

FINANCE AND EFFICIENCY PORTFOLIO DECISION SCHEDULE



Tuesday 13th May 2008

at 10.00 am

**in Committee Room A,
Civic Centre, Hartlepool**

Councillor Payne, Cabinet Member responsible for Finance and Efficiency will consider the following items.

1. KEY DECISIONS

No items

2. OTHER ITEMS REQUIRING DECISION

- 2.1 Chief Executive's Departmental Plan 2008/09 - *Chief Financial Officer, Chief Solicitor and Head of Procurement and Property Services*
- 2.2 Proposed Licence, Drug Rehabilitation Centre, Whitby Street - *Head of Procurement and Property Services*
- 2.3 Sale Of Freehold Reversion, 39 Wynyard Road, Hartlepool - *Head of Procurement and Property Services*
- 2.4 Selling To Hartlepool Borough Council Guide - *Head of Procurement and Property Services*
- 2.5 Hartlepool Maritime Festival 2008 – Request For Waiver Of Contractual Procedure Rules - *Director of Adult and Community Services*

3. ITEMS FOR INFORMATION

No items

4. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

No items

FINANCE AND EFFICIENCY PORTFOLIO

Report to Portfolio Holder

13th May 2008



Report of: Chief Financial Officer, Chief Solicitor and Head of Procurement and Property Services

Subject: CHIEF EXECUTIVE'S DEPARTMENTAL PLAN 2008/09

SUMMARY

1. PURPOSE OF REPORT

To report to Portfolio Holder the Chief Executives Departmental Plan containing the key outcomes and actions for 2008/09.

2. SUMMARY OF CONTENTS

The Chief Executives Departmental Plan 2008/09 is attached as Appendix A, and sets out the key outcomes and actions within an Action Plan that 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 outcomes as identified in the 2008/09 Corporate Plan which will be published in June 2008.

The Plan includes proposals from all four divisions within the Chief Executives Department, as well as procurement issues that fall within the remit of the Procurement and Property Services Division within the Neighbourhood Services Department. The plan will also be considered by Performance Portfolio Holder at the meeting on 16 May 2008.

This document will be used as the basis for the quarterly monitoring reports to the Portfolio Holder.

3. RELEVANCE TO PORTFOLIO HOLDER

The Portfolio Member has responsibility for performance management issues in relation to finance, legal services and procurement.

4. TYPE OF DECISION

Non-key

5. DECISION MAKING ROUTE

Portfolio meeting 13 May 2008.

6. DECISION(S) REQUIRED

Portfolio Holder is asked to approve the plan for distribution.

Report of: Chief Financial Officer, Chief Solicitor and Head of Procurement and Property Services

Subject: CHIEF EXECUTIVE'S DEPARTMENTAL PLAN 2008/09

PURPOSE OF REPORT

1. To report to Portfolio Holder the Chief Executive's Departmental Plan containing the key outcomes and actions for 2008/09.

BACKGROUND

2. Each year the Chief Executive's Department produces a Departmental Plan, which includes an action plan that details the key outcomes and actions that the department will deliver in the coming year. The plan also describes how the department will contribute to the Organisational Development outcomes that are being proposed for inclusion in the 2008/09 Corporate Plan.
3. The plan provides a framework for managing the competing priorities, communicating the purpose and challenges facing the department and monitoring progress against overall Council aims.
4. Each Division will also produce 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 Executive's Departmental Plan. Divisional Chief Officers will have the lead responsibility for managing performance of issues and tasks identified in their divisional plans. Where appropriate, issues can be escalated for consideration by CEMT and the relevant Portfolio Holder.
5. The departmental plan will be subject to quarterly monitoring throughout 2008/9 by both the Finance and Efficiency and Performance Portfolio Holders.

CHIEF EXECUTIVE'S DEPARTMENTAL PLAN 2008/09

6. The Chief Executive's Departmental Plan 2008/09 is attached as Appendix A and includes proposals from all four divisions within the Chief Executive's Department, as well as procurement issues that fall within the remit of the Procurement and Property Services Division within the Neighbourhood Services Department. The plan will also be considered by Performance Management Portfolio Holder at the meeting on 16 May 2008.

7. This document will be used as the basis for the quarterly monitoring reports to the Portfolio Holder

PERFORMANCE INFORMATION

8. The action plan includes a number of Performance Indicators that will be used to measure the departments' progress throughout 2008/09. The information is currently being collected as part of the Councils' Corporate Performance Indicator collection process, and not all of it is available at this time. It is proposed to report more detailed Performance Indicator information in the first quarter monitoring report in August.

