL			

Risk Description **Failure to achieve (or significant delay in meeting) capital receipt targets**

Resp Officer   MIKE WARD

Rating Without Control Measure Implementation   **GREEN**

Iimpact: LOW
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **GREEN**

Impact: LOW
Likelihood: UNLIKELY

Existing Risk Control Measures

▪ Disposals managed to prudential guidelines

▪ Healthy level of Council reserves

▪ 3-5 Year property disposals strategy

▪ Prudential Framework mitigates the impact of risk by giving alternative funding options

▪

▪

Planned Risk Control

▪ None

Comments
The capital receipts target is based on a small number of large scale planned disposals. Failure to complete these disposals (or a significant delay) could have serious financial implications.

Advanced Comments
The capital receipts target is based on a small number of large scale planned disposals. Failure to complete these disposals (or a significant delay) could have serious financial implications. The risk has now reduced due to the disposal of sites.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**FIN5-1.6**
Section	STRATEGIC	**Review**	31/12/2007
Category	FINANCIAL		

Risk Description **Impact upon the Council from outsourcing of significant service areas**

Resp Officer   MIKE WARD

Rating Without Control Measure Implementation   **AMBER**

Iimpact: MEDIUM
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **GREEN**

Impact: MEDIUM
Likelihood: UNLIKELY

Existing Risk Control Measures
- Experience of TUPE transfers

- Arrangements for service delivery to others in place (i.e. Fire Authority)

- Arrangements in place to monitor the stability of organisations. These will help to anticipate future changes
- Experience of managing outsourced ICT partner

- Use of reserves to smooth adjustment period

-

Planned Risk Control
- None

Comments
Hartlepool BC is a relatively small Unitary Authority. Outsourcing of significant service areas (such as Hartlepool Housing) can have a significant impact on the organisation…

Advanced Comments
Hartlepool BC is a relatively small Unitary Authority. Outsourcing of significant service areas (such as Hartlepool Housing) can have a significant impact on the organisation in terms of remaining capacity, spread of overhead costs and ability to be efficient e.g PFI findings for extended schools.

Report Run By CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**REP5-1.1**
Section	STRATEGIC	**Review**	31/12/2007
Category	REPUTATION		

Risk Description **Discretionary services cut or reduced**

Resp Officer   MIKE WARD

Rating Without Control Measure Implementation   **RED**

                              Iimpact: MEDIUM
                          Likelihood: ALMOST CERTAIN

Amended Rating with Control Measures Implemented   **RED**

                              Impact: MEDIUM
                          Likelihood: ALMOST CERTAIN

Existing Risk Control Measures
- Risk and consequences of proposed cuts are highlighted at appropriate points in the decision making
process
- Budget strategy includes consultation processes to inform decision making process with stake holder views
-
-
-
-

Planned Risk Control
- None

-

Comments
Many of the services provided by the Council are non-statutory and are frequently targeted for budget reductions.

Advanced Comments
Many of the services provided by the Council are non-statutory & are frequently targeted for budget reductions. There is also unknown budget pressure with regards to the cost of job evaluation not being known until 2007. The Council is aware that the risk of discretionary services being out/reduced will increase next year.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC		**Risk Ref**	**CPS5-1.1**
Section	STRATEGIC		**Review**	31/12/2007
Category	CONTRACTORS, PARTNERS & SUPPLIERS			

Risk Description **Failure to work in effective partnerships with Health Services**

Resp Officer   NICOLA BAILEY

Rating Without Control Measure Implementation   **RED**

                                 Iimpact: HIGH
                           Likelihood: ALMOST CERTAIN

Amended Rating with Control Measures Implemented   **AMBER**

                                 Impact: HIGH
                           Likelihood: POSSIBLE

Existing Risk Control Measures
- Individual Partnership agreements covering responsibilities, accountabilities and liabilities

- Local Strategic P/ship each p/ship has a method to manage the p/ship e.g. board responsible for monitoring performance
- As a result of NHS organisational change we have reaffirmed our commitment and understanding of
  integration and partnerships with the PCT and the new MH/LD trust to ensure we have a dear
-

-

-

Planned Risk Control
- Development of a dear partnership agreement with the PCT for integrated services

- Review of existing partnership agreement and re development of a new agreement with TEWV NHS Trust for MH/LD
-

Comments
White paper has set timescales for the Council and Health Services to work in an organisational partnership. Not meeting the timescales could result in a poor CPA rating and social care performance rating.

