# PLEASE NOTE VENUE

## PERFORMANCE PORTFOLIO

## DECISION SCHEDULE

**Friday 22<sup>nd</sup> February 2008**

**at 3.00 pm**

**at Belle Vue Community Sports and Youth Centre,
Kendal Road, Hartlepool**

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

1. **KEY DECISIONS**
   No items

2. **OTHER ITEMS REQUIRING DECISION**
   2.1    Chief Executive's Departmental Plan 2007/08 – 3<sup>rd</sup> Quarter Monitoring Report – *Assistant Chief Executive and Chief Personnel Services Officer*
   2.2    Corporate Access Strategy and Publicity for Translation and Interpretation Services – *Chief Personnel Officer*

3. **ITEMS FOR INFORMATION**
   3.1    Review of Strategic Risk Register – *Assistant Chief Executive*
   3.2    Corporate Complaints – October to December 2007 – *Assistant Chief Executive*
   3.3    Review of Modern Apprenticeships – *Chief Personnel Officer*
   3.4    Employee Attendance 2007/8 – 3<sup>rd</sup> Quarter – *Chief Personnel Officer*

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

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**PERFORMANCE PORTFOLIO**
Report to Portfolio Holder
22nd February 2008

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**Report of:**　　　Assistant Chief Executive and Chief Personnel Services Officer

**Subject:**　　　CHIEF EXECUTIVE'S DEPARTMENTAL PLAN 2007/08 – 3RD QUARTER MONITORING REPORT

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## SUMMARY

### 1.  PURPOSE OF REPORT

To inform the Portfolio Holder of the progress made against the Chief Executive's Departmental Plan 2007/08 in the nine months to 31 December 2007.

### 2. SUMMARY OF CONTENTS

The progress against the actions contained in the Chief Executive's Departmental Plan 2007/08 and the third quarter outturns of key performance indicators.

### 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 22 February 2008.

### 6.  DECISION REQUIRED

It is recommended that Portfolio Holder: -

- agrees the proposed revision to the completion dates as detailed in Tables 2 and 4 of the attached report
- notes the achievement of key actions and third quarter outturns of performance indicators

**Report of:** Assistant Chief Executive and Chief Personnel Services Officer

**Subject:** **CHIEF EXECUTIVE'S DEPARTMENTAL PLAN 2007/08 – 3RD QUARTER MONITORING REPORT**

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**PURPOSE OF REPORT**

1. To inform the Portfolio Holder of the progress made against the key actions identified in the Chief Executive's Departmental Plan 2007/08 and the progress of key performance indicators for the period up to 31 December 2007.
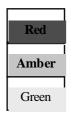
**BACKGROUND**

2. The Performance Management Portfolio Holder agreed the Chief Executive's Departmental Plan in June 2007.

3. The Chief Executives Department is split into four divisions, with Corporate Strategy and Human Resources reporting to the Performance Portfolio Holder. Issues relating to the Finance and Legal Services Divisions are reported separately to the Finance and Efficiency Portfolio Holder, alongside procurement issues within Procurement and Property Services, in Neighbourhood Services.

4. The Chief Executive's Departmental Plan 2007/08 sets out the key tasks and issues within an Action Plan to shows what is to be achieved by the department in the coming year. The plan also describes how the department contributes to the Organisational Development Improvement Priorities as laid out in the 2007/08 Corporate Plan. It provides a framework for managing the competing priorities, communicating the purpose and challenges facing the department and monitoring progress against overall Council aims.

5. The Council recently introduced an electronic Performance Management Database for collecting and analysing corporate performance. In 2007/08 the database will collect performance information detailed in the Corporate Plan and the five Departmental Plans.

6. Each Division has also produced a Divisional Plan, detailing the key tasks and issues facing each division in the coming year. Each plan contains an action plan, detailing how each individual division intends to contribute to the Organisational Development Priorities contained in the Corporate Plan, as well as the key tasks and priorities contained in the Chief Executives Departmental Plan. Divisional Chief Officers will have the lead

responsibility for managing performance of issues and tasks identifies in their divisional plans. Where appropriate, issues can be escalated for consideration by CEMT.

**THIRD QUARTER PERFORMANCE**

7.  This section looks in detail at how the Corporate Strategy Division and Human Resources Division have performed in relation to the key actions and performance indicators that were included in the Chief Executives Departmental Plan 2007/08.

8.  On a quarterly basis officers from across the department are asked, via the Performance Management database, to provide an update on progress against every action contained in the Departmental Plan and, where appropriate, every Performance Indicator.

9.  Officers are asked to provide a short commentary explaining progress made to date, and asked to traffic light each action based on whether or not the action will be, or has been, completed by the target date set out in the Departmental Plan. The traffic light system is: -

| | |
|---|---|
| **Red** | - Action/PI not expected to meet target |
| **Amber** | - Action/PI expected to be meet target |
| Green | - Action/PI target achieved |

10. Within the Corporate Strategy and Human Resources Divisions there were a total of 144 actions and 23 Performance Indicators identified in the 2007/08 Departmental Plan. Table 1, below, summarises the progress made, to the 31 December 2007, towards achieving these actions and PIs.

Table1 – Corporate Strategy/Human Resources progress summary

| | Corporate Strategy | | Human Resources | |
|---|---|---|---|---|
| | **Actions** | **PIs** | **Actions** | **PIs** |
| **Green** | 33 | 1 | 26 | 0 |
| **Amber** | 39 | 3 | 36 | 2 |
| **Red** | 2 | 2 | 8 | 1 |
| **Annual** | n/a | 0 | n/a | 14 |
| **Total** | 74 | 6 | 70 | 17 |

11. A total of 59 actions (41%) have already been completed, and a further 75 (52%) are on target to be completed by the target date. A total of 10 actions (7%) have been assessed as not being on target, and more information can be found in the relevant sections below.

12. It can also be seen that of the 23 Performance Indicators included in the plan, 14 of them can only be collected, and reported, on an annual basis. Of the remaining 9 indicators a third, or 3 indicators, have been assessed as being below target. Further information on these indicators can be found in the relevant sections below.

**Corporate Strategy Division**

13. The Plan contained 74 actions that were the responsibility of the Corporate Strategy Division. At the end of the third quarter a total of 33 had been completed (45%), and a further 39 (53%) were assessed as being on target to be completed by the target date. However, 2 actions (3%) have been assessed as not expected to be completed by the due date. Table 2 below details these actions, together with a comment explaining why the deadline will not be met. It is proposed to reschedule both actions for completion in 2008/09.

Table2: Corporate Strategy Actions not completed on target/not on target

| Ref | Action | Date to be Completed | Comment |
|---|---|---|---|
| **Objective: Implement Data Quality Action Plan** | | | |
| CED 501 | To ensure that where data is exchanged with other organisations appropriate protocols are in place | Dec 07 | Reschedule for 2008 following abolition of Best Value PIs and introduction of new national indicators |
| **Objective: Implement Corporate Communications Strategy Action Plan** | | | |
| CED035 | Council Correspondence (Review of Standard Letters) | Aug 07 | Need to re-schedule for 2008/09 due to other priorities. |

14. The Plan also contained 6 Performance Indicators that were the responsibility of the Corporate Strategy Division. As at 31 December 2007, 1 indicator had already exceeded the year end target, and 3 others were on target to do so. However, 2 indicators (33%) were assessed as being below target, and details of these can be seen below at Table 3.

Table3: Corporate Strategy PIs not on target

| PI | Indicator | Target | Outturn | Comment |
|---|---|---|---|---|
| LPI CE9 | PIs amended as a result of external audit | 0 | 2 | Number of Private Sector vacant properties (HIP HSSA A1&A7) has been qualified due to indicator methodology not being adhered to – resulting in incorrect outturn being reported.<br><br>BV 39 was also reported incorrectly due to incorrect calculation being used. |
| LPI CE10 | PIs qualified as a result of external audit | 0 | 1 | Number of Private Sector vacant properties (HIP HSSA A1 & A7) has been qualified due to indicator methodology not being |

| | | | | adhered to – resulting in incorrect outturn being reported. |
|---|---|---|---|---|

15. Within the third quarter of 2007/08 the Corporate Strategy Division completed a number of actions, including: -

- A new Performance Management System, "Covalent" has been chosen and will be introduced in early 2008.
- Home and remote working continues to be developed

### Human Resources Division

16. The Plan contained 70 actions that were the responsibility of the Human Resources Division. As at 31 December a total of 26 (37%) had been completed, and a further 36 (51%) were on target to be completed by the target date stated in the plan. However, 8 actions (11) have been assessed as not being on target to be completed by the due date. Table 4 below details these actions, together with a comment explaining why these deadlines have not been met.

Table4: Human Resources Actions not completed on target/not on target

| Ref | Action | Date to be Completed | Comment |
|---|---|---|---|
| **Objective: Implement plans to Effectively Recognise, Engage and Reward the Workforce** | | | |
| CED268 | Manage Employee Consultation | Mar 08 | Delayed until 2008/09 due to Pay and Grading review taking longer than expected |
| CED269 | Improve Communications with Employees | Mar 08 | |
| **Objective: Implement Revised Pay and Grading Structure** | | | |
| CED275 | Determine Provisional Pay and Grading Structure | Aug 07 | Preferred pay and grading structure determined by Cabinet 21 Dec 2008. Expect final decision by Cabinet in April 2008. |
| CED276 | Communicate Pay and Grading Structure to Workforce and Managers | Sep 07 | The revised pay & grading structure has been agreed by Cabinet, however the associated Single Status conditions of service issues are not yet agreed. Employees continue to receive regular communications |
| CED277 | Determine and Implement Final Pay and Grading Structure | Mar 08 | Delayed until 2008/09 due to Pay and Grading review taking longer than expected. |
| **Objective: Implement revised Single Status Conditions of Service** | | | |
| CED279 | Determine Provisional Conditions of Service arrangements | Aug 07 | Cabinet agreed draft single status agreement on 21 Dec 2007. Expect final decision by Cabinet April 2008. |
| CED280 | Communicate Conditions of Service arrangements to Workforce and Managers | Jun 07 | The revised pay & grading structure has been agreed by Cabinet, however the associated Single Status conditions of service issues are not yet agreed. Employees continue to receive regular |

| Ref | Action | Date to be Completed | Comment |
|---|---|---|---|
| | | | communications. |
| CED282 | Determine and Implement Final Conditions of Service arrangements | Sep 07 | Cabinet agreed draft pay and grading structure and single status agreement on 21 Dec 2007. Final decision by cabinet expected April 2008. |

17. The Plan also contained 17 Performance Indicators that were the responsibility of the Human Resources Division. 14 of these indicators are collected on an annual basis and therefore there is no update available at this time. Of the remaining three indicators, two have been assessed as being on target, and one assessed as not being on target. Details of this indicator can be seen below in Table 5.

Table5: Human Resources PIs not on target

| PI | Indicator | Target | Outturn | Comment |
|---|---|---|---|---|
| BVPI 16a | Percentage of disabled employees | 5.41 | 5.25 | A number of employees with disabilities have left the authority recently and it is unlikely that these will be replaced by either new employees with a disability or employees newly declaring a disability before the year end. |

18. Within the third quarter of 2007/08 the Human Resources Division completed a number of actions, including: -
   - The Members Handbook has been reviewed
   - Preferred pay and grading structure has been determined

**Recommendations**

19. It is recommended that Portfolio Holder: -

   - agrees the proposed revision to the completion dates as detailed in Tables 2 and 4
   - notes the achievement of key actions and third quarter outturns of performance indicators

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**PERFORMANCE PORTFOLIO**
**Report to Portfolio Holder**
**22<sup>nd</sup> Feb 2008**

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**Report of:**          Chief Personnel Officer

**Subject:**          Corporate Access Strategy and Publicity for Translation
                        and Interpretation Services

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## SUMMARY

**1.     PURPOSE OF REPORT**

To update the Portfolio Holder on the Council's draft Access Strategy and proposed arrangements regarding the way translation and interpretation services provided by the Council are publicised and to receive endorsement in implementing the Strategy.

**2.     SUMMARY OF CONTENTS**

The report provides details of the background information on Language translation and Interpretation services, the legal position, the Council's commitment and arrangements so far, Scrutiny Committee's recommendations, future options/recommendations for consideration and the financial implications.

**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 and endorse the actions planned.

**Report of:**     Chief Personnel Officer

**Subject:**      Corporate Access Strategy and Publicity for Translation
              and Interpretation Services

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1.    **PURPOSE OF REPORT**

1.1   To update the Portfolio Holder on the Council's draft Strategy in providing
      translation and interpretation services to our service users and to receive
      endorsement of actions proposed to implement this.

2.    **BACKGROUND**

2.1   Hartlepool is an increasingly diverse community with 26 languages being
      spoken by Hartlepool residents as their first language, although the numbers of
      people speaking each language is relatively small. People from black and
      minority ethnic backgrounds account for approximately 1.9% of the whole
      population although this does not include people such as Eastern Europeans
      who are now settling within Hartlepool. (ONS published some experimental
      estimates of population by ethnic group in 2006. The data relates to 2004), The
      small numbers, combined with an increasing number of languages being
      spoken, increases the accessibility difficulties being faced.

2.2   Feedback from the bi-monthly 'Talking with Communities' consultation events
      with people from ethnic backgrounds indicates that there is not widespread
      knowledge of what services are provided by the Council and therefore are not
      generally accessed by people from these communities. The consultation events
      are starting to address the lack of understanding.  Once there is understanding
      of the services, the main concern does not appear to be the quality of the
      service provided but rather access to services when a language barrier exists.
      The inability to communicate appropriately and effectively clearly impacts on the
      way people feel about the service they have received.

2.3   People with disabilities represent 22.14% of the Hartlepool population (Census
      2000).  However this includes a wide range of disabilities with a wider range of
      needs.  The number of people who for instance are deaf or hard of hearing, or
      are blind or have sight impairment, or literacy difficulties and have made
      themselves known to appropriate charities and support groups is small.

2.4   Scrutiny Co-ordinating Committee previously considered a report on the
      Translation and Interpretation Services strategy as part of a wider Access
      Strategy.  The purpose of the strategy is to ensure that the Council continues to
      assess, anticipate and address any barriers that might prevent Hartlepool
      residents and visitors using Council services.  Scrutiny Coordinating Committee
      agreed it would consider the Draft Access Strategy when it had been developed

further so that the Performance Portfolio Holder could consider any comments. Accordingly, a report was recently made to the Scrutiny Coordinating Committee.

2.5     A wide range of translation and interpretation services is available, including language translation, interpretation service (telephone or face to face), Audio format, large print, Braille and British Sign Language interpretation service. Further detail on the services available is attached as **Appendix A**. The only restriction to usage of these services is the reasonableness of the request.  For example, a request to have a single page leaflet would be deemed reasonable whereas a request to have every Portfolio Holder agenda translated would not be.  Each request is considered on its merits.

**3.0     DRAFT ACCESS STRATEGY**

3.1     The Draft Access Strategy (**Appendix B**) has been developed and includes a suite of connected strategies in respect of
        a)  Overall Access Framework
        b)  Access to Council Services and Support
        c)  Access to Council Information
        d)  Access to Council Employment
        e)  Access to Council Education
        f)  Access to Council Transport and,
        g)  Access to Council Buildings, Land, Sites and Other Facilities.

3.2     The format of the Suite of Strategies is a common Overall Framework with a more specific strategy in respect of the subject area.  This is a similar format to the Communicating with Your Council Suite of Strategies.

3.3     Once approval is given, it is intended to formally consult with relevant stakeholders about the Strategies prior to requesting that they be formally adopted.

**4.0     GOVERNMENT GUIDANCE ON TRANSLATION OF PUBLICATIONS**

4.1     The Department for Communities and Local Government has recently provided guidance (**Appendix C**) for local authorities on Translation of Publications.  The draft Access Strategy was developed prior to the guidance being made available and will need reviewing in light of the new guidance.  It is considered that the draft Strategy generally complies with the guidance although some fine tuning is needed.  For example, a responsibility of the Chief Personnel Officer under the draft Access to Information Strategy is to "determine the circumstances in which provision of information in different formats or languages are not provided free of charge".  This will need amendment to include a responsibility to provide guidance in order to determine whether the translation is necessary, for which documents it is appropriate, whether it should be available on demand and whether it should be done in a way that helps people learn English.

4.2    The guidance suggests that Councils should attempt to line up the withdrawal of translation services with the provision of English language classes, perhaps provided by local providers, including local employers (including the Council). This may require some changes to the Access to Education Strategy, particularly at a time when Government funding for ESOL (English for Speakers of other Languages) is being withdrawn.