RECOMMENDATIONS

9. Portfolio Holder is asked to approve the plan for distribution.



HARTLEPOOL
BOROUGH COUNCIL

Chief Executives Department

Departmental Plan 2008/09 – 2010/11

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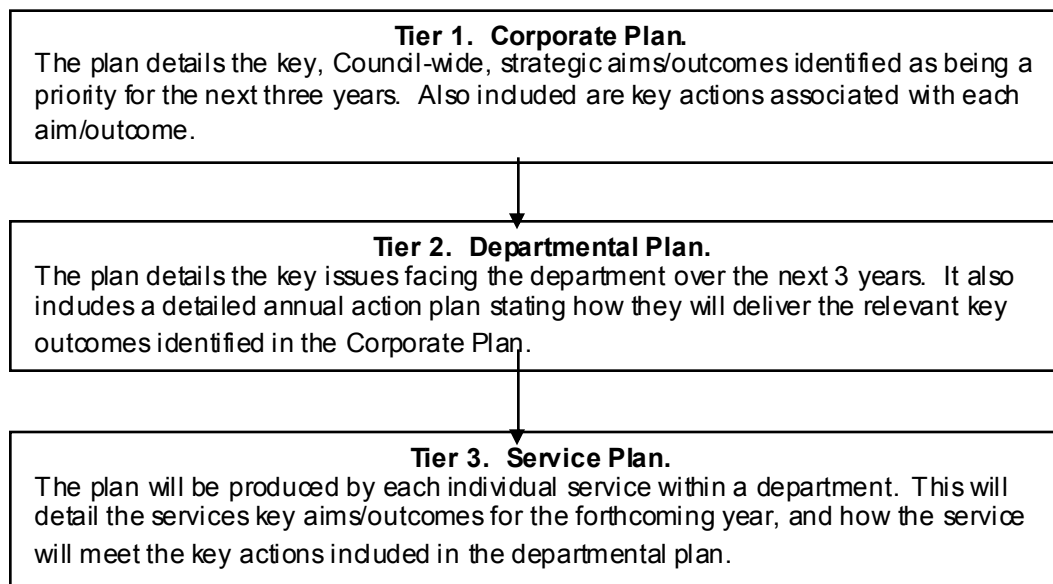
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Introduction

This document is the Chief Executive's Departmental Plan for 2008/09-2010/11 and forms part of the Council's overall Service Planning arrangements. The plan details the key priorities and issues facing the department over the next three years, and includes a detailed action plan for the next 12 months. This plan will be reviewed on an annual basis, which will allow for any emerging priorities to be included.

The plan details how the Department will meet the Council's objectives as stated in the Corporate Plan, in addition to identifying any key objectives that the department wishes to focus on that are not contained in the Corporate Plan.

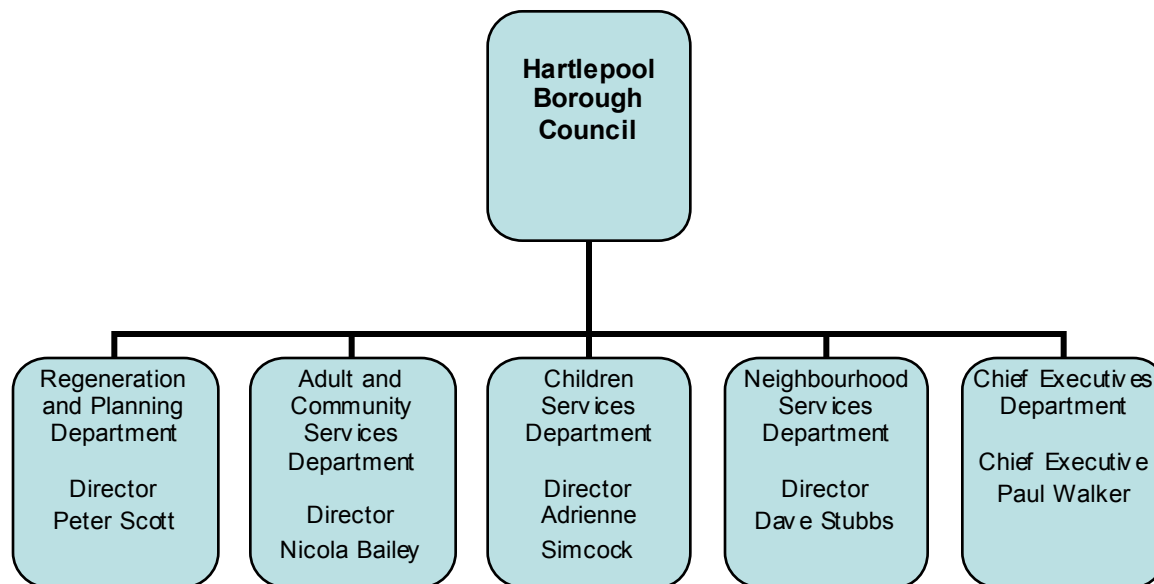
This plan should be looked at in conjunction with both the Council's Corporate Plan, and the individual divisional plans, that together form part of the Council's overall Service Planning Arrangements. Figure 1, below, demonstrates how the plans are linked: -



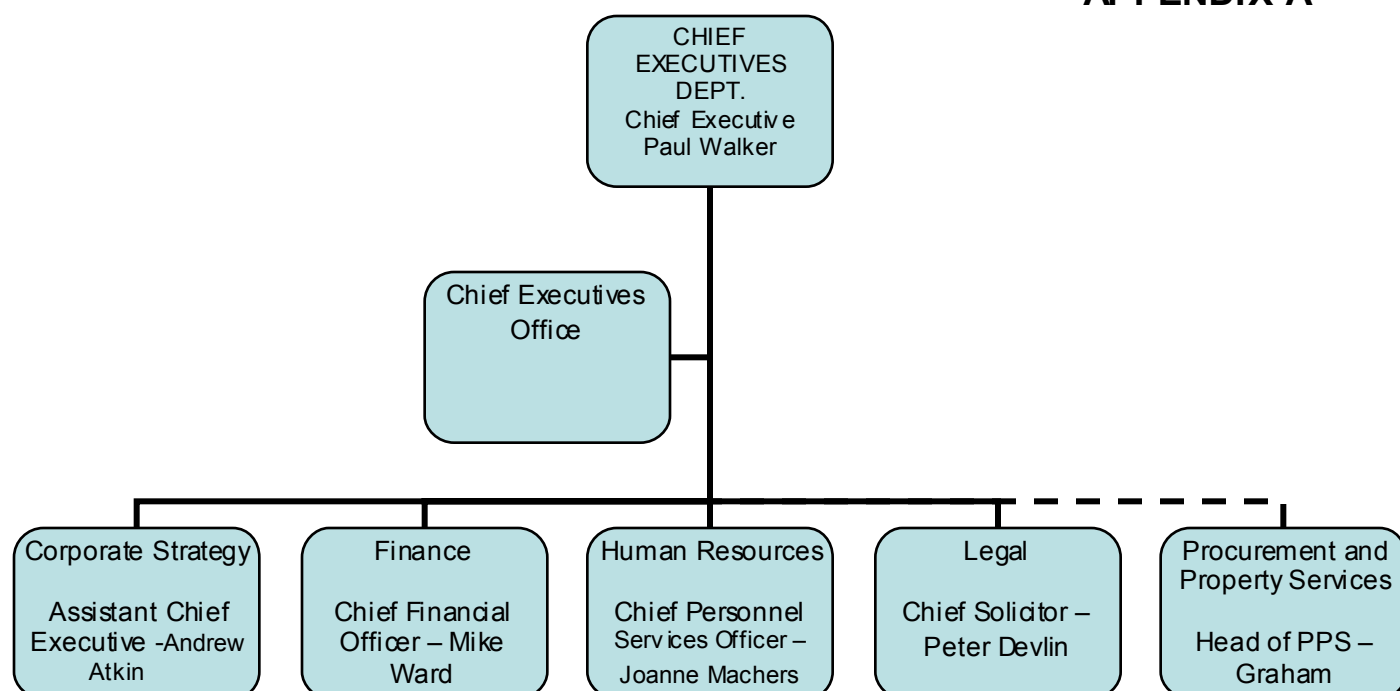
This approach ensures that any aim/outcome that appears in the Corporate Plan can be traced through to specific actions in the service plan, and vice versa. It allows the employees delivering services to explicitly see how their actions contribute to the Council's overall aim.