Advanced Comments
None

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC		**Risk Ref**	**FIN5-1.7**
Section	STRATEGIC		**Review**	31/12/2007
Category	FINANCIAL			

Risk Description Potential for cost shunting between NHS and HBC re CHC

Resp Officer NICOLA BAILEY

Rating Without Control Measure Implementation **RED**

Iimpact: HIGH
Likelihood: LIKELY

Amended Rating with Control Measures Implemented **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
- Vigorous representation within steering group led by Strategic Health Authority

- Requests for clarity and national protocol from the department of Health (CSSI)

- Contingency level of budget impact identified

- Local discussion and negotiation in Panels, with appeals mechanism

- Local Authorities & Health Care providers to review certain cases

- that have been refused NHS Continuing Care in line with recent NHS Ombudsman judgement

Planned Risk Control
- None

-

Comments
Primary responsibility for clients with social care needs rest with the Council, & for medical/health care needs with the NHS.

Advanced Comments
Primary responsibility for clients with social care needs rest with the Council, and for medical/health care needs with the NHS. However clients often have complex problems and it is sometimes difficult to distinguish whether the predominating need is for health or social care which ever is dominant pays. Increased demand for social care funding as a result of changing & implementation of NHS Continuing Care Guidance.

Report Run By CEACPH 02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**POL5-1.7**
Section	STRATEGIC	**Review**	31/12/2007
Category	POLITICAL/LEGISLATIVE		

Risk Description **Potential negative effect of changes in local authority structures on Hartlepool**

Resp Officer   PAUL WALKER

Rating Without Control Measure Implementation **RED**

Iimpact: EXTREME
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
- Promote H/Pool's success at National, Regional and Sub Regional

- Keep abreast of changing/emerging policies and ensuring that the success of H/pool is recognised

- Responding to national consultation on the role & function of local authorities

- Ensuring continued focus on achievement of local priorities

-

-

Planned Risk Control
- review of implications of local govt Bill and plans required to address this

- Consideration to shape the authority to meet national policy drivers including efficiency

-

Comments
The White Paper Future Funding Local Government - Structures Two Tier Areas to Unitary Authority with between 250,000 and 1.5 million population.

Advanced Comments
The White Paper Future Funding Local Government - Structures Two Tier Areas to Unitary Authority with between 250,000 and 1.5 million population. Hartlepool has 90,000 population which could be below the minimum required and therefore Hartlepool could disappear or merge with other local smaller Councils e.g Easington to form a Greater Authority.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**POL5-1.8**
Section	STRATEGIC	**Review**	31/12/2007
Category	POLITICAL/LEGISLATIVE		

Risk Description **National & regional needs imposed which may not reflect Hartlepool needs including the creation of City Regions**

Resp Officer   PAUL WALKER

Rating Without Control Measure Implementation   **RED**

Iimpact: HIGH
Likelihood: ALMOST CERTAIN

Amended Rating with Control Measures Implemented   **AMBER**

Impact: MEDIUM
Likelihood: POSSIBLE

Existing Risk Control Measures

- Ongoing responses to Gov consultation on changes or potential changes at a nat & reg level e.g Lyons Enquiry
- Promoting Hartlepool both within the Region & to a wider audience
- Working with organisations directly & regional Tees Valley Authorities
- Maintain Operation/Management Communications with local and regional agencies
-
-

Planned Risk Control

- Review of LAA provides opportunity to focus on local needs
-
-

Comments

The Council has good relationships with local organisations which enables the Council to be effective in developing local initiatives.