4.3    It is envisaged that the current drafts will be reviewed to reflect the Government guidance before the stakeholder consultation outlined in 3.3 above takes place

**5.0    Proposals made to the Scrutiny Coordinating Committee regarding the way the Translation and Interpretation services provided by the Council are publicised**

5.1    A key element of the Access to Council Information is the provision of translation and interpretation services provided by the Council and how these are publicised. Anecdotal evidence is that knowledge and understanding of what services are available and in what circumstances is patchy amongst stakeholders and employees.

5.2    Scrutiny Co-ordinating Committee had previously suggested that a logo be developed specifically so that stakeholders who needed translation or interpretation services would be aware that they are available. There is no national logo available for this. Developing a specific logo would require that it be widely publicised.  Rather than having a separate logo it was proposed to the recent Scrutiny Coordinating Committee meeting that the Council's logo be used for this purpose. This would be publicised so that stakeholders and employees would be aware that the translation and interpretation services are available wherever the Council's logo has been used (e.g. on buildings, correspondence, leaflets etc). It is not intended that this will be used to restrict access to the services, rather to make it clear that the services are available in respect of all Council services. It is envisaged that the current arrangement of including a message (in several languages) on Council documents indicating that they can be translated will be discontinued once the new arrangements have 'bedded in'.

5.3    The suggestion of using the Council's logo was consulted with the "Talking with Communities".  They were of the opinion that it was very useful and it would make it easy for them to approach any Council service to request information in the format understood by them, as the logo is easily recognised by all.

5.4    It will be necessary to make it clear in the publicity that the provision of translation and interpretation services will be assessed in accordance with the guidance to be provided by the Chief Personnel Officer (see 4.1 above) and to signpost individuals to English language classes.

5.5   The publicity arrangements being actively considered include

- ➢ Posters
- ➢ Specific leaflets in all the 26 spoken languages of Hartlepool
- ➢ Prompt boards for employees
- ➢ Targeting distribution of the leaflets to specific areas of town (possibly by postcode)

5.6   It is envisaged that posters and supplies of the leaflets will be displayed/available in all main Council premises with public access including admin buildings, information centres, libraries, community centres, etc and possibly in partner organisations premises e.g. hospitals, doctor's surgeries, voluntary organisations, etc. The Council's website will be updated to reflect the new arrangements.  Training will be provided to all front line staff.

## 6.0   Scrutiny Coordinating Committee recommendations

6.1   Members did not support the view that the Council's logo was sufficient to identify the provision of translation and interpretation services and were disappointed that a specific brand had not been developed.  The request for a specific brand was therefore reiterated and a suggestion was made to involve local schools by way of a competition for the design of such a brand.

6.2   Members endorsed the draft Access Strategy and proposed publicity arrangements of the Interpretation and Translation Services subject to a specific brand being developed to identify where these services were available, and that the possibility of involving local primary schools in the design of this brand be explored. (Extract from the minutes of the Scrutiny Coordinating Committee 18th Jan 2008 is attached in **Appendix D**).

## 7.0   Further considerations regarding the suggestion that a separate logo be developed.

7.1   The Portfolio Holder may wish to take the following into account when considering the request that a separate logo be developed:

- Resources and some additional funding will be needed to run the competition in schools
- Additional support may be needed by schools involved in the competition
- Expectations may be raised if we run a competition among schools.
- A judging panel (perhaps comprising the Chair and Vice Chair of Scrutiny, Diversity Officer and stakeholder representatives) to determine the winning logo.
- The level of prize needs to be determined
- There will be significant cost implications arising from re-printing every leaflet and document to include the new logo (there may also be space issues as some leaflets do not contain any unused space)

- Establishing a new logo may not be consistent with the current review of the Council's corporate branding (which also forms part of your portfolio)

## 8.0   Financial implications

8.1   The potential costs of the publicity material with regard to the original proposal is as follows

> Translation for leaflets in 26 languages - £3000 approx
> Production of Posters – 100 A3 size at a cost of £30
> Production of Leaflets –1000 A5 size at a cost of £75
> Production of Prompt Boards – 100 A5 at a cost of £50
> Targeted distribution of leaflets – £500
> Updating the Council's website – cost of £600
> Training front line staff – during normal working hours

The services will also be publicised through Hartbeat and a press release. Funding has been identified for this publicity.

8.2   As indicated above, there are likely to be significant additional costs arising from the creation of a new logo for the reasons set out in Paragraph 7.1.

## 9.0   RECOMMENDATIONS

9.1   That the Portfolio Holder

a)   Notes the proposals made to the Scrutiny Coordinating Committee.
b)   Determines how to proceed in respect of a logo for translation and interpretation services.
c)   Approves the draft suite of strategies and delegates authority to the Chief Personnel Officer to make any necessary changes needed to reflect the Government guidance prior to consultation with stakeholders.

# Hartlepool Borough Council

### Access to Information

The Council is committed to making its services accessible to all and that their provision is free from prejudice and unlawful discrimination and sensitive to the needs of all local communities (Race and Diversity Scheme 2005-2008).

The Council has declared achievement of Level 2 of the Equality Standard for Local Government.  The Standard establishes the minimum levels of arrangements, which should be in place set out within a framework suitable for all councils.  The Council is committed to attaining Level 3 of the Equality Standard for Local Government by March 2008.  A key strand of Level 3 in respect of service delivery is whether issues of barriers, accessibility and reasonable adjustments in the provision of services have been addressed.

Within Hartlepool there are people who have limited understanding about the range of Council services that are available to them or might not be able to make full use of them as a result of communication difficulties.  Visitors and others who have links with the town may also experience barriers to full and equitable access to the council's services.

**Communication barriers are often 'invisible' to the majority but through a process of evaluation the council is able to assess the negative impact of how it provides services on certain groups in the community.  These diversity impact assessments indicate that without specific arrangements for translation and interpretation services some Hartlepool residents may not know about council services that are available to them or understand how they can make best use of them.**

The 2000 Race Relations Amendment Act imposes a legal duty on Councils to prepare and publish its arrangements for ensuring public access to information and services, which it provides.  The Commission for Race Equality guidance is that "public access means more than merely making information or services available. It means that members of the public can, in practice, without discrimination- direct or indirect - and regardless of their ethnicity, have real and equal access to information and services". The 2005 Disability Discrimination Act imposes similar duties in respect of people with disabilities.

### Arrangements recommended to all HBC Employees:

- The Council has contracts with <u>Tees Valley Durham Communication services</u> (TVDCS) for providing BSL interpreters and Lip speakers.  This contract will expire in Sept 2008.
  To book please fill the <u>TVDCS</u> form and send a fax minimum of two weeks in advance

- The Council has a contract with <u>Browsealoud</u> for web accessibility and this will expire in April 2009.
- At the moment the Council provides telephone translations through <u>Languageline</u>.

- The Regional Centres of Excellence (RCE) as part of the "Procurement Programme" have produced a framework agreement for Translation and Interpretation services which is available to all local authorities to use. A formal contract has been established. Subsequently the translation service should be purchased via the RCE framework contract. The contract is in place, a 'Council Order' quoting the contract reference would therefore comply with standing orders. These companies are <u>thebigwordGroup</u> and <u>K-International</u>. They both provide Language translation service. They provide document translation in Braille. You can get documents translated by simply completing one of the below booking forms:

  - <u>thebigword Booking Form</u>

  - <u>K-International Booking Form</u>

  The Council is making arrangements to switch to <u>thebigword</u> to provide telephone language interpretation services.

- For face to face Interpretation services, quotes from three regional providers is sought and the cheapest is arranged for the specific service need. (Details of these providers is accessed through the Council's Diversity Officer)

- The Council's web site has a <u>Welcome page</u> in 8 different languages. Links are provided in <u>Accessibility site</u> to get documents translated in certain European languages.

For further information please contact the Council's Diversity Officer Vijaya Kotur on 01429-523060 or e-mail <u>vijaya.kotur@hartlepool.gov.uk</u>

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# *CORPORATE ACCESS STRATEGY (DRAFT)*

**Contents**

# CORPORATE ACCESS STRATEGY

To ensure that Hartlepool residents and visitors get the best in terms of service and support, the Council has developed an Access Strategy framework to establish an inclusive society where members of the public can, in practice, without discrimination - direct or indirect - and regardless of their personal situation (in terms of their ethnicity, disability, age, gender, sexual orientation and religious beliefs) have real and equal access to Council service and support, information, employment, education, transport and buildings, land, sites and other facilities.

There are 6 key themes that the framework addresses:

- Access to Council services and support
- Access to Council Information
- Access to Council employment
- Access to Council education
- Access to Council transport
- Access to Council buildings, land, sites and other facilities

**Aim**

To establish an inclusive society where all Hartlepool residents and visitors

- have equal access to all Council services and support, information, employment, education, transport and buildings, land, sites and other facilities without discrimination (both direct and indirect) except where statutory restrictions or other eligibility criteria apply
- to ensure that all Hartlepool residents and visitors are aware of what is available/provided and how to access them

**Key principles**

- That all Council services are delivered in line with people's needs
- The people of Hartlepool have a right to expect to have an excellent level of service
- That all Council services and support, information, employment, education, transport and buildings, land, sites and other facilities should be accessible to all and where necessary, reasonable adjustments should be made to remove barriers preventing such access

**Key Outcomes**

- The people of Hartlepool are satisfied that they have equality of access to all Council services, information, employment, education, transport and buildings, land, sites and other facilities
- An inclusive society is created within Hartlepool

- All council services are accessible and that their provision is free from prejudice and unlawful discrimination and sensitive to the needs of all local communities, subject to any statutory restrictions or other eligibility criteria which apply

It is recognised that achievement of some of the key outcomes will take some time and will be subject to the availability of resources to the Council. General priorities for the next 3 years will be outlined in the Race, Gender and Disability Equality Scheme(s) with more detailed and objectives and actions being identified in Corporate and Departmental Plans, cross referenced to individual Access Strategies. Predictive Impact Assessments (DIA's) will be undertaken whenever significant changes to policies and procedures are being planned and access will be a key feature of such assessments.

## Monitoring Arrangements

Monitoring of progress will be undertaken via the Race, Gender and Disability Equality Scheme(s) annual reports and standard performance management arrangements. Retrospective Impact Assessments (INRA's) will be undertaken in respect of all services as part of a rolling programme and access will be a key feature of such assessments.

## Legislative Framework

The Race Relations (Amendment) Act 2000 requires the Council to
- promote race equality
- eliminate unlawful racial discrimination
- promote equality of opportunity between persons of different racial groups and
- promote good relations between persons of different racial groups

The Special Educational Needs (SEN) and Disability Act 2001, requires the Council to prepare an accessibility strategy for schools which seeks to:
- Increase the extent to which disabled pupils can participate in the school curriculum;
- Improve the physical environment of schools to increase the extent to which disabled pupils can take advantage of education and associated services;
- Improve the delivery to disabled pupils of written information which is provided to pupils who are not disabled, within a reasonable period and in a format which takes account of the preferred means of communication expressed by pupils or parents.

The Disability Discrimination Act 2005, requires the Council, when exercising its functions, to have due regard to the need to
- eliminate harassment and unlawful discrimination against disabled persons (including making reasonable adjustments in relation to disabled people)
- promote positive attitudes towards disabled persons
- encourage participation by disabled persons in public life and
- promote equality of opportunity between disabled persons and other persons

The Equality Act 2006, requires the Council, when exercising its functions, to have due regard to the need to

- eliminate unlawful discrimination and harassment due to gender, age, religion and sexual orientation and
- promote equality of opportunity between men and women

**Inter-relationships and dependencies**
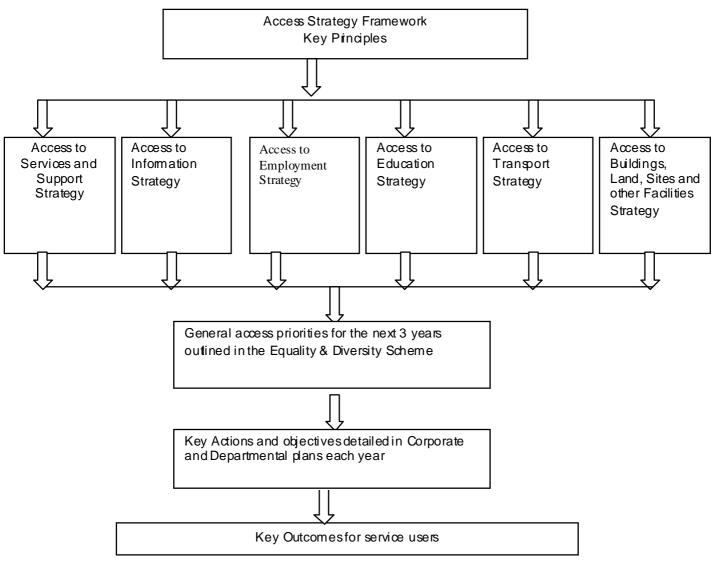
There is a clear relationship and inter-dependency between the 6 key themes, for example

- access to services or education may be denied simply due to the building where the service or education is being provided not being accessible or suitable transport is not available
- Hartlepool residents may not access a particular service because they are not aware of it
- Some people may experience additional hurdles in accessing services such as having learning difficulties, English not being their first language, having a disability etc.

It is recognised that there is not always a clear distinction between the 6 key themes for example provision of sports pitches may be considered as both a service and a facility
As the Access Strategy Framework is fundamental to the way the Council operates, there are relationships with other strategies, plans, policies, partners etc including-

- Council Corporate Plan
- Departmental Service Plans
- Communicating with your Council Strategy
- Race and Diversity Scheme
- Disability Equality Scheme
- Gender Equality Scheme
- Equality and Diversity Policy
- People Strategy
- Equality and Diversity in Employment Policy
- Local Transport Plan
- Hartlepool Local Plan
- Accessibility Strategy for Hartlepool Children's Services
- Learning Disability Partnership Board
- Improving Life Chances
- Hartlepool Access Group
- Hartlepool Blind Welfare Group
- Hartlepool Deaf Centre
- All Ability Forum
- Talking with Communities
- Hart Gables
- 50+ forum and other voluntary bodies

The Framework

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┌─────────────────────────────────────────────┐
│          Access Strategy Framework           │
│               Key Principles                 │
└─────────────────────────────────────────────┘
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| Access to Services and Support Strategy | Access to Information Strategy | Access to Employment Strategy | Access to Education Strategy | Access to Transport Strategy | Access to Buildings, Land, Sites and other Facilities Strategy |
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┌─────────────────────────────────────────────┐
│  General access priorities for the next 3    │
│  years outlined in the Equality & Diversity  │
│  Scheme                                      │
└─────────────────────────────────────────────┘

┌─────────────────────────────────────────────┐
│  Key Actions and objectives detailed in      │
│  Corporate and Departmental plans each year  │
└─────────────────────────────────────────────┘

┌─────────────────────────────────────────────┐
│         Key Outcomes for service users       │
└─────────────────────────────────────────────┘
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**Individual Strategies**

Each individual Strategy details
- how it contributes to the overall Access Strategy Framework
- who can access the strategy
- key principles
- aims and what must be done to achieve them
- responsibilities
- performance measures

The main areas covered by each individual strategy are set out below

## A) Access to Services and Support Strategy

The Access to Services and Support Strategy sets out the Councils overall strategy in relation to access to Council services and support. The key areas covered by the strategy include

- Provision of information about all services and support
- Removal of physical, transport or personal barriers to services and support
- Equitable treatment of people, free from prejudice and unlawful discrimination, who access services and support
- Inclusive access to services and support that meet the needs of the community.
- Access to all council services and support, facilities, & sites

## B) Access to Information Strategy

The Access to Information Strategy sets the standards to be adhered to when making information available to Hartlepool residents and visitors. The key areas covered by the strategy include

- Paper Information
- Information accessible via computers/websites
- Translation Services
- Communication Services

## C) Access to Employment Strategy

The Access to Employment Strategy sets out the overall strategy in relation to Council employment. The key areas covered by the strategy include

- Recruitment
- Retention
- Pay and Conditions

## D) Access to Education Strategy

The Access to Education Strategy sets out the overall strategy in relation to Education. The key areas covered by the strategy include

- Education for school aged pupils

- Promotion of inclusive education in schools
- Hartlepool Inclusion Standard
- Adult Education


## E) Access to Transport Strategy

The Access to Transport Strategy sets out the overall strategy in relation to Council transport.  The key areas covered by the strategy include