Departmental Structure

The Chief Executives Department is one of five with the authority, headed by the Chief Executive. The Corporate Management Team comprises the director of each department and meets every 2 weeks.



Within the Chief Executives Department there are four divisions, Corporate Strategy, Legal, Human Resources and Finance. The Corporate Procurement function is delivered by the Department in a joint role with Neighbourhood Services Department. The Chief Executive's Management Team comprises the head of each division meets every 4 weeks. Every six weeks they meet with the Corporate Management Team.



Each division is organised into a number of sections. These are detailed in the table below:

Corporate Strategy	Finance	Human Resources	Legal	Procurement & Property Services
Administration – Andrea Brown	Audit and Governance – Noel Adamson	Advisors (Rachel Clark and Alison Swann)	Personal Services	Procurement Unit
Consultation – Liz Cookston	Financial Services – John Morton	Central Services – Christine Armstrong	Litigation	
Democratic Services – Amanda Whittaker	Corporate Finance – Chris Little	HR Operations – Alison Oxley	Environment and Development	
E Government – Joan Chapman		Organisational Development – Wally Stagg		
Policy and Performance – Peter Turner				
Public Relations – Alastair Rae				
Registration Services – Peter Spires				

Scrutiny – Charlotte Burnham				
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Areas of work undertaken by the Procurement Unit is primarily within the Neighbourhood Services Department remit. Three important aspects of this service, namely the procurement strategy, central purchasing and business improvement sections fall within the remit of the Chief Executives Department and are reflected within this plan. The objectives and actions can be seen in more detail in the Action Plan.

Performance Management

- **Monitoring and Reporting**

The action plan detailing how the department will meet its main objectives for the forthcoming year will be monitored and reported using the following arrangements:

- Team supervision and annual appraisal and training review arrangements
- Management Team (CEMT) meetings on a quarterly basis to consider performance and risks.
- Performance Management Portfolio Holder and Cabinet meetings every quarter to consider reports of progress on the Departmental Plan and Corporate Plan.

- **Reviewing the Plan**

Throughout the year, in certain circumstances, it may become necessary to either remove or amend an outcome or specific action from the action plan. Any amendments to the plan will only be made with full agreement of CEMT and Portfolio Holder and Cabinet where appropriate.

The overall departmental plan also contains the key priorities for the next three years that will affect the department. Naturally these will change over time and will need to be reviewed and updated to reflect these changing priorities. As a revised Departmental Plan will be produced on an annual basis the overall priorities will be reviewed on an annual basis and will be reflected in future departmental plans.

- **Communication**

- Each member of staff is informed via email of the location on the intranet/website of the Corporate, Departmental and Service plans
- Section managers are required to brief their teams on the issues considered most relevant to their teams
- The CMT, Cabinet and Council approve the Corporate Plan.
- CEMT and Performance Management Portfolio Holder approve the Chief Executive's Departmental Plan

Workforce Development

Departmental context

The CPA Corporate Assessment report about the Council organisation was overwhelmingly positive as the quotes below indicate:

- Officer leadership and management are good
- Staff at all levels have pride in Hartlepool
- Staff at all levels demonstrate very strong commitment to delivering quality services

This provides a strong base for workforce development. The Corporate Plan includes the organisational development outcomes:

Improve management and governance

Improve access and understanding between the Council and the Public

Improve Elected member and Workforce arrangements

Improve efficiency and effectiveness of the organisation

and these provide the context for the workforce development activities corporately and within the department.

Key workforce issues

A number of issues that the department and Council are addressing have a significant workforce development dimension.

In its corporate role there are significant developments underway which will be progressed in 2008/9 and where the department plays a leadership and coordination role. Most of these will also impact on the department as a service deliverer. These include:

- Progressing the Business Transformation Programme and associated work to develop the skills and capacity to address the efficiency strategy
- Progressing the corporate People and Workforce Development strategies
- Completing the implementation of job evaluation
- Continuation of the work to reduce absence
- Developing skills and knowledge to support the continued successful implementation of the Covalent Performance and Risk Management system
- the continued implementation of the FMS Integra system
- Developing Hartlepool Connect to increase the range of services provided

Within the Department the areas where change is being considered or issues have been identified, some of which overlap with corporate developments include:

Human Resources

- None

Corporate Strategy

- Responding to the Government's registration review and completion of job evaluation for statutory registration officers.