Advanced Comments

The Council has good relationships with local organisations which enables the Council to be effective in developing local initiatives e.g Neighbourhood Policy. The introduction of regional organisations (Police, Primary Care Trusts, Fire & Learning Skills Council) could result in the Council having less influence making it difficult to meet local needs. National & regional needs may be imposed which may not reflect the needs of Hartlepool.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**POS5-1.1**
Section	STRATEGIC	**Review**	31/12/2007
Category	POSITIVE		

Risk Description **Maintaining the 4* rating of the Council will provide opportunities to influence and positively reflect the achievements of the council**

Resp Officer   PAUL WALKER

Rating Without Control Measure Implementation   **AMBER**

                                                                        Iimpact: HIGH
                                                                        Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

                                                                        Impact: HIGH
                                                                        Likelihood: POSSIBLE

Existing Risk Control Measures

▪ Performance targets regularly reviewed by management teams/Cabinet

▪ Further improved performance management arrangements for 2007/08

▪ Implementation of organisational development priorities included in Corp Plan 2007/08

▪

▪ Lead Officers identified with regular monitoring & review by CMT to be developed

▪

Planned Risk Control

▪ Consideration of CPA service performance fameworks in relation to 2007/8 service planning

▪ Direction of travel statement being prepared with aim of enhancing improvement rating

▪ Take up opportunities to influence through LAA pilot

<u>Comments</u>
A reduction in the CPA rating could create an adverse effect on staff morale / recruitment and retention

<u>Advanced Comments</u>
None

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**REP5-1.3**
Section	STRATEGIC	**Review**	31/12/2007
Category	REPUTATION		

Risk Description **Change programme / Restructuring of the Authority**

Resp Officer   PAUL WALKER

Rating Without Control Measure Implementation   **RED**

Iimpact: HIGH
Likelihood: LIKELY

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
- Project management and risk assessment assigned to change programme teams

- Communication with staff e.g. briefings, newsletters, mgt team meeting, CMT monthly meeting, cllr breifings
- Continue regular monitoring of performance through CMT, DMTs, Cabinet & Scrutiny

- Way Forward Board, Steering Group, Quarterly monitoring by CMT

- Temporary staffing arrangements in place to cover vacant posts

-

Planned Risk Control
- Consideration of the ahpe of the authority in the light of national and local policy drivers

-

Comments
The lack of people in post and/or acting up through the Change Programme/Restructuring of the Authority

Advanced Comments
The Council has embarked upon a major change programme which includes reorganisation into 5 principle departments (currently 6) and the creation of a new Children's Services Department. Significant changes to systems and processes are involved.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**REP5-1.4**
Section	STRATEGIC	**Review**	31/12/2007
Category	REPUTATION		

Risk Description **Loss of focus on strategic direction and key priorities (political direction)**

Resp Officer   PAUL WALKER

Rating Without Control Measure Implementation   **AMBER**

Iimpact: HIGH
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
- Members development programme has been developed and will be further enhanced

- Provision of information to inform the budgetary process for 2005/6 (consultation, SIMALTO etc)

- Members seminar programme in operation throughout the year

- Members regular monitoring of performance against priorities

-

-

Planned Risk Control
- None

-

Comments
The previous 12 months have been a period of on-going change at Hartlepool
Advanced Comments
The previous 12 months have been a period of great change at Hartlepool. There have been a number of changes to senior officer posts and also local elections which have resulted in a change in the make up of the council and a number of new and returning members. The change is ongoing with a potential referendum in October 2006 to remove the post of elected mayor which would have an impact on strategic direction.

Report Run By CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**ENV5-1.1**
Section	STRATEGIC	**Review**	31/12/2007
Category	ENVIRONMENTAL		

Risk Description **Controversy relating to contentious decisions**

Resp Officer   PETER SCOTT

Rating Without Control Measure Implementation   **AMBER**

Iimpact: HIGH
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
- Work closely with other agencies e.g Environment Agency, HSE & GONE

- Professionally qualified staff and the obtaining of professional advice from external specialists

- Early alert to Executive Members and Public Relations office of potential media interest stories

- Ensure requests for specialist information from developers

-

-

Planned Risk Control
- None

-

Comments
In certain exceptional cases development proposals come forward with potentially wide ranging environmental implications. HBC may not be able to influence decisions which have a negative impact on its reputation/image of area/local economy