- Transport provided directly by the Council
- Transport commissioned/subsidised by the Council
- Transport Infrastructure/Highway
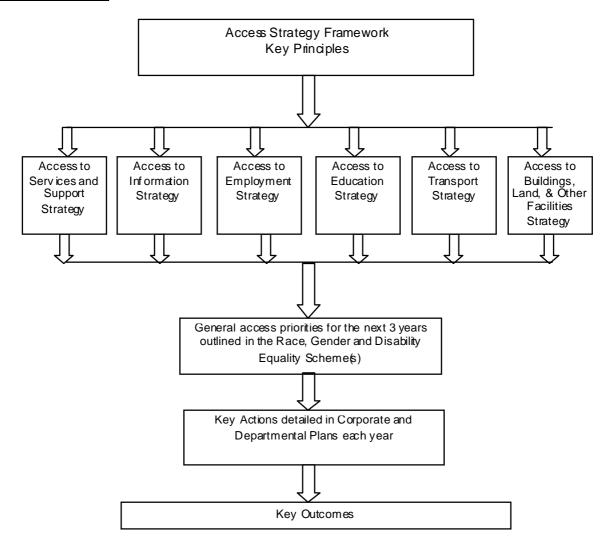
## F) Access to Buildings, Land, Sites and other Facilities

The Access to Buildings, Land, Sites and other Facilities Strategy sets out the overall strategy in relation to Council buildings, land, sites and other facilities.  The key areas covered by the strategy include

- Buildings
- Land
- Sites
- Other facilities

# ACCESS TO COUNCIL SERVICES AND SUPPORT STRATEGY

<u>The Framework</u>

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                    ┌─────────────────────────────────┐
                    │   Access Strategy Framework      │
                    │        Key Principles            │
                    └─────────────────────────────────┘
                                   │
```

| Access to Services and Support Strategy | Access to Information Strategy | Access to Employment Strategy | Access to Education Strategy | Access to Transport Strategy | Access to Buildings, Land, & Other Facilities Strategy |

```
                    ┌─────────────────────────────────┐
                    │ General access priorities for the │
                    │ next 3 years outlined in the Race,│
                    │ Gender and Disability Equality    │
                    │ Scheme(s)                         │
                    └─────────────────────────────────┘
                                   │
                    ┌─────────────────────────────────┐
                    │ Key Actions detailed in Corporate │
                    │ and Departmental Plans each year  │
                    └─────────────────────────────────┘
                                   │
                    ┌─────────────────────────────────┐
                    │          Key Outcomes            │
                    └─────────────────────────────────┘
```

## Individual Strategies

Each individual strategy details:

- How to contribute to the overall Access Strategy Framework
- Who can access the strategy
- Key principles
- Aims and what must be done to achieve them
- Responsibilities

- Performance measures


## How does the Access to Services Strategy Contribute to the Overall Framework?

The Access to Services and Support Strategy sets the Council's overall aims to ensure that these are effective mechanisms in place for ensuring equal access to Services and Support provided by the Council, regardless of the circumstances of the individual, subject to any legislative or eligibility restrictions.

## Who can use the Access to Services and Support Strategy?

- Service Users
- Employees
- Councillors
- Trade Unions
- Hartlepool residents and businesses
- Partner Organisations
- People outside the borough

## Principles of the Strategy

All Services or Support:

- will be available to be equally accessed by individuals irrespective of their age, gender, disability, sexual orientation, religion or belief, or ethnic background, subject to any legislative or eligibility restrictions,
- will make appropriate and reasonable adjustments to ensure equal access.

## The Strategy

## Background

Whilst the Council makes its services, buildings and land and transport widely available and wishes to see services accessed equally by all sectors of the community, it recognises that there are barriers which prevent equality of access by all sectors.

One of the most significant barriers is a lack of understanding by all sectors of the community of:

a) the services, buildings and land, transport, and education services which can be accessed and,
b) how to access them.

This lack of understanding can often be caused by information (verbal and written) being provided in English which is not readily or cannot be understood because of a disability, literacy difficulties or English not being the first language of a significant

proportion of the Hartlepool community.  However there may still be barriers after people have received this information – this is what this strategy aims to address.

Aims
- To provide service and support which are equally accessible by all parts of the community.

## To do this it must:

- Ensure that access to all services and support are included in regular retrospective impact assessments using the INRA process and appropriate action taken to address any adverse impact or unmet need,
- Ensure that all new services/policies will be subject to predictive impact assessments using the DIA process to address any adverse impact or unmet need. This will ensure we have considered the implications for all parts of the community.

## Responsibilities

### a)  Corporate responsibilities

   (i)     Assistant Chief Executive
- To ensure the council's performance management framework incorporates equality and diversity issues
- To provide the corporate lead on consultation with the community.

   (ii)    Chief Personnel Officer
- To ensure appropriate guidance and training on INRA and DIA processes are undertaken.
- To ensure that access issues are included in the INRA and DIA processes.

### b)  Departmental responsibilities

- To undertake impact assessments in all service areas using DIA/INRA processes.
- To implement any identified actions.
- Monitor complaints for any barriers identified and to learn the lessons of these complaints.
- Provide appropriate customer care/diversity training to ensure customers are treated equitably and without discrimination
- Consult with service users regarding their services communities of interest.

## Performance Measures

- Progress against Corporate Plan actions
- Progress against Departmental Service Plan actions

# ACCESS TO INFORMATION STRATEGY

The Framework

```
┌─────────────────────────────────────┐
│        Access Strategy Framework     │
│            Key Principles            │
└─────────────────────────────────────┘
```

| Access to Services and Support Strategy | Access to Information Strategy | Access to Employment Strategy | Access to Education Strategy | Access to Transport Strategy | Access to Buildings, Land, & Other Facilities Strategy |
|---|---|---|---|---|---|

```
┌─────────────────────────────────────┐
│ General access priorities for the    │
│ next 3 years outlined in the Race,   │
│ Gender and Disability Equality       │
│ Scheme(s)                            │
└─────────────────────────────────────┘

┌─────────────────────────────────────┐
│ Key Actions detailed in Corporate    │
│ and Departmental Plans each year     │
└─────────────────────────────────────┘

┌─────────────────────────────────────┐
│            Key Outcomes              │
└─────────────────────────────────────┘
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**Individual Strategies**

Each individual Strategy details
- how it contributes to the overall Access Strategy Framework
- who can access the strategy
- key principles
- aims and what must be done to achieve them
- responsibilities
- performance measures

## How does the Access to Information Strategy Contribute to the Overall Framework?

The Access to Information Strategy sets the Council's overall aims to ensure that there are effective mechanisms in place for ensuring equal access to information about, and how to access, the Council services, employment, transport and buildings, land, sites and other facilities provided by the Council, regardless of the circumstances of the individual. Equality of access to Council services, employment, transport and buildings, land, sites and other facilities is highly unlikely to be achieved without knowledge of what services are available, or how to access them.

## Who can use the Access to Information Strategy?

- Employees;
- Potential Employees;
- Councillors;
- Trade Unions;
- Hartlepool residents and businesses, including those with disabilities, literacy difficulties and/or those whose first language is not English;
- Partner Organisations;
- People outside the borough.

## Principles of the Strategy

All information, whether spoken or written, must
- Be easily understood by the person receiving it
- Be translated into a language or format appropriate to the recipient on request
- Facilitate equality of access to Council services, employment, transport and buildings, land, sites and other facilities
- Explain how to access Council services, employment, transport and buildings, land, sites and other facilities, where appropriate

## The Strategy

## Background

Whilst the Council makes services, employment, transport and buildings, land, sites and other facilities widely available and wishes to see equal access by all sectors of the community, it recognizes that that there are barriers which prevent equality of access.

Other Strategies deal with barriers in relation to services, employment, transport and buildings, land, sites and other facilities. This Strategy focuses on the removal of barriers in relation to information. Equality of access cannot be achieved without all sectors of the Community understanding what is available and how it can be accessed.

This lack of understanding can often be caused by information (verbal and written) being provided in formats, which is not readily (or cannot be) understood because of people having a disability, literacy difficulties or English not being their first language.

The provision of information in appropriate formats is one aspect of communications generally and this Strategy supplements the Communicating with your Council Strategy

Aims

- To make available and provide information in a format which is accessible to the recipient
- To provide 'introducer' information about translation and interpretation services in all languages spoken by Hartlepool residents

**To do this it must**

- Make available and provide information in a format and language which is accessible and understandable to the recipient
- Ensure all Internet and Intranet sites adhere to recognised minimum accessibility and translation facilities
- Provide translation services on request
- Provide communication services on request
- Consult with people having a disability, literacy difficulties or English not being their first language (and groups representing them) to identify their needs. For e.g. documents translated into easy read for Learning disabilities (subject to cabinet approval)
- Ensure that access to all services and support are included in regular retrospective impact assessments using the INRA (Impact Needs Requirements Assessment) process and appropriate action taken to address any adverse or differential impact or unmet need
- Ensure that access issues are considered when all new services / policies are subject to predictive impact assessments using the DIA (Diversity Impact Assessment) process to address any adverse or differential impact or unmet need.
- Set standards
- Be consistent with other strategies such as the 'Communicating with your Council' suite of Strategies

**Responsibilities**

a) **Corporate responsibilities**

   i) Assistant Chief Executive
   - To ensure the council's performance management framework incorporates equality and diversity issues
   - To provide the corporate lead on consultation with the community

- To ensure all Internet and Intranet sites meet, as a minimum, the WA1 Level AA guidelines (developed by the World Wide Web Consortium (W3C)) in respect of accessibility
- To maintain industry standards on all Internet sites in respect of translation services
- Promote and publicise the translation and communication arrangements
- Promote and facilitate the use of Plain English and accessible formats in council communications

ii)    Chief Personnel Officer

- To ensure appropriate guidance and training on INRA and DIA processes are undertaken.
- To ensure that access issues are included in the INRA and DIA processes
- To provide an initial contact point (via the Contact Centre) for requests for translation and communication services
- To arrange and manage corporate contracts for translation services
- To arrange and manage corporate contracts for communication services
- To arrange and manage corporate contracts for providing documents in different formats
- Provide 'introducer' information leaflets in appropriate languages and formats
- Determine the circumstances in which provision of information in different formats or languages are not provided free of charge

**b)  Departmental responsibilities**

- To undertake access impact assessments in all service areas using DIA/ INRA processes and implement any identified actions arising there from
- Monitor complaints for any barriers identified and to learn the lessons of these complaints.
- Provide appropriate customer care / diversity training to ensure customers are treated equitably and without discrimination
- Consult with service users regarding their services.
- To ensure all employees are aware of the above services and how to access them
- To access corporate contracts for, and fund translation services, communication services and the provision of documents in different formats in respect of departmental responsibilities

**Objectives and Action Plan**

**The objectives, actions and performance measures (see below) to implement this strategy will be incorporated into the Council's performance management arrangements and cross-referenced to this strategy.**
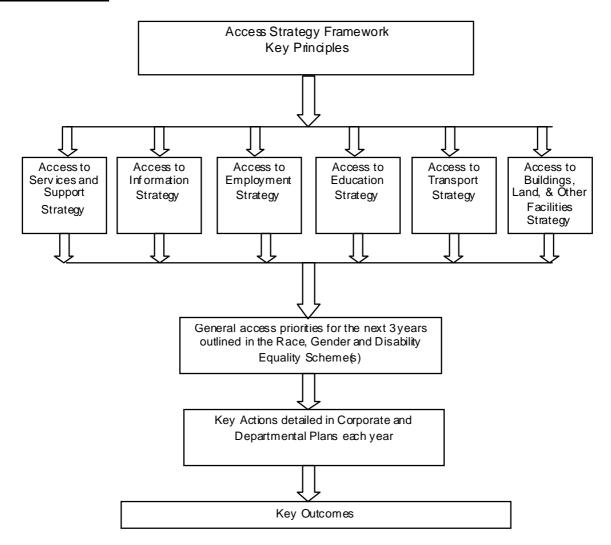
**Performance Measures**
- Level of satisfaction with translation services provision (via Talking with Communities Group)
- Level of satisfaction of accessibility of Intranet sites (via Talking with Communities Group and Disability Consultation Group – when established)
- Level of satisfaction of users of the Communication Service
- Level of satisfaction of users of the translation services
- Progress against Corporate, Departmental and Service Plan actions

**Monitoring and Reporting**

Progress against the actions to implement the Strategy and performance measures will be subject to the Council's standard performance management arrangements and will be reported as part of the Annual Diversity report

# ACCESS TO COUNCIL EMPLOYMENT STRATEGY

The Framework

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┌─────────────────────────────────────┐
│        Access Strategy Framework     │
│            Key Principles            │
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| Access to Services and Support Strategy | Access to Information Strategy | Access to Employment Strategy | Access to Education Strategy | Access to Transport Strategy | Access to Buildings, Land, & Other Facilities Strategy |
|---|---|---|---|---|---|

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┌─────────────────────────────────────┐
│ General access priorities for the    │
│ next 3 years outlined in the Race,   │
│ Gender and Disability Equality       │
│ Scheme(s)                            │
└─────────────────────────────────────┘
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┌─────────────────────────────────────┐
│ Key Actions detailed in Corporate    │
│ and Departmental Plans each year     │
└─────────────────────────────────────┘
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┌─────────────────────────────────────┐
│            Key Outcomes              │
└─────────────────────────────────────┘
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## Individual Strategies

Each individual Strategy details
- how it contributes to the overall Access Strategy Framework
- who can access the strategy
- key principles
- aims and what must be done to achieve them
- responsibilities
- performance measures

**How does the Access to Employment Strategy Contribute to the Overall Framework?**

The Access to Employment Strategy sets the way in which the Council will ensure that there are effective mechanisms in place for ensuring equal access to employment with the Council.   The Council is committed to striving for a workforce which reflects the composition of the local population.  It believes that by striving to mirror the local population within its workforce, this sends a powerful message to the whole community about the way it wishes to deliver its services.

**Who can use the Access to Employment Strategy?**

- Employees;
- Potential Employees;
- Councillors;
- Trade Unions;
- Hartlepool residents and businesses;
- Partner Organisations;
- People outside the borough.

**Principles of the Strategy**

- Equality of access to recruitment to, and training opportunities and promotion within, the Council, regardless of gender, race, disability, age, sexual orientation or religion
- Equality of treatment whilst in employment
- Elimination of harassment and discrimination of employees and potential employees
- Provision of equality proof pay and grading systems and conditions of service

**The Strategy**

**Background**

The council has a well established Equality and Diversity in Employment Policy and has recently developed a comprehensive People strategy, which outlines in detail the Council's strategy in respect of equality and diversity in employment.