Finance

- Further implementation of mobile service delivery arrangements for the public

Legal

- None

Procurement Unit

- Further development and implementation of the procurement strategy will be essential part of delivery efficiency savings and will require

Action Plans

The workforce development issues will be addressed through the following outcomes and actions

Workforce development issue	Reference to plan and actions where progress can be monitored
Linked to Corporate Plan	
Progressing the Business Transformation Programme and the Efficiency Strategy	Departmental Plan outcome: Develop and implement Business Transformation Programme Departmental Plan outcome: Develop and Implement Efficiency Strategy
Progressing the corporate workforce development plan	Departmental Plan outcome: Implement the People Strategy and Workforce Development Strategy
Implementation of job evaluation	Departmental Plan outcome: Implement Pay and Grading and Single Status arrangements
Continuation of the work to reduce absence	Departmental Plan outcome: Implement the People Strategy and Workforce Development Strategy
Developing skills and knowledge to support the successful implementation of the Performance and Risk Management system	Departmental Plan outcome: Continued development of service planning and performance management arrangements
Developing skills and knowledge to support the continued implementation of the FMS system	Departmental Plan outcome: Develop Financial Strategy and Management
Increasing the range of services provided by Hartlepool Connect	Departmental Plan outcome: Develop the Contact Centre to increase the range of services provided
Identified within Department, and not linked to Corporate Plan	
Corporate Strategy	
Responding to the Government's registration review and completion of job evaluation for statutory registration officers.	Departmental Plan outcome Review of Registration service provision
Finance	

Workforce development issue	Reference to plan and actions where progress can be monitored
Implementation of the efficiency strategy	Departmental Plan outcome Implementation of new integrated Payroll / HR System Departmental Plan outcome Develop arrangements for the Centralisation of Financial Administration, Debtors, Payments / Receipts and other Financial Admin
Further implementation of mobile service delivery arrangements for the public	Departmental Plan outcome Develop Mobile / Home working
Procurement Unit	
Implementation of the efficiency strategy	Departmental Plan outcome Develop and implement the Procurement Strategy

Medium Term Priorities

The department deals with a wide range of functions and pressures arise from a number of sources. This plan details the priorities for the next 3 years – giving the opportunity to look more ‘longer term’ than if only the next 12 months were to be reflected, and will be reviewed on an annual basis.

Hartlepool Borough Council, for the sixth year running, has been awarded the highest possible **Four Star** rating by the Audit Commission as part of the “The Harder Test” Comprehensive Performance Assessment (CPA). In relation to our performance, the Audit Commission said:

“Hartlepool Council is performing well. Ambitions and action to achieve are founded on a strong drive to improve life in Hartlepool. Performance often ranks among the best in England. Outstanding partnership working is achieving improved outcomes ... across national and local priorities.”

In 2008, for the first time, the Council achieved the top rating **Improving Strongly** for the delivery services.

Hartlepool is one of only twelve of the 116 single tier authorities to achieve this rating both the **Four Star** and **Improving Strongly** ratings.

The most recent 2007/8 Audit Commission assessments rate the Council’s Use of Resources as overall **Performing Well** on Financial reporting, Financial Management, Financial Standing, Internal Control and Value for Money.

The most recent corporate assessment report about the Council organisation was overwhelmingly positive as the comments below indicate:

- Member and Officer leadership and management are good
- Staff at all levels have pride in Hartlepool
- Staff at all levels demonstrate very strong commitment to delivering quality services
- Financial capacity is good and the Council has substantial reserves
- Good performance management enables the Council and its partners to monitor and drive progress
- Excellent consultation and engagement with local people

many of which relate to functions led from within the Chief Executive’s Department. The Council and the Department therefore has a strong base on which to continue improving.

Last year the Council’s overall financial position and job evaluation were identified as the two main medium term operational issues.

Single status/job evaluation has progressed well and will continue to be implemented in 2008/9.

The outlook for future spending levels is summarised in the Corporate Plan MTFS section. For the period of this plan the Council has received better than expected Formula grant settlements over the next three years.

The outlook can be summarised as a period of public sector expenditure constraint for the period covered by the MTFS and probably the next comprehensive spending review which requires services to be prioritised at a sustainable level by taking into account the issues outlined above.

The increase over the next three years should make the overall budget position more manageable **provided the Council can contain service pressures and achieve annual efficiencies of 3%**. Consequently the Council is investing £0.5m in the Business Transformation project to ensure the efficiencies are achieved. More details on this are given below in the summary of areas to be progressed over the next 3 years.

Areas to progress over the next 3 years include:

Improving management and governance

Steps are being taken to further improve performance and risk management, overview and scrutiny, emergency planning and business continuity.

The next three years will see the introduction of the Comprehensive Area Assessment (CAA), the replacement for CPA, from 2009. The Council will continue to prepare and respond to participate through consultation and participation in the Audit Commission's development programme.

Improving access and understanding between the Council and the Public

The Communication and Consultation Plans will be implemented ensuring the Council's strong reputation for public engagement is maintained. The development programme for the Contact Centre will allow a wider range of services to be offered over the period of this plan.

Improving Elected member and Workforce arrangements

The development and retention of members and staff is another key area. Our approach and plans have been set out in the People and Workforce Development Strategy and Member Development Strategy. The pay, grading and Single Status arrangements will also be concluded during 2008/9.