Advanced Comments
In certain exceptional cases development proposals come forward with potentially wide ranging environmental implications and which are contentious and require a range of decisions from a number of agencies including the Council as Planning Authority. The Council may not be able to influence decisions which could have a negative impact on the Council's reputation and the image of the area which could in turn for example harm the local economy. Hartlepool has a number of environmentally important & sensitive sites close to major industrial sites & infrastructure.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**ENV5-1.2**
Section	STRATEGIC	**Review**	31/12/2007
Category	ENVIRONMENTAL		

Risk Description **Lack of resources for sustainable development including addressing climate change**

Resp Officer   PETER SCOTT

Rating Without Control Measure Implementation   **AMBER**

Iimpact: HIGH
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures

▪ Environmental partnership is established as a theme partnership in the LSP along with sub groups

▪ Lack of resources for sustainable development is raised again as a 2008/9 budget priority

▪ Local Development Framework has sustainability has built in

▪ The Local Plan has recently been adopted

▪ Higher political priority and reflected in Departmental Plan 2007/8

▪

Planned Risk Control

▪ None

▪

Comments
The risk of sustainability not being strategically driven is that important targets may not be met and financial penalties and adverse inspection outcomes could be received. A strategy was produced but not progressed due to a lack of resources.

Advanced Comments
A sustainable Development Strategy was produced in 2001 but not progressed owing to lack of resources and the inability to recruit a suitable specialist. Action plans are therefore not developed.

Report Run By CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**POL5-1.6**
Section	STRATEGIC	**Review**	31/12/2007
Category	POLITICAL/LEGISLATIVE		

Risk Description **Effective delivery of housing market renewal affected by external decisions**

Resp Officer   PETER SCOTT

Rating Without Control Measure Implementation   **RED**

Iimpact: HIGH
Likelihood: LIKELY

Amended Rating with Control Measures Implemented   **AMBER**

Impact: HIGH
Likelihood: POSSIBLE

Existing Risk Control Measures
- Recognised experts appointed to co-ordinate all necessary processes

- Working with Legal consultants to ensure all statutory requirements are met

- H/pool is a partner with the Tees Valley Living HMR initiative

- Effective Consultation with communities to secure support & manage expectations

- Partnership with delivering bodies, H/pool Revival & Housing H/Pool

- HMR Co-ordinator located within regeneration & forward planning team establishing good strategy & proposals

Planned Risk Control
- None

-

Comments
HMR is a long, complex and sensitive process which depends on securing funding from the Regional Housing Board and Central Government through Tees Valley Living. Outcomes of funding/legal processes are sometimes uncertain.

Advanced Comments
Housing Market Renewal is long, complex and sensitive process which depends on securing funding from the Regional Housing Board & Central Government through Tees Valley Living. Funding and the outcome of legal processes are sometimes uncertain. This could affect community confidence and the ability to achieve the full benefit of the programme.

Report Run By CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**POS5-1.2**
Section	STRATEGIC	**Review**	31/12/2007
Category	POSITIVE		

Risk Description **Failure to facilitate the redevelopment of HCFE**

Resp Officer   PETER SCOTT

Rating Without Control Measure Implementation   **AMBER**

Iimpact: MEDIUM
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact: MEDIUM
Likelihood: POSSIBLE

Existing Risk Control Measures
- Project Team including Chief Officers meets monthly to oversee progress and address key issues including funding
- Agreed timetable with key HBC and HCFE milestones in place

- Close working links established between Regeneration & Planning and HCFE

- Council reporting deadlines agreed

-

-

Planned Risk Control
- Pre Planning application consultation factored into timetable to ensure a quality build

-

-

Comments
There is opportunity for major redevelopment of HCFE bringing significant benefits to the town. HBC is working with HCFE & its funding partners re. planning & land use issues & loss of the Albert St Car Park which is the proposed Ph 1 site.