**Aims**

- To ensure equality of access to employment to all people
- To ensure fair and equal treatment, including access to promotion and training, and eliminate discrimination and harassment of employees whilst in employment
- To employ a workforce which reflects the composition of the local population
- To operate non discriminatory proof pay and grading systems and conditions of service

**To do this it must**

- apply fair and non discriminatory recruitment practices
- provide equality of access to training and promotion
- ensure non discriminatory employment practices are adhered to
- address any harassment of employees
- ensure that employment policies, procedures, practices and other arrangements are included in regular retrospective impact assessments using the INRA (Impact Needs Requirements Assessment) process and appropriate action taken to address any adverse or differential impact or unmet need
- undertake regular Equal Pay Audits
- ensure that access issues are considered when all new services / policies are subject to predictive impact assessments using the DIA (Diversity Impact Assessment) process to address any adverse or differential impact or unmet need.
- operate non discriminatory pay and grading systems and conditions of service
- monitor the workforce and compare it to the local labour market

**Responsibilities**

**a)  Corporate responsibilities**

   i)     Assistant Chief Executive
- To ensure the council's performance management framework incorporates equality and diversity issues
- To provide the corporate lead on consultation with the community

   ii)    Chief Personnel Officer

- To ensure appropriate guidance and training on INRA and DIA processes are undertaken.
- To ensure that access issues are included in the INRA and DIA processes
- To provide specialist HR support to managers

- To develop and maintain non discriminatory recruitment, training, promotion, harassment and other employment procedures and arrangements
- Monitor the workforce profile, compare it to the local population and take corporate action to address any differences
- To develop, implement and maintain non discriminatory pay and grading structures and conditions of service

### b) Departmental responsibilities

- To consider the departmental results of employment related impact assessments and address any adverse or differential impact or unmet need
- To implement any identified actions
- Monitor complaints for any barriers identified and to learn the lessons of these complaints.
- Provide appropriate diversity training to all employees
- To recruit and manage employees in a non discriminatory way
- To address any issues of harassment
- To provide equality of access to training and promotion to all employees

### Objectives and Action Plan

**The objectives, actions and performance measures (see below) to implement this strategy will be incorporated into the Council's performance management arrangements and cross-referenced to this strategy.**

## Performance Measures
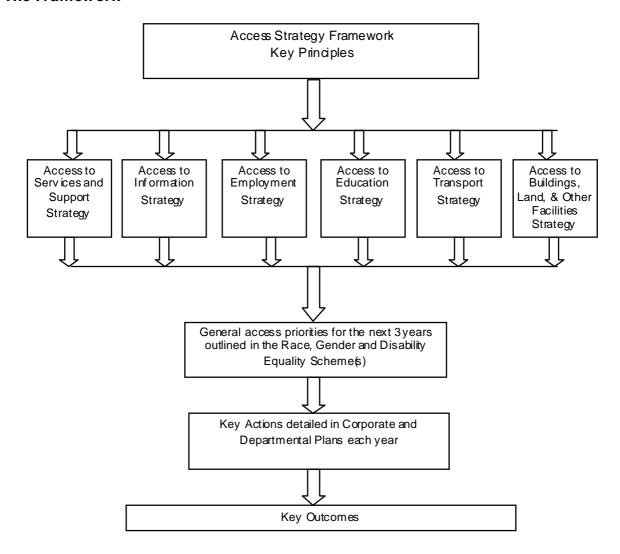
- Performance measures are outlined in the People Strategy
- Progress against Corporate Plan actions
- Progress against Departmental Service Plan actions

### Monitoring and Reporting

Progress against the actions to implement the Strategy and performance measures will be subject to the Council's standard performance management arrangements and will be reported as part of the Annual Diversity report

# ACCESS TO EDUCATION STRATEGY

## The Framework

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                    ┌─────────────────────────────────┐
                    │     Access Strategy Framework     │
                    │          Key Principles           │
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| Access to Services and Support Strategy | Access to Information Strategy | Access to Employment Strategy | Access to Education Strategy | Access to Transport Strategy | Access to Buildings, Land, & Other Facilities Strategy |
|---|---|---|---|---|---|

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   ┌──────────────────────────────────────────────────┐
   │  General access priorities for the next 3 years   │
   │   outlined in the Race, Gender and Disability      │
   │            Equality Scheme(s)                      │
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   ┌──────────────────────────────────────────────────┐
   │     Key Actions detailed in Corporate and         │
   │       Departmental Plans each year                 │
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   ┌──────────────────────────────────────────────────┐
   │                 Key Outcomes                       │
   └──────────────────────────────────────────────────┘
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**Individual Strategies**

Each individual Strategy details
- how it contributes to the overall Access Strategy Framework
- who can access the strategy
- key principles
- aims and what must be done to achieve them
- responsibilities
- performance measures

**How does the Access to Education Strategy Contribute to the Overall Framework?**

The Access to Education Strategy sets the way in which the Council will ensure, in conjunction with schools, colleges and other providers, that there are effective mechanisms in place for ensuring equal access to Education, regardless of gender, disability, sexual orientation, religion or belief or ethnic background subject to any legislative or eligibility criteria.

**Who can use the Access to Education Strategy?**

- Pupils
- Adults
- Employees;
- Potential Employees;
- Councillors;
- Trade Unions;
- Hartlepool residents and businesses;
- Partner Organisations;
- People outside the borough.

**Principles of the Strategy**

Hartlepool Council recognises that there are forms and patterns of racial, religious, gender and cultural prejudice and discrimination in society. These unfairly limit the learning opportunities of many people. Hartlepool Council is committed to ensuring that all people wishing to access Education are enabled to do so.

Access to Education for school aged pupils:
- Will be equally accessed by children and young people irrespective of gender, disability, sexual orientation, religion or belief, or ethnic background, subject to

any legislative or eligibility restrictions and the agreed admissions code of practice;

- Will make appropriate and reasonable adjustments to ensure equal access.

Access to Education for Adults:
- Regardless of ethnic background religion or belief, disability, gender or sexual orientation
- Actively seek to address inequalities establishing where they exist and then implementing appropriate actions
- Remove barriers to learning and employment
- Acknowledge, celebrate and make effective use of people's differences

**The Strategy**

**Background**

Hartlepool Council had adopted a strategy for inclusive education and believes that all children should have an equal opportunity to have access to a broad and balanced curriculum and to be included in all activities at school that are open to pupils of their age group. The Children's Services Department Outline Accessibility Strategy gives detail of how the Local Authority with schools will seek to:
- Increase the extent to which disabled pupils can participate in the school curriculum;
- Improve the physical environment of schools to increase the extent to which disabled pupils can take advantage of education and associated services;
- Improve the delivery to disabled pupils of written information which is provided to pupils who are not disabled, within a reasonable period and in a format which takes account of the preferred means of communication expressed by pupils or parents.

Schools have open access to support from the Hartlepool Ethnic Minority Achievement Team which assists schools in securing access to a broad and balanced curriculum for pupils from minority ethnic communities and for whom English is a second language.

The Children's Services Department seeks to promote inclusion for all pupils by encouraging schools to work towards gaining the Hartlepool Inclusion Standard, which promotes the continuous process of increasing presence, participation and achievement of all children, young people and adults in local community schools where possible and requires schools to have regard to the needs of all pupils who are at greater risk of marginalisation, exclusion and underachievement.

The Local Authority provides guidance to the Governing Bodies of schools in relation to compliance with equal opportunities legislation in relation to both pupils and staff.

Hartlepool Council seeks to promote equal opportunity for all adults who wish to participate in learning. It will work towards ensuring that there is access to a range of opportunities delivered in fully accessible venues. It will ensure that where possible

support is provided to individuals to assist in removing any barriers to learning. The council will work in partnership with other agencies to ensure that there is a full range of opportunities suitable for all groups of adults.

**Aim**

- To promote equality of access to inclusive education for school aged pupils, in line with the Children's Services Accessibility Strategy and taking into account parental preference and having due regard to relevant legislative and admissions criteria.
- To promote equality of opportunity to ensure that there is equal access to learning opportunities for adults.

**To do this it must**

- Ensure that access to all services and support are included in regular retrospective impact assessments using the INRA (Impact Needs Requirements Assessment) process and appropriate action taken to address any adverse or differential impact or unmet need
- Ensure that access issues are considered when all new services / policies are subject to predictive impact assessments using the DIA (Diversity Impact Assessment) process to address any adverse or differential impact or unmet need.
- Encourage schools to adopt the Hartlepool Inclusion Standard**.**
- Ensure that access to learning opportunities is open to all who can benefit.
- Provide impartial information and guidance to all prospective learners so that they are placed on the best courses to help them succeed.
- Identify learners' needs at the start of a course and giving them opportunities to experience different ways of learning.
- Ensure content and language of all written course information is clear and free from social and racial bias or stereotypical wording.
- Ensure access, where needed, to additional learner and learning support after assessment of individual needs.
- Locate a wide range of learning opportunities close to where people live.

**Responsibilities**

a) <u>**Corporate responsibilities**</u>

i) Assistant Chief Executive
- To ensure the council's performance management framework incorporates equality and diversity issues
- To provide the corporate lead on consultation with the community

ii) Chief Personnel Officer
- To ensure appropriate guidance and training on INRA and DIA processes are undertaken.

- To ensure that access issues are included in the INRA and DIA processes

**b) Departmental responsibilities**

- To undertake impact assessments in all service areas using DIA / INRA processes
- To implement any identified actions
- Monitor complaints for any barriers identified and to learn the lessons of these complaints.
- Provide appropriate customer care / diversity training to ensure customers are treated equitably and without discrimination
- Consult with service users regarding their services communities of interest.
- Maintain an up to date Outline Accessibility Strategy in line with legislative requirements.
- Promote the use of the Hartlepool Inclusion Standard by schools.
- Provide relevant guidance for Governing Bodies of schools in relation to their responsibilities under legislation and regulations concerning equal opportunities issues.
- Ensure that there is available a comprehensive programme of leaning opportunities which are accessible to all adults.

**Objectives and Action Plan**

**The objectives, actions and performance measures (see below) to implement this strategy will be incorporated into the Council's performance management arrangements and cross-referenced to this strategy.**

**Performance Measures**
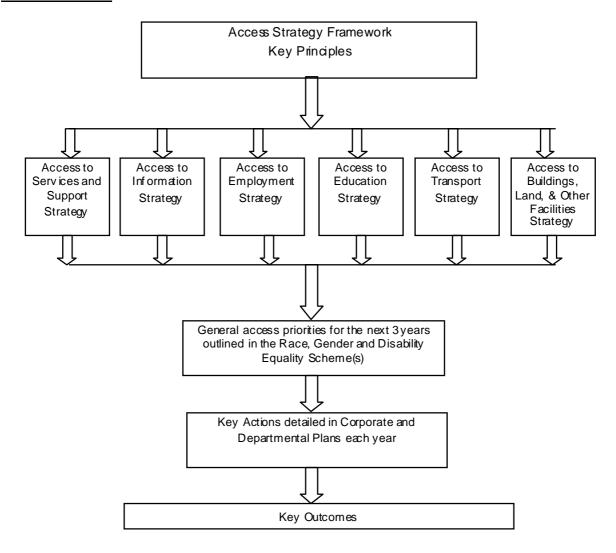
- Progress against Corporate Plan actions
- Progress against Departmental Service Plan actions
- Schools achieving the Hartlepool Inclusion Standard
- Participation in learning reflects the local population.

**Monitoring and Reporting**

Progress against the actions to implement the Strategy and performance measures will be subject to the Council's standard performance management arrangements and will be reported as part of the Annual Diversity report.

# ACCESS TO COUNCIL TRANSPORT STRATEGY

The Framework

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┌─────────────────────────────────────────┐
│         Access Strategy Framework         │
│              Key Principles               │
└─────────────────────────────────────────┘
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| Access to Services and Support Strategy | Access to Information Strategy | Access to Employment Strategy | Access to Education Strategy | Access to Transport Strategy | Access to Buildings, Land, & Other Facilities Strategy |

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┌─────────────────────────────────────────┐
│ General access priorities for the next 3 │
│ years outlined in the Race, Gender and    │
│ Disability Equality Scheme(s)             │
└─────────────────────────────────────────┘

┌─────────────────────────────────────────┐
│ Key Actions detailed in Corporate and    │
│ Departmental Plans each year              │
└─────────────────────────────────────────┘

┌─────────────────────────────────────────┐
│              Key Outcomes                 │
└─────────────────────────────────────────┘
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## Individual Strategies

Each individual Strategy details
- how it contributes to the overall Access Strategy Framework
- who can access the strategy
- key principles
- aims and what must be done to achieve them
- responsibilities
- performance measures

## How does the Access to Transport Strategy Contribute to the Overall Framework?

The Access to Transport Strategy sets the way in which the Council will ensure that there are effective mechanisms in place for ensuring equal access to transport within the town of Hartlepool.

Recognising the wider quality of life benefits that transport can bring, the strategy reflects the broader vision for the borough set out in the Community Strategy. This vision is being delivered through the seven priority aims that relate to the shared central-local government priorities and represent key areas for the town's forward planning and prioritisation.

## Who can use the Access to Transport Strategy?

- Employees;
- Potential Employees;
- Councillors;
- Trade Unions;
- Hartlepool residents and businesses;
- Partner Organisations;
- People outside the borough.

## Principles of the Strategy

A new vision for transport has been developed that reflects the central role of transport in contributing towards the long-term vision and priorities for Hartlepool's community. Our local transport vision for the year 2021 is that:

*Hartlepool will have a high quality, integrated and safe transport system that supports continued economic growth and regeneration. It will provide access to key services and facilities for all members of society, promote sustainable patterns of development and movement and minimise the adverse effect of traffic on local communities and the environment. The development of transport services and infrastructure will represent best value for money for the users, operators and the Council.*

In achieving the key priority aims for accessibility, road safety, congestion and air quality an improved quality of life for all communities will be achieved. This includes promoting healthy living through more active lifestyles and wider access to health and social care and maintaining continued economic prosperity and regeneration by supporting the needs of the local economy in a sustainable manner.

## The Strategy

## Background

This strategy is based on meeting the targets contained within the Local Transport Plan (LTP) 2006-2011, which can be viewed at
Local Transport Plan 2006-2011

Some of the methods used to achieve the targets contained within this document are:

- Improving accessibility to public transport by the introduction of low floor bus infrastructure at stops on core and super core routes, together with shelters where possible. (Bus operators have a duty to upgrade their fleets to 100% low floor buses by 2012)
- Introduction of a free concessionary travel scheme in access to the government's minimum requirements (all day rather than off-peak).
- An annual programme for the installation of dropped crossings at all junctions, together with appropriate tactile paving.
- The upgrading of all light controlled crossings to include facilities for disabled, (tactile and audible indicators where possible).
- The creation of an Integrated Transport Unit (ITU) to bring together all passenger transport service planning, procurement and monitoring and management functions across a range of service areas (e.g. local bus services, mainstream school transport, special educational needs (SEN), school transport, social services transport, etc.)
- The investigation into the utilisation of the Council's existing fleet for transport provision for access to support services.

**Aims**

The transport vision for Hartlepool will be achieved with the following aims: -

- To promote social inclusion by ensuring that everyone can access the key services and facilities that would need.
- To improve the overall safety and security of the transport system for everyone
- To ensure that traffic congestion does not hinder continued economic growth and regeneration
- To minimise the adverse impacts of transport on air quality and climate change

Contribution to the wider quality of life issues is made within each of these aims.

**To do this it must**

- ensure that access to all services and support are included in regular retrospective impact assessments using the INRA (Impact Needs Requirements Assessment) process and appropriate action taken to address any adverse or differential impact or unmet need
- ensure that access issues are considered when all new services / policies are subject to predictive impact assessments using the DIA (Diversity Impact Assessment) process to address any adverse or differential impact or unmet need. .

**Responsibilities**

    a)              <u>**Corporate responsibilities**</u>

i)      Assistant Chief Executive
- To ensure the council's performance management framework incorporates equality and diversity issues
- To provide the corporate lead on consultation with the community

ii)     Chief Personnel Officer
- To ensure appropriate guidance and training on INRA and DIA processes are undertaken.
- To ensure that access issues are included in the INRA and DIA processes

iii)    Head of Technical Services
- To provide a high quality, safe and accessible transport service
- To maximise the use of existing internal transport resources
- To develop a flexible transport service that can respond to changing Government priorities and future need
- To create a specialist team of transport professionals, providing advice and expertise across all directorates
- To ensure service specific INRAs and DIAs are carried out where appropriate
- To ensure that individual Service Plans incorporate diversity issues.
- To maintain, improve and make more efficient use of the existing transport network

    b)              <u>**Departmental responsibilities**</u>

- To undertake impact assessments in all service areas using DIA / INRA processes
- To implement any identified actions
- Monitor complaints for any barriers identified and to learn the lessons of these complaints.
- Provide appropriate customer care / diversity training to ensure customers are treated equitably and without discrimination
- Consult with service users regarding their services   communities of interest.