Improving efficiency and financial management

The pressure to achieve Gershon efficiency targets continues and achieving the targets is essential to achieve the Council's Medium Term Financial Strategy. Consequently a major project, Business Transformation, backed by £0.5m of Council funding, is being launched in 2008/9. The Business Transformation project aims to develop an organisation which can:

- Maintain and continue to improve service performance
- Make more efficient and effective use of it's resources; people and buildings
- Deliver services in a responsive manner
- Optimise the extent to which services are delivered directly to the user and minimise the number of transactions to achieve this

Managed through the Way Forward Board, the Business Transformation project will encompass existing Efficiency Strategy, Business Process Re-engineering (BPR), Procurement Strategy and ICT Strategy projects.

Public expectation is for greater flexibility in access to services. Business Transformation will include projects, such as expanding the Hartlepool Connect Contact Centre.

Departmental Action Plan 2008/09

The action plan is split into two main parts. The first part includes those outcomes that have been identified in the Council's Corporate Plan. This action plan expands on the Corporate Plan and gives more detail as to how this will be achieved.

Section 2 contains those outcomes that have been identified as being a priority for the Department, but have not specifically been included in the Council's Corporate Plan.

Section 1 – Outcomes that are linked directly to the Corporate Plan

CORPORATE STRATEGY DIVISION			
Corporate Plan outcome: Improve management and governance			
Departmental Plan outcome: Continued development of service planning and performance management arrangements (Ref: OD A01)		Risk Register Ref: CED R036	Key PIs: CEDCS P008-P010
Ref:	Action	Date to be Completed	Responsible Officer
CED A001	Complete initial implementation of Covalent PM database	Sep-08	David Hunt
CED A002	Review and identify phase 2 Covalent developments	Dec-08	David Hunt
CED A003	Update of 3-year Corporate plan 2009/10-2011/12	Jun-09	Peter Turner
CED A004	Produce financial/ service planning guidance for 2009/10	Jul-08	David Hunt
CED A005	Complete performance reporting	Mar-09	David Hunt
CED A006	Produce annual report 2007/8	Sep-08	Sajda Banaras
CED A007	Manage corporate audit and inspection processes	Jul-08	Peter Turner

APPENDIX A

Departmental Plan outcome: Implement Risk Strategy to ensure robust risk management arrangements are in place (Ref: OD A02)		Risk Register Ref: CED R037	Key PIs: CEDCS P007
Ref:	Action	Date to be Completed	Responsible Officer
CED A010	Complete annual reviews of SRR and strategy	Jul-08	Kerry Trenchard
CED A011	Quarterly SRR and DRR reviews completed and reported to CMT/DMTs and Performance PfH	Mar-09	Kerry Trenchard
CED A012	Covalent risk training	Apr-08	David Hunt
CED A013	Officer RM training	Jul-08	Peter Turner
CED A014	Member RM training	Jul-08	Peter Turner
Departmental Plan outcome: Develop and improve the effectiveness of the overview and scrutiny function (Ref: OD A03)		Risk Register Ref: CED R011 – R016	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A020	To continue to raise the profile of the work of the Overview and Scrutiny Function	Jun-08	Charlotte Burnham
CED A021	Compilation and Delivery of the Scrutiny Work Programme 2008/09	May-09	Charlotte Burnham
CED A022	To implement the extended powers to Scrutiny known as the 'Councillor Call for Action' Mechanism	Oct-08	Charlotte Burnham
CED A023	To further enhance the knowledge of Non-Executive Members serving on the Overview and Scrutiny Committees	Aug-08	Charlotte Burnham
CED A024	To further enhance the Monitoring of Recommendations across all Overview and Scrutiny Committees	Jan-09	Charlotte Burnham
Departmental Plan outcome: Prepare for introduction of Comprehensive Area Assessment in 2009 (Ref: OD A07)		Risk Register Ref: STR R034	Key PIs: CEDCS P009&P010
Ref:	Action	Date to be Completed	Responsible Officer
CED A030	Participate in Action Learning	Dec-08	Andrew Atkin
CED A031	Briefings for members, CMT, middle managers	Mar-09	Andrew Atkin
CED A032	Respond to consultations	Mar-09	Andrew Atkin

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Corporate Plan outcome: Improve access and understanding between the Council and the Public			
Departmental Plan outcome: Implement the Communicating with your council plans (Ref: OD A09)		Risk Register Ref:	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A033	Implement the Corporate Communications Strategy Action Plan	Mar 09	Alastair Rae
CED A034	Implement the Corporate Consultation Action Plan	Mar 09	Liz Crookston
CED A035	Implement the Corporate Complaints Action Plan	Mar 09	Liz Crookston
Corporate Plan outcome: Improve efficiency and effectiveness of the organisation			
Departmental Plan outcome: Develop and implement Business Transformation Programme (OD A13)		Risk Register Ref: STR R035 & STR R036	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A040	Determine overall Business Transformation Programme	Jul-08	Andrew Atkin
CED A041	Implementation of Transformation priorities	Aug-08	Andrew Atkin
Departmental Plan outcome: Delivery of the ICT Strategy to support corporate objectives (Ref: OD A16)		Risk Register Ref: STR R020, CED R017-R021	Key PIs: ICT PIs 2, 3a, & 4-8 ICT Sis 2-5 CEDCS P017-P019 & P040
Ref:	Action	Date to be Completed	Responsible Officer
CED A050	Review of ICT Strategy to ensure links with departmental requirements and other corporate objectives	Dec-08	Joan Chapman
CED A051	Begin work leading up to the potential upgrade to VISTA and office 2007 - aim to complete by 2010 if viable business case is proved	Mar-09	Joan Chapman
CED A052	Cardkey Replacement	Dec-08	Joan Chapman
CED A053	Managed Print Service	Dec-08	Joan Chapman
CED A054	Unique Person Identifiers	Mar-09	Joan Chapman
CED A055	Disaster Recovery	Mar-09	Joan Chapman
CED A056	Email Migration	Oct-08	Joan Chapman