Advanced Comments
None

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**REP5-1.5**
Section	STRATEGIC	**Review**	31/12/2007
Category	REPUTATION		

Risk Description **Failure to realise plans for Victoria Harbour regeneration scheme**

Resp Officer   PETER SCOTT

Rating Without Control Measure Implementation   **AMBER**

Iimpact:	HIGH
Likelihood:	POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact:	HIGH
Likelihood:	POSSIBLE

Existing Risk Control Measures
- Pship Boards at Tees Valley Regeneration (TVR) for Victoria Harbour Project & Project Teams have H'Pool Council snr rep.
- Close pship working with site owners & TVR to produce master plan & other docs i.e. Section 106 Agreement.
- Close liaison with regional & sub-regional bodies

- Extensive studies undertaken by TVR & site owners

- Representation made on key strat planning docs to identify H/Pool Quays (incl Victoria Harbour) as a regen priority
- Victoria Harbour is reflected in adopted local plan & is included in the Corporate Plan

Planned Risk Control
- None

-

Comments
The Victoria Harbour scheme is the major regeneration project for the Council. Undue delays or reduced quality of the scheme would impact on the ability of the Council to achieve a step change in the regeneration of the town.

Advanced Comments
The Council needs to be able to influence the quality of the scheme provision for funding or secure contributions to contribute to the scheme, to realise the opportunities it presents e.g. site reservation for a new primary school & H2O Centre & to secure funding for some highways infrastructure.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**SOC5-1.1**
Section	STRATEGIC	**Review**	31/12/2007
Category	SOCIAL		

Risk Description **Inability to meet very high levels of local housing needs including affordable housing**

Resp Officer   PETER SCOTT

Rating Without Control Measure Implementation   **RED**

Impact: HIGH
Likelihood: ALMOST CERTAIN

Amended Rating with Control Measures Implemented   **RED**

Impact: HIGH
Likelihood: LIKELY

Existing Risk Control Measures

- Ongoing engagement with a range of RSLs/Housing Associations incl Hsg Hpl

- With RSLs support devt of new affordable housing through National Affordable Homes Programme

- Dialogue taking place re upcoming 2008-11 bidding round

- Key strategic priorities and potential sites that may become available within 08-11 being identified

- Ongoing HMR programme ensuring quantified requirements for new AH are included in development
  agreements with housebuilders

-

Planned Risk Control

- HBC Planning Policy & Asset Man teams are undertaking baseline review of HBC land assets to identify potential new sites re Affordable Housing
- Also looking to incorporate policies relating to AH in the LDF (Planning Obligations SPD)

Comments

Major recent shifts in housing market dynamics have led to a large & currently unmet demand for affordable housing, especially larger family housing to rent & low level of land available for new housing supply plus budget restrictions (see note)

Advanced Comments

The LHA 2007 puts into context the major shifts in housing market dynamics that have taken place in recent years and which have acted together to produce a situation where there is now a large volume of currently unmet demand for affordable housing of a range and sizes and types but predominantly larger family housing to rent across the borough. The Council's ability to influence this situation through additional provision is restricted by the level of current planning approvals for housing development, limited availability of land and budget restrictions within the authority.

Report Run By   CEACPH   02 November 2007

Hartlepool Borough Council
Detailed Risk Report

Department	STRATEGIC	**Risk Ref**	**POL5-1.2**
Section	STRATEGIC	**Review**	31/12/2007
Category	POLITICAL/LEGISLATIVE		

Risk Description **Failure to carry out a statutory process**

Resp Officer   TONY BROWN

Rating Without Control Measure Implementation   **RED**

Iimpact: EXTREME
Likelihood: POSSIBLE

Amended Rating with Control Measures Implemented   **AMBER**

Impact: EXTREME
Likelihood: UNLIKELY

Existing Risk Control Measures
▪ Management processes for the performance of statutory responsibilities

▪ Lexcel accreditation of the above processes

▪ Policy Statement awareness of new legislation guidance to departments

▪ Monitor progress of white paper

▪

▪

Planned Risk Control
▪ None

▪

Comments
There are a multitude of statutory processes with which the Council must comply and for which failure could be damaging in terms of significant financial loss and damage to reputation

Advanced Comments
There are a multitude of statutory processes with which the Council must comply and for which failure could be damaging in terms of significant financial loss, damage to reputation (eg the forthcoming election process; failure to document correctly)

Report Run By   CEACPH

02 November 2007