**Objectives and Action Plan**
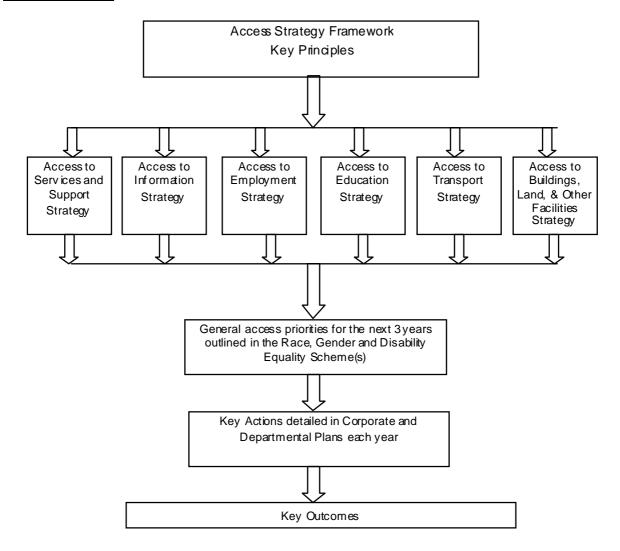
**The objectives, actions and performance measures (see below) to implement this strategy will be incorporated into the Council's performance management arrangements and cross-referenced to this strategy.**

## Performance Measures

- Progress against Corporate Plan actions
- Progress against Departmental Service Plan actions
- Progress against individual Service Plan actions
- Proposed targets and indicators are detailed within Chapter 11 of the Local Transport Plan (Pages 203-22) Local Transport Plan 2006-2011

## Access to Buildings, Land, Sites and other Facilities Strategy

The Framework

```
┌─────────────────────────────────────┐
│       Access Strategy Framework      │
│           Key Principles             │
└─────────────────────────────────────┘
                  │
                  ▼
┌──────────┬──────────┬──────────┬──────────┬──────────┬──────────┐
│ Access to│ Access to│ Access to│ Access to│ Access to│ Access to│
│ Services │ Infor-   │ Employ-  │ Education│ Transport│ Buildings,│
│ and      │ mation   │ ment     │ Strategy │ Strategy │ Land, &  │
│ Support  │ Strategy │ Strategy │          │          │ Other    │
│ Strategy │          │          │          │          │ Facilities│
│          │          │          │          │          │ Strategy │
└──────────┴──────────┴──────────┴──────────┴──────────┴──────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│ General access priorities for the    │
│ next 3 years outlined in the Race,   │
│ Gender and Disability Equality        │
│ Scheme(s)                            │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│ Key Actions detailed in Corporate    │
│ and Departmental Plans each year     │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│           Key Outcomes               │
└─────────────────────────────────────┘
```

**Individual Strategies**

Each individual Strategy details
- how it contributes to the overall Access Strategy Framework
- who can access the strategy
- key principles
- aims and what must be done to achieve them
- responsibilities
- performance measures

## How does the Access to Buildings, Land, Sites and other Facilities Strategy contribute to the Overall Access Strategy Framework?

The Access to Buildings, Land, Sites and other Facilities Strategy sets out the way in which the Council will ensure that there are effective mechanisms in place for ensuring equal access to council Buildings, Land , Sites and other Facilities and land in public domain.

Hartlepool Borough Council in accordance with its vision and values will seek:-

- to ensure its own buildings, land, sites and other facilities are reasonably accessible having regard to all relevant design considerations
- to promote access improvements in the wider community through its planning, building regulation and licensing services.

**Who can use the Access to Buildings, Land, Sites and other Facilities Strategy?**

- Employees;
- Potential Employees;
- Councillors;
- Trade Unions;
- Hartlepool residents and businesses;
- Partner Organisations;
- People outside the borough.

**Key Principles of the Strategy**

To Identify, support and prioritise improvements to make Council buildings and all facilities accessible to all.

Buildings access and the built environment include access to Council premises and other facilities that the Council provides such as parks.

**Background**

Buildings, Land, Sites and other Facilities and land in the public domain means any building or open space in an urban or rural setting. It includes:
- the internal and external areas of buildings;
- equipment that may be installed to enable access to be provided to an activity or a facility, wherever it may be;
- public parks, footpaths and any place the public are permitted to use or enter.

The term "reasonably accessible" refers to the external route to the building (including accessible car parking facilities) and all internal circulation routes plus the provision of specialised equipment where appropriate

The term "accessible for all" includes Disabled people as defined that are people with mobility impairments, sensory impairments, people with learning difficulties and people who experience emotional/mental distress. Non-disabled people such as elderly people, those with prams or pushchairs also benefit from inclusive environment.

The requirements of the DDA allocates responsibility to "Service Providers" and priority has been given to the way in which services are delivered to ensure disabled people are not treated less favourably. It is recognised that where physical features in Council buildings completely prevent or seriously hinder access, sometimes, the only way of delivering a service maybe through making alterations to buildings or equipment.

"Physical features" arise from the design or construction of a building and any fixtures, fittings and equipment on the premises. This could include paths, entrances, parking, service counters, doors, toilets, stairs etc.

Each building and the services provided there from is unique and needs its own Access Plan to be written, monitored and kept up to date by the Service Manager responsible.

Hartlepool Borough Council is committed to ensuring that where practicable all services are accessible to all people wishing to access them. We will make every effort to install appropriate facilities in existing premises, whenever practical to do so. Where ever we invest capital in new or refurbished premises every practical effort will be made to provide for the needs of disabled staff and service users to provide an inclusive environment.

The extent to which any building or area is ever going to be accessible will not be the simple product of the level of coercion that any legislation can bring to bear. Of importance is the degree of commitment shown by the people who control that environment, whether it is at a personal or professional level.

**Aims**

The following aims seek to provide a framework in which the policy and the guidance it offers can be implemented. They represent the targets in any work relating to the environment and disabled people.
- To make provision for disabled people within the mainstream environment.
- The design philosophy should take an inclusive design approach to the provision of access to the environment or to an activity.
- Maximise use of funds to improve and make provision for access for all.

**To do this it must:**

- ensure that access to all services and support are included in regular retrospective impact assessments using the INRA process and appropriate action taken to address any adverse impact or unmet needs
- ensure that all new services / policies will be subject to predictive impact assessments using the DIA process to address any adverse impact or unmet needs. This will ensure we have considered the implications for all parts of the community.
- Undertake access audits of all the Council's operational buildings open to the public.
- Produce Access Plans for all operational buildings that provide a service to the public.
- Produce a Design Guide to ensure an inclusive environment is being provided in Hartlepool
- Involve service users of council buildings in identifying barriers to service provision

**Responsibilities**

**a) Corporate Responsibilities**

i) **Assistant Chief Executive**
- To ensure the council's performance management framework incorporates equality and diversity issues
- To provide the corporate lead on consultation with the community

ii) **Chief Personnel Officer**
- To ensure appropriate guidance and training on INRA and DIA processes are undertaken.
- To ensure that access issues are included in the INRA and DIA processes

iii) **Head of Procurement and Property Services**
- To make all Council service buildings and other facilities and land in public domain more accessible and ensure that access issues are included in the Asset Management Plan

iv) **Assistant Director Planning and Economic Development**
- To ensure that access and design guidance is provided to all those who develop services within Hartlepool.
- To ensure that the access advisory function is sufficient to be influential within the Council.
- Ensure Building Regulation standards are enforced for all work within the borough.
- In addition to ensuring the minimum standards of Building Regulations are achieved also provide additional access and design guidance to all those who develop services within Hartlepool
- Promote the access advisory function and access requirements through the authority.
- Provide access advice to ensure access requirements are incorporated into the Councils design and delivery of mainstream services.

- Ensure access to goods, services facilities, provided by the Council comply with the Disability Discrimination Act (DDA) and all associated legislation.
- Provide Access Audits; recommend improvements and solutions to meet relevant Legislation requirements to enable the Council to prioritise and plan improvements in a practical and cost effective way.
- Provide training and support to clients in the preparation of Disability access action plans and Access Statements
- Work in Partnership as a duty to promote access for all

### b) Departmental Responsibilities

- To undertake impact assessments in all service areas using DIA / INRA processes
- To implement any identified actions
- Monitor complaints for any barriers identified and to learn the lessons of these complaints.
- Provide appropriate customer care / diversity training to ensure customers are treated equitably and without discrimination
- Consult with service users regarding their services communities of interest.
- To provide funding in respect of access issues
- To prepare access action plans and ensure that accessibility matters feed into the Service Asset Management process
- To train all staff in access awareness

### Objectives and Action Plan

**The objectives, actions and performance measures (see below) to implement this strategy will be incorporated into the Council's performance management arrangements and cross-referenced to this strategy.**

### Performance Measures

- Progress against Corporate Plan actions
- Progress against Departmental Service Plan actions
- Progress against Access Strategy Action Plan
- BVPI 156 Buildings Accessible to People with a Disability
- Percentage of portfolio and number of buildings for which an Access Audit has been undertaken by a competent person (PMI 4 A,B)
- Percentage of portfolio by GIA sq m and number of properties for which an Access Plan is in place (PMI 4C,D)

**Measures and Reporting**

Progress against the actions to implement the Strategy and performance measures will be subject to the Council's standard performance management arrangements and will be reported as part of the Annual Diversity report

## Glossary

| | | |
|---|---|---|
| **BVPI** | - | Best Value Performance Indicator |
| **DIA** | - | Diversity Impact Assessment |
| **INRA** | - | Impact Needs Requirements Assessment |
| **SEN** | - | Special Educational Needs |
| **LTP** | - | Local Transport Plan |
| **ITU** | - | Integrated Transport Unit |
| **DDA** | - | Disability Discrimination Act |
| **GIA** | - | Gross Internal floor Area. |

# Guidance for Local Authorities on Translation of Publications

December 2007
Department for Communities and Local Government

**www.communities.gov.uk**
community, opportunity, prosperity

Communities and Local Government
Eland House
Bressenden Place
London
SW1E 5DU
Telephone: 020 7944 4400
Website: www.communities.gov.uk

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Communities and Local Government Publications
PO Box 236
Wetherby
West Yorkshire
LS23 7NB
Tel: 08701 226 236
Fax: 08701 226 237
Textphone: 08701 207 405
Email: communities@twoten.com
or online via the Communities and Local Government website: www.communities.gov.uk

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Foreword by the Secretary of State

In June 2007, the Commission on Integration and Cohesion published *Our Shared Future*, setting out practical ways in which local authorities could help to build strong communities by promoting cohesion and integration locally.

I have been very encouraged by the way that many authorities have already begun to respond to the recommendations. The government will publish a full response in the new year. But there were a number of areas which needed immediate action. That is why I am publishing this guidance on translation for local authorities.

I agree wholeheartedly with the analysis and recommendations on translation set out by the Commission. Strong communities depend on shared values and experiences. The Commission found that around 60 per cent of people believe that the biggest barrier to "being English" was not speaking the language. Good English skills are vital to finding jobs and participating in society. And, as the Commission says, English **"binds us together as a single group in a way that a multiplicity of community languages cannot."**

Automatic translation of all documents into different languages in some areas is undermining the importance of English as a way of enabling all citizens to communicate and relate to one another. While this approach may be well-intentioned, it means that some may come to rely on the service, lacking the incentive to learn English. In the past I think we have – in however well-meaning a way – translated things that need not have been translated. Translation is a stepping stone to speaking English, but it can never be a substitute for it.

As a result, I am very clear that we should reject automatic translation in favour of a more selective approach, where translation is targeted to particular needs, and which is part of an overall local strategy to promote English.

Of course, there will always be some circumstances in which translation is appropriate – for example, to enable particular individuals to access essential services like healthcare or participate in local democracy. That is why local authorities are responsible for making the decisions which reflect the needs of their community.

This guidance will help them make these decisions, with a checklist of questions based on good practice to consider before choosing to translate material. Much of this re-emphasises the Commission's findings, and as a result, is grounded in common sense. The guidance also highlights some of the good practice and innovative approaches which are already working. I hope that authorities will find this useful, and will continue to share the good practice that works for their communities.
**Hazel Blears, Secretary of State, Communities and Local Government**

## Introduction

**Context**

1.      This document forms part of our response to the Commission on Integration and Cohesion's final report, *Our Shared Future*. It focuses in particular on Annex E of that document. The report, its case studies and supporting research documents can be found at www.integrationandcohesion.org.uk

2.      The Commission was a fixed-term advisory body, tasked with developing practical recommendations aimed at building cohesion in local communities. Its report set out a new framework for local cohesion work, based on four key principles:

   a.      the sense of **shared futures** – an emphasis on articulating what binds communities together rather than the differences that divide them, and prioritising a shared future over divided legacies

   b.      a new model of **rights and responsibilities** – one that makes clear both a sense of citizenship at national and local level, and the obligations that go along with membership of a community, both for individuals or groups

   c.      an ethics of hospitality – a new emphasis on **mutual respect** and civility that recognises that alongside the need to strengthen the social bonds within groups, the pace of change across the country reconfigures local communities rapidly, meaning that mutual respect is fundamental to issues of integration and cohesion

   d.      a commitment to equality that sits alongside the need to deliver **visible social justice**, to prioritise transparency and fairness, and build trust in the institutions that arbitrate between groups.

3.      In responding to the Commission, our objective is to set out clearly how those four principles – and the emphasis on interaction outlined in the rest of the Commission's report – can be made tangible in local practice. And to show clearly how cohesion can be successfully embedded in wider policy areas to ensure a greater impact.

**Who should read this document**

4.      This guidance is for England only and is aimed at local authorities and their partners (particularly LSPs). The principles it contains, however, can be used by other bodies and organisations.

## What the Commission recommended on translation

5.  The Commission concluded that speaking English acts as an important binding ingredient for diverse communities – with 60 per cent of those surveyed in their MORI polling identifying language as the main ingredient of "being English". It also found that speaking English was a key way or promoting equality, as it led to greater success in the labour market (the research on this is referenced at the end of this document). Their report set out the importance to cohesion of people being able to communicate with one another – with recommendations for both improved English language skills for new migrants, as well as targeted campaigns to help settled communities understand the nature of migration in their area, and to provide the opportunities to meet migrants and to work together.

6.  As part of this wider emphasis on communications, the Commission considered the translation of written materials, on a general basis, such as leaflets and official forms.

7.  The Commission did not consider changes to the provision of interpreters on a one-to-one basis. Such provision will be necessary, where someone does not have sufficient English language skills and needs to be able to understand their legal rights, medical advice or their financial and other responsibilities. It may be expected, however, that the need for interpretation will eventually reduce as the use of English becomes more universal.

8.  Distilled from their consultation, the Commission found five reasons why Local authorities had made a pro-active decision to translate materials into community languages:

    a.  To ensure that non-English speaking residents are able to access essential services, eg the police, education services, and safety campaigns, such as fire, road safety, etc.

    b.  To enable people to take part in the democratic process, for example enabling people to register to vote or take part in local consultations.

    c.  To support local community groups or intermediaries working directly with new migrants or non-English speaking communities.

    d.  To enable people to function effectively as citizens in society and be able to get along with others, by ensuring that they understand local rules and appreciate local customs eg rubbish disposal, parking restrictions and common courtesies.

    e.  To ensure compliance with the Race Relations Amendment Act 2000 and ensure that no one is disadvantaged in accessing services because of their inability to communicate verbally or non-verbally.

9.      However, the report also noted that there was evidence of more reactive translations where although local authorities were well-meaning in translating materials into community languages, for example seeing this as a way of promoting equality, they were not always considering whether it was the best use of scarce resource:

- where local authorities and organisations were automatically translating background and reference documents that would not necessarily be in widespread use or general circulation, eg annual reports

- Where overly complex leaflets were being translated, and what was really needed was sign-posting to a service

- Where documents were automatically translated into a set of languages, without consideration being given to the audience for that document

10.     The report also identified that where areas were facing similar challenges on translation (for example, those in the deprived rural area with high levels of new migration identified by the Commission), they were not sharing resources.

11.     The Commission therefore recommended that a checklist be prepared for local authorities considering whether or not to translate materials – which is set out in further detail later in this document. They also commissioned a research from the Central Office of Information, which also informs the rest of this guidance, and can be found at the Commission's website – www.integrationandcohesion.org.uk.

**Our response to these recommendations**

12.     We agree with the Commission's emphasis on the need to speak English and that promoting English is essential for both longstanding migrants (for example, spouses who did not speak English upon arrival) and new migrants who do not speak English.

13.     While there is an argument that fewer translations will reduce costs, in supporting this recommendation, our key concern is that local authorities should provide services in a way that meets the needs of communities – whilst avoiding divisively positioning one particular community against another, and ensuring that people are encouraged to learn English as soon as possible, given the importance of language skills to integrating and accessing the labour market.

14.     In the widest sense, this might mean that local authorities want to consider how all of the support they provide to citizens and service users can be delivered in a way that supports vulnerable communities, but does not appear to do so at the expense of others.

15.    With regard to the development of a new approach and specifically on the translation of written materials:

•    We therefore agree that local authorities, and other government bodies and organisations should think twice before continuing with, or providing new, written translation materials – considering the impact on both those who actually use them, and also thinking through how English speakers will perceive the special provision of written materials that do not feature any English.

•    Where local authorities do choose to translate – because the information is needed for safety or health reasons, for example, we agree with the Commission's suggestion that this is used as an opportunity to teach English, perhaps by using pictures instead of translation in a document in English, or bilingual translation.

•    We agree that all bodies should be considering whether there are groups which do not speak English in their communities, and have low literacy standards in their own language

•    We also agree that the local approach should be part of a wider communications strategy that seeks both to manage the impact on settled communities of demographic change, and to ensure that all documents – whether translated or not – meet plain English standards.