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CED A057	Website Development	Dec-08	Joan Chapman
CED A058	Information Security	Jan-09	Joan Chapman
CED A059	Ensure continuation of robust and relevant ICT support for the authority	Jan-09	Joan Chapman

FINANCE DIVISION			
Corporate Plan outcome: Improving Financial Inclusion			
Departmental Plan outcome: Develop and implement an Engagement Strategy to increase awareness and accessibility to financial support (Ref: SC A16)		Risk Register Ref: CED R040	Key PIs: CEDFI P009 – P011
Ref:	Action	Date to be Completed	Responsible Officer
CED A060	Develop work programme covering events; publicity; and the fostering of relationships with community groups, health sector partners/agencies	Mar 09	John Morton
Departmental Plan outcome: Support the development of the Hartlepool Financial Inclusion Partnership (Ref: SC A17)		Risk Register Ref: CED R039	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A065	Participate in developing future Inclusion Partnership strategies and arrangements.	Mar 09	John Morton
Departmental Plan outcome: Improve accessibility to secure banking arrangements for the disadvantaged (Ref: SC A18)		Risk Register Ref:	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A070	Assist in the implementation of the Hartlepool Credit Union Transactional Banking Project	Mar 09	John Morton

APPENDIX A

Corporate Plan outcome: Improve management and governance			
Departmental Plan outcome: Development of Governance arrangements (Ref: OD A04)		Risk Register Ref:	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A075	Co-ordinate Annual Governance Statement Work Programme	May 08	Noel Adamson
Departmental Plan outcome: Development of emergency planning and business continuity arrangements (Ref: A06)		Risk Register Ref:	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A080	Publication of Business Continuity Plan	May-08	Mike Ward
CED A081	Implementation of Business Continuity Testing Programme for Category 1 and Category 2 services	Sep-08	Mike Ward
CED A082	Integration testing of Business Continuity and Emergency Plans	Mar-09	Mike Ward
Corporate Plan outcome: Improve efficiency and effectiveness of the organisation			
Departmental Plan outcome: Develop and implement Business Transformation Programme (Ref: A13)		Risk Register Ref:	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A085	Review of ongoing transformation activity and programmes	Apr 08	Mike Ward
Departmental Plan outcome: Develop and Implement Efficiency Strategy (Ref: OD A14)		Risk Register Ref:	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A090	Determination of efficiency targets for departmental and transformational workstreams	May-08	Mike Ward
CED A091	Implementation of Business Continuity Testing Programme for Category 1 and Category 2 services	Sep-08	Mike Ward
CED A092	Integration testing of Business Continuity and Emergency Plans	Mar-09	Mike Ward

APPENDIX A

Departmental Plan outcome: Develop Financial Strategy and Management (Ref: OD A17)		Risk Register Ref:		Key PIs:	
Ref:	Action	Date to be Completed		Responsible Officer	
CED A095	Improve medium term financial planning and strategy	Sep-08		Chris Little	
CED A096	Review and develop improved project appraisal procedures for new policies and capital developments	Sep-08		Chris Little	
CED A097	Establish financial managements arrangements which are "fit for purpose"	Dec-08		Chris Little	
CED A098	Develop framework for monitoring income collection and recovery of arrears	Dec-08		John Morton	
Departmental Plan outcome: Develop Capital Strategy and Asset management (Ref: OD A18)		Risk Register Ref:		Key PIs:	
Ref:	Action	Date to be Completed		Responsible Officer	
CED A100	Review existing Capital Strategy / Resource Forecasts	Sep 08		Chris Little	

HUMAN RESOURCES DIVISION					
Corporate Plan outcome: Freedom from discrimination or harassment					
Departmental Plan outcome: Enhance Equality and Diversity arrangements and mainstream into all council service activities		Risk Register Ref:		Key PIs:	
Ref:	Action	Date to be Completed		Responsible Officer	
CED A110	Improve Equality and Diversity Leadership and Corporate Commitment	Mar-09		Wally Stagg	
CED A111	Consultation and Community Development and Scrutiny	Mar-09		Wally Stagg	
CED A112	Service Delivery and Customer Care	Mar-09		Wally Stagg	
CED A113	Improve Equality and Diversity Employment and Training	Mar-09		Wally Stagg	

APPENDIX A

Corporate Plan outcome: Improve management and governance			
Departmental Plan outcome: Ensure arrangements in place to deal with new and existing legislation (Ref: SC A19)		Risk Register Ref:	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A115	Implement provisions of Electoral Administration Bill	Mar 09	Christine Armstrong
Corporate Plan outcome: Improve access and understanding between the Council and the Public			
Departmental Plan outcome: Develop the Contact Centre to increase the range of services provided (Ref: OD A08)		Risk Register Ref: CED R052	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A120	Implement plans to review, develop and promote the Contact Centre	Mar-09	Julie Howard
CED A121	Review and consider implementing Contact Council best practice PIs	Mar-09	Julie Howard
CED A122	Develop technology	Mar-09	Julie Howard
Departmental Plan outcome: Implement the Communicating with your Council Plans (Ref: OD A09)		Risk Register Ref:	Key PIs: NI 14
Ref:	Action	Date to be Completed	Responsible Officer
CED A125	Implement Corporate Customer Services Strategy	Mar-09	Christine Armstrong
Corporate Plan outcome: Improve Elected member and Workforce arrangements			
Departmental Plan outcome: Implement Elected Member Development Strategy (Ref: OD A10)		Risk Register Ref:	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A130	Implement Plans to Develop & Promote Active, Visible and Effective Leadership	Mar-09	Julie Wilson