16.    In short, we would encourage local authorities to consider whether translation is necessary, for which documents it is appropriate, whether it should be available on demand, and whether it can be done in a way that helps people learn English.

17.    Finally, following the Commission's lead, we have specifically focused in this guidance on the translation of general written materials. But we are aware that many local authorities and bodies make use of interpreters and interpretation services to assist non-English speaking people to access essential services. We therefore expect that some of the principles outlined below will also be useful to local authorities when making decisions on when to provide interpreters.

## Putting this Guidance into Practice

18.         We strongly agree with the Commission's position the evidence for translation acting as a crutch for people who don't speak English is patchy. But we strongly agree with the Commission's position on the need for English to be used as a binding agent in communities and to promote equality of opportunity. This section reinforces the guiding principles they developed, as well as restating the checklist developed.

---

**Context**

The Commission suggested four contextual points, which helpfully set the background for any decisions on translation of written materials:

a. **There is no legal reason for all materials to be translated.** The Race Relations Act simply says that all parts of the community should have access to services, and although that might involve translation, it does not always have to. The Human Rights Act only requires translation if someone is arrested or charged with a criminal offence.

b. **Translation can never be a substitute for learning English.** Whatever the considerations *when* translated printing materials, the whole issue needs to be seen in the context of a wider drive to improve English skills in all communities. And that means a greater focus on ESOL and English language provision.

c. **Translation should be reduced except where it builds integration and cohesion.** Opinion is *divided* as to whether translation is a barrier to integration, or whether it is a stepping stone to better language skills. Our position is that it depends on the individual: where migrants from the past are still relying on community languages, then translations from English are likely to extend their reliance on their mother tongue; where new migrants do not speak English then clearly they need initial information in appropriate languages. Local authorities will judge what is best – but our working assumption is that heading for the translators should not be an automatic first step in all cases.

d. **Translation should be considered in the context of communications to all communities.** Materials that are not in English can be alienating to existing communities. It is important to keep communications channels open between community groups living in the same area. Local partners should therefore consider ways to use translated materials to underline their even-handed approach to all communities.

---

**Translation Checklist**

The Commission suggested a checklist for local authorities, which we agree provides a clear picture of both the intent of this recommendation, and the ways in which it might be implemented (we have revised this slightly

**Is it essential that this material be translated?**
What is your evidence of a need or demand for this translation?
What is your evidence that people will be disadvantaged without this translation?
Who is the target audience? – for example is it young mothers, pensioners, workers etc and do those target audiences include people who don't speak English?
Are speakers of particular languages being targeted?
Are you using the right data to select the languages to translate this material into?
Have you got information about who cannot speak English locally, and is it being updated as intelligence comes in about local changes?

**Does the document need to be translated in full?**
Are you confident that people across all communities will have the literacy skills to understand this document?
Should it first be simplified into a plain English version?
Would a short summary do with signposting to further information? – or could it be translated on request rather than proactively?
Could this message be better delivered by engaging with community groups directly or through credible partners, or by using alternative media?
Have you considered the cost/benefit analysis for this translation?
Will these materials be used in full, or is it likely that this form of communication will sit on the shelf?
What would be the cost of not translating these materials – would there be an additional burden on public services?
Have you explored whether other local agencies might already have these materials available in translated form?
Have you networked with other authorities to share leaflets?
Might the police or other partners already be translating similar things?
Is there any national best practice?
Are there practical ways you can support people to learn English even while producing this translation?
Can you use pictures?
Is there an English summary at some point in the document?
Could you include adverts for local English lessons?
Could the whole leaflet be bilingual or multilingual?
Are there practical ways you can keep up with changes within the community?
Have you got a welcome pack for new migrants that can be updated based on their experiences – is produced electronically, or in a format that is easy to update?
Does translation form part of a wider communications strategy?

**Translation Checklist** *(continued)*

Are you translating something that is about specific services to one community? – have you considered whether they will feel alienated from mainstream provision by having to have this?
Have you considered whether other communities might feel disadvantaged by not having access to similar materials?
Does this material fit well with your communications strategy to all residents, both settled and new?

## Updating Local Communication Strategies

In addition to the Commission's work, we have the following thoughts on how existing communication strategies might be updated:

- Local authorities could consult on their strategy with longer term and new migrant communities, recognising that they will have different needs. This exercise could aim to identify when translated materials could be withdrawn and the best way for the signposting of English language classes.

- The consultation process should take account of the many different needs, the nature of each group and the extent of vulnerability. For example, the local authority may wish to consult with minority women's organizations and not base decisions solely upon contact with established community leaders.

- Local authorities could also agree the strategy across the range of local partners, perhaps through the LSP, and ensure that there is a consistent approach which is owned by all stakeholders

- Local authorities could attempt to line up the withdrawal of translated materials with the provision of English language classes and have regard to the capacity and programme of local providers, bearing in mind that this may well need to be augmented. Providers should include local employers.

- For longer term migrants who cannot speak English, the classes might be arranged for older people and for women at times and places suitable for them.

- For new migrants who cannot speak English, material with basic information about the law and other responsibilities should be provided in their languages, but including and signposting ways to learn English.

- The local authority could also negotiate with employers to provide English Language classes at work (employees need to be able to speak English to understand health and safety processes and their employment rights, work instructions, respond to customers, etc) on the basis that employers should be prepared to meet all or some of the costs.

## Examples of Good Practice Identified by the Commission

**INTRAN Access interpreting and translation** is the largest interpreting partnership in the UK, based in Norfolk, it is a multi-agency partnership that provides free and confidential services to users. At least 88 languages are spoken in the increasingly diverse area of Norfolk, and translation costs for single agencies wishing to translate would be exorbitant. Sharing information enables new pressures to be identified quickly and partners share the responsibilities for maintaining and developing INTRAN – for example the 5 hospital trusts in the partnership meet as a group to share experiences and prevent duplication and have developed joint staff guidelines on the effective use of translation resources.

**East Lancashire Migrant Worker Welcome Booklet** helps new arrivals integrate in the East Lancashire area by informing them about key services. Whilst the booklet was being developed, Pendle Council produced leaflets on key services in appropriate languages, and worked with the Pennine Division Police to inform new migrants of the laws, rights and responsibilities. Through effective partnership working, the booklet was jointly procured by the parties involved, reducing costs and potential replication of similar material. This welcome approach is delivered on a sub-regional basis. The model has enabled the East Lancashire Councils and their partners to limit the burden of direct translation, thus reducing translation costs.

**The Peterborough City Council Road Safety Team**, in partnership with Cambridgeshire Police, is developing a pictorial approach to its road safety messages. The BASICS campaign in particular used symbols that were easily understandable to get across key messages about road safety such as: speeding, drink driving and seat belts – with an overall aim of raising awareness and changing mindsets so casualties could be reduced. In addition to using pictures, where the leaflets needed to draw out messages in languages other than English, they were multilingual – the English text was set against a number of other languages, all on one poster.

**Peterborough City Council and Peterborough Primary Care Trust** have an Interpreting and Translating Partnership, which is committed to ensuring that all users are communicated with effectively. They ensure that Interpretation and Translation services are used in all instances where it is not possible to establish effective communication and where not to do so would severely disadvantage the service user.

"Severely disadvantage" is described as being the following circumstances:

- Financial loss (eg housing benefit claim) and/or

- Health, no improvement or deterioration (eg misdiagnosis, unable to understand medical instructions) and/or

- Lead to legal disadvantage (eg Noise abatement notice – unable to read legal duty to comply) and/or

- Cause severe distress to the service user (eg missing child, fire in the home etc)

**The Arun Cultural Ethnic Diversity Forum** used both translation and visual images to overcome language barriers through the use of multilingual newsletters. They also promote a two-way interactive learning process with new settlers – migrant workers are encouraged to learn English, and to help provide a more effective service to a changing population base, the neighbourhood policing team has the option of learning other languages (eg Polish) as part of Continued Professional Development. This helps officers communicate and build community trust.

**Preston City Council** is pioneering a two-year trial to process compost from collect food waste. It used a picture campaign to communicate with all residents. By using visual imagery, the campaign was able to communicate key information to a broad section of the local population, including new arrivals with limited English skills. This reduced translation costs and improved understanding of responsibilities and rights across cultures.

Evidence on the Benefits of Learning English

• Fluency in English (as assessed by an interviewer) increases the average hourly occupational wage by approximately 20 per cent (Shields MA and Wheatly-Price S. 2002. The English language fluency and occupational success of ethnic minority immigrant men living in English metropolitan areas, Journal of Population Economics, pp. 137-160).

• Language increases productivity and communication (and hence the market wage) and also increases employment probabilities. (Dustmann, C, van Soest, A, 2003. The Language and earnings of immigrants, Industrial and labour relations review, Vol 55, No 3).

• A Canadian study concluded that immigrants who do not usually speak either English or French (the two official Canadian languages) at home have earnings 10 to 12 per cent lower than those who do. This study also found that those with better language skills receive more benefit from an additional year of education (in terms of the wages earned). (Chiswick BR and Miller PW. 2003. The complementarity of language and other human capital: Immigrant earnings in Canada, in: Economics of Education Review, vol. 22, no. 5, October 2003. pp. 469-80).

**Extract from the minutes of the Scrutiny CO ORDINATING Committee 18<sup>th</sup> Jan 2008**

# Corporate Access Strategy and Publicity for Translation and Interpretation Services *(Chief Personnel Officer)*

The Chief Personnel Officer presented a report which provided Members with an opportunity to consider and comment on the draft Access Strategy and proposals regarding the way the translation and interpretation services provided by the Council were publicised for the Performance Portfolio Holder's consideration. Members were informed that a wide range of translation and interpretation services were available and details of these were attached at Appendix A. The draft Access Strategy had been developed and included a suite of connected strategies and was attached at Appendix B.

Scrutiny Co-ordinating Committee had previously suggested that a brand be developed specifically to highlight to stakeholders which services available in different formats. However, it was proposed that the Council logo be used to identify where translation and interpretation services were available as this was already widely recognised as identifying the Council. It was envisaged that ultimately the translation and interpretation services would be available wherever this logo appeared. The publicity arrangements being considered were posters, specific leaflets, prompt board for employees and targeted distribution of leaflets to specific areas of town. Examples of the posters and leaflets were distributed at the meeting for Members comments. As the posters and leaflets were in draft format, the Chief Personnel Officer confirmed to Members that they would indicate, in various languages, what support was available. Members were also asked to note that the Council's website was being developed to incorporate this information also.

A discussion ensued in which the following issues were raised:

- It was recognised that a lot of young people from non-English speaking parents translated information for their parents. In light of this, it was felt that these young people would easily be able to identify what type of information would get their parents' attention. The Diversity Officer indicated that she was currently working with ethnic minority groups and had identified some barriers.
- Members felt strongly that the use of the English language should be encouraged within the communities, possibly through the introduction of classes teaching the English language? The Chief Personnel Officer indicated that English language course had been provided by Adult Education but was subject to the availability of funding.
- The need for the local authority to be pro-active and work alongside groups such as the Salaam Centre was recognised to ensure that support was given to residents to enable them to access the information they require.
- Clarification was sought on the funding of the production and distribution of the posters and leaflets. The Chief Personnel Officer indicated that funding was

available from within the Human Resources budget for the initial production and distribution with more being produced depending on the take up of the services. It was recognised that the training of front-line staff would be an investment in the Council's employees and would also be funded from the HR budget.

- It was noted that the translation and interpretation services could provide an opportunity to encourage wider engagement with minority groups and communities and that the possibility of having a link worker to work with these organisations and community groups to facilitate this should be explored.

- A Member suggested that a laminated card could be produced in various languages for people entering the Council's receptions to direct them to the appropriate service. The Diversity Officer reassured Members that cards were available and that all front-line staff were fully trained and aware of the different translation and interpretation services available. During the consultation with the Talking with Communities group, they had indicated that they were confident they could visit the Civic Centre and ask for help. Although it was acknowledged that most visits to the Civic Centre were routine in nature, language line was available should an emergency situation arise.

- Clarification was sought on how telephone calls from non-English speaking residents would be dealt with. The Chief Personnel Officer indicated that the caller would be put through to language line who would arrange an interpreter immediately.

- A Member questioned the use of signage which would be identifiable to all languages. The Chief Personnel Officer indicated that the onus was on individual departments to consider the impact on the wider community and that the Highways Department had been asked to consider the broader community, possibly through the use of international symbols.

- Clarification was sought on the suggested use of the Council's logo as opposed to a specific brand? The Chief Personnel Officer indicated that attempts had been made to find a brand but it had been discovered that most people link the logo to Council services. Consultation had been undertaken with the Talking with Communities group and they had been very supportive of the use of the Council's logo to identify that services were available in other formats.

Members did not support the view that the Council's logo was sufficient to identify the provision of translation and interpretation services and were disappointed that a specific brand had not been developed. The request for a specific brand was therefore reiterated and a suggestion was made to involve local schools by way of a competition for the design of such a brand.

**Recommended**

Members endorsed the draft Access Strategy and proposed publicity arrangements of the Interpretation and Translation Services subject to a specific brand being developed to identify where these services were available, and that the possibility of involving local primary schools in the design of this brand be explored.

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┌────────────────────────────────────────────────────┐
│              PERFORMANCE PORTFOLIO                  │
│              Report to Portfolio Holder            │
│              22nd February 2008                    │
└────────────────────────────────────────────────────┘
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**HARTLEPOOL**
BOROUGH COUNCIL

**Report of:**      Assistant Chief Executive


**Subject:**      REVIEW OF STRATEGIC RISK REGISTER

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## 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 22nd February 2008.

### 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 19th December 2007, the Council's Corporate Risk Management Group (CRMG) considered the Strategic Risk Register.

2.2    Once agreed by CMT on the 28th January 2008 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 43 strategic risks identified across the authority.  The updated Strategic Risk Register is attached as Appendix 2.

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 | Oct 2006 | Mar 2007 | Sept 2007 | Dec 2007 |
|---|---|---|---|---|
| Red / Red | 6 | 7 | 8 | 9 |
| Red / Amber | 13 | 14 | 17 | 16 |
| Red/Green | 3 | 2 | 3 | 4 |
| Amber / Amber | 10 | 9 | 10 | 11 |
| Amber/Green | 4 | 3 | 2 | 2 |
| Green/Green | 0 | 1 | 1 | 1 |
| **Total** | **36** | **36** | **41** | **43** |

**Red/Red risks**

3.3 The following 9 risks are 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. |
| 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. |

| Risk Ref/Resp. Officer | Risk Description | Comment |
|---|---|---|
| REP5-1.5 Peter Scott | Failure to realise plans for Victoria Harbour regeneration scheme | Close working with site owners and stakeholders is continuing to identify and deal with emerging issues and to finalise Section 106 agreement |
| 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　Two new risks have been added to the Strategic Risk Register and these are detailed below.

| Risk Ref/Resp. Officer | Risk Description | Comment |
|---|---|---|
| ASS5-1.5 Graham Frankland | Loss of Civic Centre as a key building | This is rated Red without controls and Amber with controls. These include: Regular inspection of building with reports to quarterly user group; £3M investment on maintenance works 2006-09; Municipal building equipped to respond as emergency cover |
| POL5-1.10 Adrienne Simcock | Failure to secure Ministerial/DCSF approval for Primary Capital programme | This is rated Red without controls and Green with controls. These include: Principal stakeholders engaged; Programme plan developed; Regular reports to Cabinet and portfolio holder |

**Deleted Risks**

No risks within the Strategic Risk Register have been deleted within this recent review

**Risks with amended risk ratings**

3.5 The main rating change is for risk REP5-1.5 Failure to realise plans for Victoria Harbour regeneration scheme. This has changed from Amber/Amber to Red/Red.

| Risk Ref/Resp. Officer | Risk Description | Comment |
|---|---|---|
| Peter Scott | Failure to realise plans for Victoria Harbour regeneration scheme | Close working with site owners and stakeholders is continuing to identify and deal with emerging issues and to finalise Section 106 agreement |

**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 December 2007
# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **ASS5-1.3** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | PHYSICAL ASSETS | | |

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

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**

▪ 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

<u>**Comments**</u>
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.

<u>**Advanced Comments**</u>
Failure to plan school provision appropriately with declining school numbers could result in being able 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.

Report Run By   CEACPH        08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **POL5-1.1** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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, processess 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 through LSCB

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

- Complete Integrated Working and Information Sharing programme

### 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        08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **POL5-1.10** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | POLITICAL/LEGISLATIVE | | |

**Risk Description  Failure to secure ministerial?DCSF approval for Primary Capital programme**

Resp Officer    ADRIENNE SIMCOCK

Rating Without Control Measure Implementation                    **RED**

Iimpact:    EXTREME
Likelihood:    LIKELY

Amended Rating with Control Measures Implemented              **GREEN**

Impact:    HIGH
Likelihood:    UNLIKELY

**Existing Risk Control Measures**
- Principal stakeholders engaged

- Programme plan developed

- Regular reports to cabinet and portfolio holder

-

-

-

**Planned Risk Control**
- ICT investment to be secured

- Agreement on procurement route to be sought

- Consultation events with all stakeholders

**Comments**
None
**Advanced Comments**
None

3.1 Performance 22.02.08 Review of Strategic Risk Register

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **POL5-1.9** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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 O process completed and recommendations being addressed.

**Planned Risk Control**
- Appointment of External Advisers

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

- Closer links being built to LSC

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

Report Run By   CEACPH                                                    08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **ENV5-1.3** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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 now complete

- Consultant has started 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          08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **FIN5-1.9** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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.
-

### Planned Risk Control
- Preferred contractor now in place and awaiting start date.

-

### Comments
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

### Advanced Comments
None

Report Run By   CEACPH          08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **ICT5-1.1** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | INFORMATION & TECHNOLOGY | | |

**Risk Description**  **Experiencing failure or lack of access to Criticial 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 availabity.

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

### 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          08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | REP5-1.7 |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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 prog 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          08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **PER5-1.2** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | PERSONNEL | | |

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

Resp Officer  DENIS HAMPSON

Rating Without Control Measure Implementation  **RED**

limpact: 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

-

-

**Planned Risk Control**
- Pandemic Flu plan being progressed

- Departmental Business Continuity planning in progress

- Review of Council's MI Response Plan in progress

<u>**Comments**</u>
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.

<u>**Advanced Comments**</u>
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  08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **PER5-1.3** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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**
- Test of plans (tabletop exercise) being developed

- HM Govn require plans tested by end Feb 08

- 

<u>**Comments**</u>
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!

<u>**Advanced Comments**</u>
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 responsibilites. This could result in the Council being unable to deliver their critical services and impact on the community.

Report Run By   CEACPH                                                          08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **FIN5-1.2** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | FINANCIAL | | |

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

Resp Officer          Ewen Weir

Rating Without Control Measure Implementation                                   **RED**

limpact:        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 availabilty 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                                                   08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **ASS5-1.1** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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 2008/9 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
None

Report Run By   CEACPH                                         08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **ASS5-1.4** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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**

Impact:    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. Capital Strategy & asset management plan being reviewed for 2008-11

▪ 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

Report Run By   CEACPH        08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **ASS5-1.5** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | PHYSICAL ASSETS | | |

**Risk Description  Loss of Civic Centre as key building.**

Resp Officer        GRAHAM FRANKLAND

Rating Without Control Measure Implementation                    **RED**

Impact:    HIGH
Likelihood:    LIKELY

Amended Rating with Control Measures Implemented                **AMBER**

Impact:    HIGH
Likelihood:    POSSIBLE

### Existing Risk Control Measures

- Regular inspection and maintenance of cooling towers /H&V Plant/electric systems.

- Quarterly meetings of building user group.

- Building maintenance Officer on site addressing issues quickly

- Review as part of quarterly performance management meetings.

- £3m investment on maintenance works 2006 - 2009

- Equipped Municipal Buildings for use as alternative location as part of business continuity planning (staff/ICT)

### Planned Risk Control

- Continued maintenance investment

- Work with business continuity group in service restoration (buildings)

- Consider new generator to power key areas of the Civic Centre.

### Comments
Failure of plant equipment. Health & safety issues. Failure to provide access/services.
### Advanced Comments
None

Report Run By   CEACPH                                         08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **ENV5-1.4** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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 hpool

### Advanced Comments
None

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **FIN5-1.3** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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 - additional resources agreed by Portfolio Holder
- 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 procurment 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          08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | | |
|---|---|---|---|---|
| **Department** | STRATEGIC | | **Risk Ref** | **FIN5-1.8** |
| **Section** | STRATEGIC | | **Review** | 31/03/2008 |
| **Category** | FINANCIAL | | | |

**Risk Description   Financial Viability and capacity of Building Consultancy services**

Resp Officer      GRAHAM FRANKLAND

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
- 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 via frameworks  •Seek additional resources for legionella & management

### Comments
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.

### Advanced Comments
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                                              08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **POL5-1.5** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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

### <u>Comments</u>
None
### <u>Advanced Comments</u>
None

Report Run By   CEACPH                                                              08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **REP5-1.8** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | REPUTATION | | |

**Risk Description** **Loss of O License**

Resp Officer      JAYNE 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

▪ 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

▪

### 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      08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **ICT5-1.2** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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

- Cabinet report & funding agreement October 2007

- Regular meetings of Workstream leads

- 

**Planned Risk Control**
- Carrying out Gateway Reviews throughout project

**Comments**
None
**Advanced Comments**
None

Report Run By  CEACPH  08 February 2008

3.1 Performance 22.02.08 Review of Strategic Risk Register

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **FIN5-1.1** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | FINANCIAL | | |

**Risk Description** **Future Equal pay claims**

Resp Officer        JOANNE MACHERS

Rating Without Control Measure Implementation        **RED**

Iimpact:        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

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **FIN5-1.11** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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                                                        08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **PER5-1.1** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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

### <u>Comments</u>
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.

### <u>Advanced Comments</u>
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                                        08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

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|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **FIN5-1.10** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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 remainng 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                                                    08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **CPS5-1.2** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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.

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### Planned Risk Control
- comprehensive strategic framework for all partnerships.

-

### Comments
In some partnerships the council takes as funder takes the role of 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.

# Hartlepool Borough Council
## Detailed Risk Report

| | | | | |
|---|---|---|---|---|
| **Department** | STRATEGIC | | **Risk Ref** | **FIN5-1.4** |
| **Section** | STRATEGIC | | **Review** | 31/03/2008 |
| **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          08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **FIN5-1.5** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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                                                  08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **FIN5-1.6** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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                                              08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **REP5-1.1** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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                                           08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **CPS5-1.1** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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**

Impact:    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 clear
▪ Joint management meetings on monthly basis to resolve issues quickly

▪

▪

### Planned Risk Control

▪ Development of a clear 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 partnerhsip. Not meeting the timescales could result in a poor CPA rating and social care performance rating.

### Advanced Comments
None

Report Run By   CEACPH

08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **FIN5-1.7** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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 dients with social care needs rest with the Council, & for medical/health care needs with the NHS.

**Advanced Comments**
Primary responsibility for dients with social care needs rest with the Council, and for medical/health care needs with the NHS.  However dients 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                                                    08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **POL5-1.7** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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                                                            08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **POL5-1.8** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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**

limpact:       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       08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **POS5-1.1** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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

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

**Advanced Comments**
None

Report Run By   CEACPH

08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **REP5-1.3** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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

-

- 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                                    08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **REP5-1.4** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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.

# Hartlepool Borough Council
## Detailed Risk Report

| | | | | |
|---|---|---|---|---|
| **Department** | STRATEGIC | | **Risk Ref** | **ENV5-1.1** |
| **Section** | STRATEGIC | | **Review** | 31/03/2008 |
| **Category** | ENVIRONMENTAL | | | |

**Risk Description**   **Controversy relating to contentious decisions and issues**

Resp Officer        PETER SCOTT

Rating Without Control Measure Implementation                        **AMBER**

<div align="right">

Iimpact:   HIGH
Likelihood:   POSSIBLE
</div>

Amended Rating with Control Measures Implemented                     **AMBER**

<div align="right">

Impact:   HIGH
Likelihood:   POSSIBLE
</div>

## 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                                              08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **ENV5-1.2** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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&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.

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **POL5-1.6** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | POLITICAL/LEGISLATIVE | | |

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

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    08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | | |
|---|---|---|---|---|
| **Department** | STRATEGIC | | **Risk Ref** | **POS5-1.2** |
| **Section** | STRATEGIC | | **Review** | 31/03/2008 |
| **Category** | POSITIVE | | | |

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

Resp Officer        PETER SCOTT

Rating Without Control Measure Implementation                          **AMBER**

|  | |
|---|---|
| limpact: | 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 ind 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                                          08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **REP5-1.5** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **Category** | REPUTATION | | |

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

Resp Officer        PETER SCOTT

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

- 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. S106 Agreement, design guidance.
- Close liaison with regional & sub-regional bodies including potential public funders
- 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

- Strengthen the planning framework
- Finalising S106 agreement including emerging needs
- 

### Comments

The Victoria Harbour scheme is the major regeneration project for the town. 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 and wider regeneration benefits. The success of the scheme will depend on its economics, market interest and associated legal agreements.

Report Run By   CEACPH                                              08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **SOC5-1.1** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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**

            Iimpact:    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 in the 2008-11 bidding round

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

- Onogoing HMR porgramme 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, espec larger family housng to rent & low level of land available for new housing supply plus budget restricitions (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 restricitions within the authority. In addition the criteria adopted by the Housing Corporation to reduce grant rates may adversely affect the successful approval of local schemes.

Report Run By   CEACPH          08 February 2008

# Hartlepool Borough Council
## Detailed Risk Report

| | | | |
|---|---|---|---|
| **Department** | STRATEGIC | **Risk Ref** | **POL5-1.2** |
| **Section** | STRATEGIC | **Review** | 31/03/2008 |
| **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          8 February 2008

3.1 Performance 22.02.08 Review of Strategic Risk Register

<div style="border: 2px solid black;">

# PERFORMANCE PORTFOLIO
Report to Portfolio Holder
22ⁿᵈ February 2008

</div>

**Report of:**     Assistant Chief Executive

**Subject:**     CORPORATE COMPLAINTS – October to December 2007

---

## SUMMARY

### 1.    PURPOSE OF REPORT

To report to the Portfolio Holder on corporate complaints performance for the third 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 third 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 22ⁿᵈ February 2008

### 6.    DECISION(S) REQUIRED

That the report be noted.

**Report of:**          Assistant Chief Executive


**Subject:**            CORPORATE COMPLAINTS – October to December 2007
_____


**1.    PURPOSE OF REPORT**

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


**2.    FORMAL COMPLAINTS INFORMATION – October - December 2008**

2.1    In the third quarter of 2007/08, 12 corporate complaints were recorded by
       departments and 7 social care complaints, a total of 19 formal complaints. The
       Neighbourhood Services Department had 7 complaints, the Children's Services
       Department dealt with 6 social care complaints, the Chief Executive's Department
       dealt with 3 complaints, the Adult and Community Services Department dealt with 1
       social care complaint and the Regeneration and Planning Services Department
       dealt with 2 complaints. This compares with 21 formal complaints recorded in the
       first quarter of the year and 14 in the second quarter. (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 with an
       additional 10 days for complex complaints; 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 third
       quarter of 2007/08, the deadline was met in 74 percent of cases, which is lower
       than the 86 percent reported on within deadlines in the first and second quarters of
       the year.  The reasons for missing deadlines vary and include the complexity of
       complaints which require extensive investigation; difficulties in setting up interviews
       with complainants, absence of key officers and unavoidable delay over the
       Christmas holiday period. All departments are being reminded about the
       importance of meeting the 15 day deadline where ever possible.

### 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 or not, and hence the complaint is upheld fully, in part, or not at all.  In the third quarter of 2007/08, 32 percent of complaints (6 complaints) were fully upheld and 10 percent (2 complaints) were partly upheld.  This is a slight decrease from the figure for the second quarter of 2007/08 of 43 percent (6 complaints) fully upheld and 21 percent (3 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.  The general aim of a remedy is that, as far as possible, complainants should be put in the position they would have been in if things had not gone wrong.  However, a direct remedy of this sort is not always possible.  In the third quarter of 2007/08, where mistakes have been made, letters of apology have been written; explanations provided as to how problems arose and of the actions taken to prevent the problems 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 third quarter of 2007/08, wherever possible, departments have taken action.  For example, agreement has been reached with a provider organisation to review procedures and practises; staff training issues have been identified; and internal procedures have been amended to avoid recurrence of a problem.  In the case of a software problem in the Finance Division, a "bug" in the software has been identified and new software installed.  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.

Corporate Complaints – July to September 2007 - Report to the Performance Management Portfolio Holder, 16th November 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 – October 1st – December 31st 2007 (Quarter 3)

| | 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 3 | Qtr 1 | Qtr 2 | Qtr 3 | Qtr 1 | Qtr 2 | Qtr 3 | Qtr 1 | Qtr 2 | Qtr 3 | Qtr 1 | Qtr 2 | Qtr 3 | Qtr 1 | Qtr 2 | Qtr 3 |
| **CHIEF EXECUTIVE'S** | | | | | | | | | | | | | | | | | | |
| Corporate Strategy | 1 | 0 | **0** | 1 | - | **-** | - | - | **-** | 1 | - | **-** | - | - | **-** | - | - | **-** |
| Finance | 5 | 3 | **3** | 4 | 3 | **3** | 1 | - | **-** | 2 | 1 | **-** | - | 1 | **-** | 3 | 1 | **3** |
| Human Resources | 1 | 1 | **0** | 1 | 1 | **-** | - | - | **-** | - | - | **-** | 1 | - | **-** | - | 1 | - |
| Legal | 1 | - | **0** | 1 | - | **-** | - | - | **-** | - | | **-** | 1 | - | **-** | - | - | - |
| **TOTAL FOR CHIEF EXEC'S** | 8 | 4 | **3** | 7 | 4 | **3** | 1 | - | **-** | 3 | 1 | **-** | 2 | 1 | **-** | 3 | 2 | **3** |
| | | | | | | | | | | | | | | | | | | |
| **ADULT & COMMUNITY SERVICES** | | | | | | | | | | | | | | | | | | |
| Corporate complaints | 5 | 1 | **0** | 3 | 1 | **-** | 2 | - | **-** | 1 | - | **-** | 2 | - | **-** | 2 | 1 | - |
| Social Care complaints | 1 | 5 | **1** | 1 | 4 | **1** | - | 1 | **-** | - | 2 | **-** | - | 2 | **1** | 1 | 1 | - |
| **TOTAL FOR ADULT & COMM SERVICES** | 6 | 6 | **1** | 4 | 5 | **1** | 2 | 1 | **-** | 1 | 2 | **-** | 2 | 2 | **1** | 3 | 2 | - |
| | | | | | | | | | | | | | | | | | | |

## APPENDIX 1 – COMPLAINTS MONITORING – October 1ˢᵗ – December 31st 2007, continued

| | 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 3** | Q1 | Q2 | **Qtr 3** | Q1 | Q2 | **Qtr 3** | Qtr 1 | Qtr 2 | **Qtr 3** | Q1 | Q2 | **Qtr 3** | Q1 | Q2 | **Qtr 3** |
| **CHILDREN'S SERVICES** | | | | | | | | | | | | | | | | | | |
| Corporate complaints | 1 | 0 | **0** | 1 | - | **-** | - | - | **-** | 1 | - | **-** | - | - | | - | - | **-** |
| Social Care complaints | 0 | 2 | **6** | - | 2 | **3** | - | - | **3** | - | 1 | **6** | - | - | | - | 1 | **-** |
| **TOTAL FOR CHILDREN'S SERVICES** | 1 | 2 | **6** | 1 | 2 | **3** | - | - | **3** | 1 | 1 | **6** | - | - | **-** | - | 1 | **-** |
| | | | | | | | | | | | | | | | | | | |
| **REGENERATION & PLANNING SERVICES** | 0 | 0 | **2** | - | - | **-** | - | - | **2** | - | - | **2** | - | - | **-** | - | - | **-** |
| | | | | | | | | | | | | | | | | | | |
| **NEIGHBOURHOOD SERVICES** | 6 | 2 | **7** | 6 | 1 | **7** | - | 1 | **-** | 6 | 1 | **3** | - | - | **1** | - | 1 | **3** |
| | | | | | | | | | | | | | | | | | | |
| **TOTAL NUMBER OF COMPLAINTS** | 21 | 14 | **19** | 18 | 12 | **14** | 3 | 2 | **5** | 11 | 5 | **11** | 4 | 3 | **2** | 6 | 6 | **6** |
| | | | | 86% | 86% | **74%** | 14% | 14% | **26%** | 52% | 36% | **58%** | 19% | 21% | **10%** | 29% | 43% | **32%** |

HARTLEPOOL BOROUGH COUNCIL

**PERFORMANCE MANAGEMENT PORTFOLIO**
Report To Portfolio Holder
22 February 2008

**Report of:**        Chief Personnel Officer


**Subject:**        Review of Modern Apprenticeships

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SUMMARY

1.    **PURPOSE OF REPORT**

To inform the Portfolio Holder of the recently published document "World-class Apprenticeships: Unlocking Talent, Building Skills for All" published by the Department for Children, Schools and Families (DCSF) which focuses on the Modern Apprenticeship scheme.