APPENDIX A

Departmental Plan outcome: Implement the People Strategy and Workforce Development Strategy (Ref: OD A11)		Risk Register Ref: STR R023 & CED R049- R051 ,R053 & R055-R059	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A135	Implement Plans to Develop & Promote Active, Visible and Effective Leadership	Sep-08	Lucy Armstrong
CED A136	Implement Plans to Continually Improve What We Do	Mar-09	Lucy Armstrong
CED A137	Implement Plans to Develop Skills of the Workplace	Mar-09	Lucy Armstrong
CED A138	Implement Plans to Promote Healthy Working	Mar-09	Stuart Langston
CED A139	Implement Plans to effectively Recognise, Engage and Reward the Workforce	Mar-09	Lucy Armstrong
CED A140	Implement Plans to Effectively Use Resources and Invest in the Future	Dec-08	Lucy Armstrong
Departmental Plan outcome: Implement Pay and Grading and Single Status arrangements (Ref: OD A12)		Risk Register Ref: STR R021, R022 & CED R051	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A145	Implement Single Status Agreement	Mar-09	Wally Stagg
CED A146	Determine Post Implementation Pay and Grading arrangements	Mar-09	Wally Stagg
Corporate Plan outcome: Improve efficiency and effectiveness of the organisation			
Departmental Plan outcome: Develop and Implement Efficiency Strategy (Ref: OD A14)		Risk Register Ref:	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A150	Undertake Employee administration review project	Mar 09	Christine Armstrong
CED A151	Implement HR aspects of new Payroll/HR system	Mar 09	Christine Armstrong
CED A152	Undertake Postal Services Review	Mar 09	Christine Armstrong
CED A153	Implement Corporate address database	Mar 09	Christine Armstrong

APPENDIX A

LEGAL SERVICES DIVISION			
Corporate Plan outcome: Improve management and governance			
Departmental Plan outcome: Ensure arrangements in place to deal with new and existing legislation		Risk Register Ref:	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A160	Provide timely, accurate and responsive advice and assistance to the Council and its stakeholders	Jun 09	Peter Devlin

PROCUREMENT & PROPERTY SERVICES			
Corporate Plan outcome: Improve efficiency and effectiveness of the organisation			
Departmental Plan outcome: Develop and implement the Procurement Strategy (Ref: OD A15)		Risk Register Ref:	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A170	Develop and implement the strategic procurement function	Aug 08	Graham Frankland
CED A171	Review and Implement Procurement strategy	Mar 09	Graham Frankland
CED A172	Develop and implement 5 year Procurement Plan	Feb 09	Graham Frankland
CED A173	Deliver Key Corporate Procurement Projects	Mar 09	Graham Frankland

Section 2 –Outcomes that are specific to the Chief Executives department

CORPORATE STRATEGY DIVISION			
Departmental Plan outcome: Implement Data Quality Action Plan, including Audit Recommendations (Ref: CSO 01)		Risk Register Ref: CED R063	Key PIs: CEDCS P015 & P023-P025
Ref:	Action	Date to be Completed	Responsible Officer
CED A200	To ensure that the Council's performance data is relevant, accurate, timely and complete	May-09	Peter Turner
CED A201	To ensure that where data is exchanged with other organisations appropriate protocols are in place	Jun-08	Sajda Banaras
CED A202	To ensure that the quality of data is regularly monitored and checked;	Jun-08	Sajda Banaras
CED A203	To ensure that appropriate mechanisms are in place to keep staff aware of the Council's data quality requirements and provide suitable training	Mar-09	Peter Turner
Departmental Plan outcome: Enhance Equality and Diversity arrangements and mainstream into all council service activities (Ref: CSO 02)		Risk Register Ref: CED R035	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A205	Complete Corporate Strategy Division diversity planning	Apr-09	Peter Turner
CED A206	Diversity actions and targets agreed as part of INRA for all Corporate Strategy teams	Mar-09	Peter Turner
Departmental Plan outcome: Review of Registration service provision (Ref: CSO 03)		Risk Register Ref:	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A210	Complete Hartlepool Connect feasibility study	Dec-08	Peter Spires
CED A211	Develop and implement restructure proposals	Mar-09	Peter Spires
Departmental Plan outcome: Manage programme for Place Survey 2008 (Ref: CSO 04)		Risk Register Ref: CED R023	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A215	Plan and manage Place Survey 2008	May 2008	Liz Crookston
CED A216	Commission external partners as appropriate	July 2008	Liz Crookston

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CED A217	Develop questionnaire	August 2008	Liz Crookston
CED A218	Ensure reporting of survey results to departments and elected members	March 2008	Liz Crookston
Departmental Plan outcome: Manage the citizen's panel – Viewpoint (Ref: CSO 05)		Risk Register Ref: CED R023	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A220	Plan, carry out and report survey results to client departments -3 phases	Ongoing	Lisa Anderson
CED A221	Report to Portfolio Holder on outcomes - 3 phases	Ongoing	Lisa Anderson
CED A222	On-going follow up on use of previous results. To be reported to Portfolio Holder with standard reports	Ongoing	Lisa Anderson
Departmental Plan outcome: Statistics & information support (Ref: CSO 06)		Risk Register Ref: CED R022	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A225	Council Factfile 2008 - design and issue	Jun 08	Lisa Anderson
CED A226	TVJSU Information and Forecasting group - attend meetings and disseminate information	Ongoing	Lisa Anderson
Departmental Plan outcome: Continue to develop and improve efficiency and effectiveness of democratic function (Ref: CSO 07)		Risk Register Ref: CED R009	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A230	Review efficient delivery of democratic processes	Jun 08 and ongoing	Angela Hunter
Departmental Plan outcome: Supporting the Council's Democratic Processes (Ref: CSO 08)		Risk Register Ref:	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A231	Administration of Council's Executive, Non-Executive and Scrutiny Processes	May 2008 and ongoing	Amanda Whitaker
CED A232	Support the development and updating of the Constitution.	Dependent on 2008/09 diary	Angela Hunter
CED A233	Establish the Council's 2008/09 diary	Jun-08	David Cosgrove
CED A234	Maintenance of the Officer's Register of Gifts and Hospitality	Feb-09	David Cosgrove