2.    **SUMMARY OF CONTENTS**

The report provides information on the plans to improve the national Modern Apprenticeship scheme.

3.    **RELEVANCE TO PORTFOLIO HOLDER**

Portfolio Holder is responsible for Workforce Development issues and the corporate Modern Apprenticeship scheme is coordinated by the Workforce Development Team.

4.    **TYPE OF DECISION**

Non Key

5.    **DECISION MAKING ROUTE**

Portfolio Holder only.

6.    **DECISION(S) REQUIRED**

Note the report.

**Report of:**          Chief Personnel Officer


**Subject:**          Review of Modern Apprenticeships

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### 1.      PURPOSE OF REPORT

1.1      To inform the Portfolio Holder of the recently published document "World-class Apprenticeships: Unlocking Talent, Building Skills for All" published by the Department for Children, Schools and Families (DCSF) which focuses on the Modern Apprenticeship scheme.


### 2.      BACKGROUND

2.1      Last November the Government announced substantial increases in funding to expand the Apprenticeship programme over the next three years for both young people and adults.

2.2      The Apprenticeships Review outlines the measures Government will take to ensure apprenticeships become a mainstream option for young people, as well as plans to boost apprenticeships for older learners.

2.3      The plan sets out objectives to make apprenticeships a mainstream option for 16-18 year olds, alongside other education and training routes, and to ensure that an apprenticeship place is available for all qualified young people by 2013, with significant growth in apprenticeships for older learners as well.

### 3.      KEY POINTS TO NOTE

3.1      **Appendix 1** is the executive summary from the report and provides information on the objectives and targets, plans to strengthen the apprenticeship scheme, plans for a new delivery system, plans to boost employer supply, challenging the current culture on the value of apprenticeship and addressing inequality.


3.2      At this point, this is for information only until further details are available.  A further report will be presented to the Portfolio Holder setting out the Council's response to the more detailed Scheme and how it may affect our programmes and our Workforce Development Strategy.

## 4   RECOMMENDATION

4.1 That the Portfolio Member notes the report.


Contact Officer:          Lucy Armstrong
                          Workforce Development Manager
                          01429 523476
                          lucy.armstrong@hartlepool.gov.uk

# World-class Apprenticeships: Unlocking Talent, Building Skills for All.

## The Government's strategy for the future of Apprenticeships in England

department for
**children, schools and families**

# Executive summary

## Context

- The Apprenticeship[1] programme has undergone a renaissance in the past decade, with the numbers of Apprentices in learning having risen dramatically since 1997, and completions at unprecedented levels. The country's leading companies – including Rolls Royce, British Telecom, Centrica and Tesco – today offer sizeable Apprenticeship programmes.

- The Government has introduced a requirement for all young people to be in education or training until the age of 18, by 2015. It will be extremely difficult to achieve this without significant expansion of the Apprenticeship programme.

- There is untapped and growing demand for Apprenticeships. England could and should have a greatly expanded Apprenticeship programme.

## Objectives and indicative targets

- With the new participation age in mind, the Government has introduced an entitlement to an Apprenticeship place for each suitably qualified young person from 2013.

- We want Apprenticeships to be a mainstream option for 16- to 18-year-olds, and will ensure that by 2013 every suitably qualified young person who wants to take up an Apprenticeship place will be able to do so. To deliver this entitlement, we have already announced that we will increase the number of 16–18 Apprentices significantly by 2013. This will play a major part in achieving our objective of raising the education and training participation age, first to 17 and then to 18.

- As we grow a high-quality programme on this scale, taking up an Apprenticeship may become attractive to even more young people. We will maintain our commitment to meeting the demand from suitably qualified young people, so that if more come forward we will work with employers to expand the programme further. On this basis we anticipate that around one in five of all young people will be undertaking an Apprenticeship within the next decade, so that an Apprenticeship place will be a mainstream post-16 option.

- Our starting point for this review has been Lord Leitch's aspirations for 400,000 Apprentices in England by 2020,[2] and published budgets reflect this anticipated trajectory.[3] This would mean over 250,000 starts and 190,000 successful completions. Given the Government's strong support for the Apprenticeship programme, if employer demand surpasses this, the Government's priority will be to find the resources to meet that demand within the budgets available.

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[1] Although commentators sometimes refer to 'Apprenticeships' in a broad context, in this document, unless otherwise indicated, 'Apprenticeship' is defined as a programme that the Government will fund against a Sector Skills Council-specified framework.

[2] DIUS (2007) *World Class Skills: Implementing the Leitch Review of Skills in England*, London: DIUS (the Leitch implementation plan). (This figure refers to adults and young people, counted as 'average in learning'. Counting methods for Apprenticeships are detailed in paragraphs 2.5 and 2.6.)

[3] LSC grant letter 2008/09, *Priorities for Success 3*.

- To achieve our aims, and in line with the objectives laid down by Lord Leitch to increase the skills of those who have already completed their compulsory education, we will also be aiming for significant growth in Apprenticeships for those aged 25 or over.[4] We need to respond to the high employer demand for places in this category, and we need to assist adults who are seeking the skills to make a step change or transition in their career.

- Also in line with the increasing demand for Level 3 skill anticipated by Lord Leitch, we anticipate that there will be increasing employer demand for Advanced Apprenticeship (Level 3), and we will cater for that to meet expected need over the next decade.

## Strengthening Apprenticeships

- **We will define the Apprenticeship experience**, improving the 'blueprint' to incorporate expectations of mentoring, progression, entry requirements and time off-workstation to train. We will remove the ambiguity in the legal status of Apprentices.

- **National completion certificates** will be issued to Apprentices at the end of the programme, with a consistent national brand and format. These will provide future employers with clearly recognisable statements of the Apprentice's competency and training. The certificates will carry the appropriate Sector Skills Council branding to communicate the sectoral relevance of each Apprenticeship.

- **We will increase the quality of the Apprenticeship experience,** with all Apprenticeships being robustly quality-assured against the revised blueprint to create a consistently high standard across the programme. The split in Apprenticeships provision between Level 2 and Level 3 will be adjusted to suit the increased employer demand for Advanced Apprenticeships that we anticipate.

- **We will integrate Apprenticeships with the rest of learning:** Apprenticeship component qualifications will be included in the Qualifications and Credit Framework (QCF), enabling easier movement between the new 14–19 Diplomas and Apprenticeships, and providing the supporting advice to make young people fully aware of their options.

- **We will protect the Apprenticeship brand**, reforming so-called Programme-led Apprenticeships to strictly specify the acceptable minimum level of tie-in with employers. These conditions will need to be fulfilled in order to allow any marketing in association with the Apprenticeship brand. We will maintain the existing practice of only counting as Apprentices those who have had an employed status.

## A new delivery system

- **We will introduce a separately branded, customer-facing National Apprenticeship Service (NAS)** with the senior leadership and resources to have end-to-end accountability for the Apprenticeship programme.

[4] Lord Leitch (2006) *Prosperity for all in the global economy – worldclass skills,* London: HM Treasury (Lord Leitch's report).

- **We will create a dedicated field force** to support employers and Apprentices through an Apprenticeship, from initial interest to completion and progression. This field force will also be available to support the providers of information, advice and guidance where appropriate.

- **There will be significant staffing at regional and sub-regional level** to manage relationships with other stakeholders in the system, including working in partnership with local authorities as they fulfil their obligations to young people.

- **A director of the Apprenticeship programme** will be appointed, bringing – for the first time – leadership at the most senior level that is solely focused on the delivery of Apprenticeships.

### Boosting employer supply

- **There will be greater range and flexibility for Apprenticeships:** a more flexible and responsive model will be developed for Apprenticeship frameworks.[5] Employers will be allowed to submit their own frameworks for funding, by drawing from a Sector Skills Council 'bank' of qualifications.

- **All Apprentice experience will be recognised as 'an Apprenticeship':** Apprenticeship training that does not rely on public funds will still be recorded and recognised.

- **Direct incentives payments will be introduced** (in addition to formal training costs) for some businesses to encourage growth in Apprenticeship places. Similar incentives will be introduced to encourage large companies to 'over-train' for their supply chain. Pilots will be set up to increase the age ceilings for fully-funded Apprenticeships for sectors with barriers to recruiting under-18s, and there will be statutory backing for an Apprenticeship Agreement to clarify employer and Apprentice expectations.

- **We will be responsive to demand:** there will be additional funding for Apprenticeships for those aged 25 or over,[6] flexibility in adult learning budgets, an Apprenticeship 'credit' delivered via skills accounts to improve transparency for employers and learners, funds to cater for unanticipated demand.

- **There will be support for more employer 'ownership' of Apprenticeships.** More employer-led organisations (such as group training associations[7] and others) will deliver Apprenticeships, and there will be more support for those organisations that already exist.

- **Public sector targets and duties will be introduced.** We are committed to addressing the inconsistencies in the public sector's usage of Apprenticeships. The

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[5] An Apprenticeship framework outlines a programme of learning against which the Government will provide Apprenticeship funding.
[6] LSC grant letter 2008/09.
[7] Typically, not-for-profit companies, which may charge a membership fee to small and medium-sized businesses in a sector, that design training programmes delivered in the training associations' dedicated plant or in a range of 'host employers'. Today, these tend to predominate in the traditional manufacturing, construction and engineering sectors. Proposals to increase the numbers of these and similar employer-led arrangements are outlined in paragraph 5.25.

Secretary of State for Innovation, Universities and Skills will work with Cabinet colleagues to formulate targets for each component of the public sector to reflect its particular circumstances.

- **We will promote Apprenticeships in strategic projects:** as part of this public sector drive, the Government will complete a systematic investigation of the potential to provide Apprenticeship places through large strategic government projects such as the Olympic and Paralympic Games, Crossrail, the further education capital projects programme and the Building Schools for the Future programme.

### Culture change around the value of Apprenticeships

- **Dedicated information channels will be set up for Apprenticeships.** Transparent information on opportunities will be available via a national matching service, and regional field forces will support schools and other services in the provision of specialist information on Apprenticeships to young people and adults. The 'taster' work experience opportunities available for key stage 4 pupils will be increased.

- **Investment will raise the profile of the Apprenticeship programme.** An annual calendar of high-profile events will celebrate the achievements of Apprentices.

- **Clear progression routes to higher education will be built.** The current work of the Learning and Skills Council (LSC) will be extended to mapping all Apprenticeships frameworks to Universities and Colleges Admissions Service (UCAS) tariff points.

### Addressing inequality

- **Positive action will be taken** for under represented learners, and increased funding will create places for those learners.

- **Pilots will be used to drive a 'critical mass'** of under represented learners at certain sites, to encourage more applications from them.

- **'Super-mentors' will be appointed** to support under represented Apprentices through their experience.

- **Contractual wage regulations set by the LSC will be fully enforced** pending the results of the investigation of Apprenticeship wages by the Low Pay Commission.

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## PERFORMANCE PORTFOLIO

### Report to Portfolio Holder
### 22 February 2008

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**Report of:**     Chief Personnel Officer

**Subject:**       EMPLOYEE ATTENDANCE 2007/8 –
3rd QUARTER

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## SUMMARY

### 1.    PURPOSE OF REPORT

To update the Portfolio Holder on performance up to the third 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 third 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 –
                3<sup>rd</sup> QUARTER

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### 1.0     PURPOSE OF REPORT

1.1     To update the Portfolio Holder on performance up to the third 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 3<sup>rd</sup> 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 3<sup>rd</sup> quarter shows a **below target figure** of 10.82 days per wte per employee per annum as illustrated in Figure 1 below.

This shows a steady improvement from the last quarter.  The Council continues to focus on sickness absence management to enable the Council to achieve, and improve on, its target of 11.05 wte average sickness per employee for the 2007/8 year.
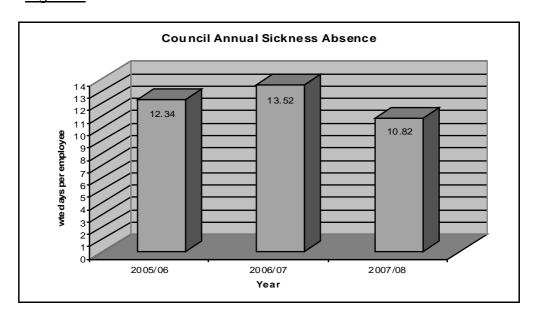
Figure 1

3.2     Figure 2 below illustrates the actual performance for each Department and Schools as at 31 December 2007. This can be compared to performance over the last two years. The final column shows the 2007/8 annual target set by each Department and Schools.

The figure identifies that there is an overall downward trend in sickness absence rates across all Departments and Schools as compared with the last two years
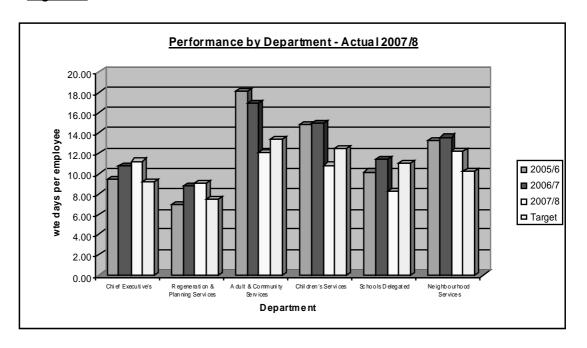
<u>Figure 2</u>



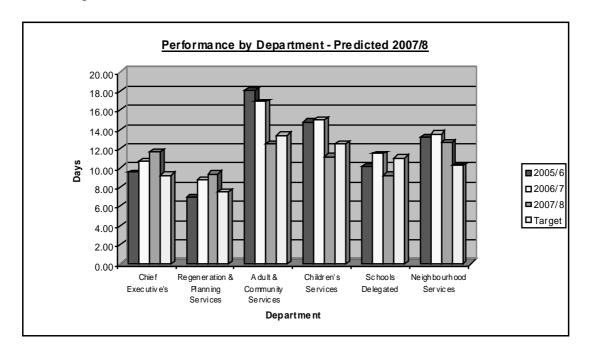**Performance by Department - Actual 2007/8**

3.3     Figure 3 below identifies the end of year prediction figures for each Department and Schools as at 31 December 2007 and forecasts the performance as at 31 March 2008. This can be compared to the actual performance over the last two years. The final column shows the 2007/8 annual target set by each Department and Schools.

These figures illustrate an improvement for the larger Departments and Schools which is impacting positively on the overall Council sickness rates. However, we also need to focus on the steady increases in the rates over the last three years of the Chief Executive and Regeneration and Planning Departments. We can take into account though that the actual figures in the 3rd quarter do show a downturn in the Chief Executive Department figures illustrating that current actions may be starting to impact on the rates.

Figure 3



**Performance by Department - Predicted 2007/8**

3.4 Table 1 below illustrates the actual **1st quarter** (April to June), **2nd quarter** (July to September) and **3rd quarter** (October and December) average sickness absence days per wte employee for the whole Council and a comparison of performance at the 1st, 2nd and 3rd quarters in the last 2 years. The results in 2007/8 continue to show an encouraging decline in sickness compared to the third quarters of the previous years.

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 |
| 3rd Quarter | 13.04 | 13.31 | 10.41 |

## 4.0 ACTIONS UNDERTAKEN UP TO 3rd QUARTER OF 2007/8

4.1 A number of actions were undertaken during the first 9 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 Human Resources
- 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
- A focus by Human Resources on small group training for line managers and supervisors in priority areas relating to return to work interviews
- Preparation work for a strategic focus on stress management including a review of Employee Support Services

## 5.0    ACTIONS PLANNED FOR 2008

5.1    A number of actions are planned for 2008 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.  Departments are reviewing communication methods to ensure sickness absence management maintains a high profile
- A closer partnership with trade unions to work together to manage sickness absence in the Council (following job evaluation)
- 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
- Plans are being put in place to combat the effects of job evaluation and the possible impact on sickness levels across the Council.

**6.0    RECOMMENDATIONS**

6.1    That employee absence up to and including the third quarter of 2007/8 and actions taken or planned, be noted.