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CED A235	Maintenance of Councillors Register of Interests	Jun-08	Amanda Whitaker
CED A236	Administration of Annual Council Meeting	Jun-08	Amanda Whitaker
Departmental Plan outcome: Maintenance and Review of Democratic Services Team admin functions (Ref: CSO 09)		Risk Register Ref: CED R006 & CED R007	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A240	Administration of School Admission Appeal Hearings	May 08 and ongoing	Denise Wimpenny
CED A241	Administration of Civic Lottery Fund	Dec-08	Amanda Whitaker

FINANCE DIVISION			
Departmental Plan outcome: Implementation of new integrated Payroll / HR System (Ref: CSO 10)		Risk Register Ref: CED R039	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A250	Evaluate feasibility of Shared Service with other Councils or managed IT service by NIS	Jun-08	John Morton
CED A251	Develop detailed business case with costing options	Aug-08	John Morton
CED A252	Appoint Project Team and develop implementation plan covering Payroll and HR modules	Sep-08	John Morton
Departmental Plan outcome: Develop arrangements for the Centralisation of Financial Administration, Debtors, Payments / Receipts and other Financial Admin (Ref: CSO 11)		Risk Register Ref: CED R065	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A255	Quantify numbers of staff / proportion of time, staff input cost associated with core themes	Jun-08	Kevin Shears
CED A256	Review arrangements within departments and establish scope for standardisation and consolidation on best practice	Sep-08	Kevin Shears
CED A257	Review of opportunities to switch customer channels of payment for services and economies from consolidation of electronic payment card payment processing arrangements	Dec-08	John Morton

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Departmental Plan outcome: Assist in Project 2011 development (Ref: CSO 12)		Risk Register Ref: STR R007	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A260	Financial evaluation of options for future ICT service delivery	Mar 09	John Morton
CED A261	Liaison with other local authorities on costs / risks associated with process of re –tendering for outsourced services	Mar 09	John Morton
Departmental Plan outcome: Implementation of Inaugural Business Improvement District (Ref: CSO 13)		Risk Register Ref: CED R039	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A265	Test / Implement bid levy arrangements	Apr-08	Paula Bass
CED A266	Promote / action Direct Debits for new charges	Jun-08	Paula Bass
CED A267	Develop new levy reconciliation framework	Jun-08	Paula Bass
CED A268	Evaluate BID revenue stream assumptions with Regeneration & Planning Dept	Dec-08	Paula Bass
Departmental Plan outcome: Develop Mobile / Home working (Ref: CSO 14)		Risk Register Ref: CED R039	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A270	Promote and extend homeworking / mobile working arrangements	Sep-08	Paula Bass
CED A271	Develop / adopt Finance Division Homeworking policy framework	May-08	Paula Bass
Departmental Plan outcome: Develop new Audit Management Software (Ref: CSO 15)		Risk Register Ref: CED R039	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A275	Develop Implementation and Training Plan covering operation of new software	May-08	Noel Adamson
CED A276	Evaluate impacts of new software and operating arrangements	Dec-08	Noel Adamson
Departmental Plan outcome: Development of arrangements for implementation of Employment Support Allowance Oct 08 (Ref: CSO 16)		Risk Register Ref: CED R048	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A280	Develop and implement staff training programme	Sep-08	Julie Pullman

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CED A281	Implement communication strategy with Landlords and daimants covering new arrangements	Sep-08	Julie Pullman
CED A282	Test / implement system amendments	Sep-08	Julie Pullman
Departmental Plan outcome: Maintain Benefits Service CPA Score 2008 and prepare for future inspection regime (Ref: CSO 17)		Risk Register Ref: CED R040	Key PIs: CEDFI P004-P006 CEDFI P012-P013
Ref:	Action	Date to be Completed	Responsible Officer
CED A285	Complete 2008 CPA submission	Jun-08	Julie Pullman
CED A286	Benchmark Benefits Service against new Audit Commission Inspection KLOE Framework	Jun-08	Julie Pullman
Departmental Plan outcome: Maintenance of Risk Management Framework (Ref: CSO 18)		Risk Register Ref: CED R037	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A290	Undertake quarterly review of Finance Division risk register	Jun-08	Paul Hamilton
CED A291	Undertake as part of the corporate risk management group quarterly review of other departmental risk registers	Jun-08	Paul Hamilton
Departmental Plan outcome: Review of Interdepartmental Insurance Charging Arrangements (Ref: CSO 19)		Risk Register Ref: CED R064	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A295	Analysis of claims history / risks	Aug-08	Kevin Shears
CED A296	Financially model alternative charging bases/ departmental budget impacts	Nov-08	Kevin Shears
Departmental Plan outcome: Co-ordinate the Tender / Award of the Council's corporate Cash in Transit contract (Ref: CSO 20)		Risk Register Ref: STR R028	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A300	Determine tender approach and obtain Portfolio holder approval	April 08	Paula Bass
CED A301	Invite expressions of interest and issue tender documents	June 08	Paula Bass
CED A302	Evaluate tenders and award contract	October 08	Paula Bass
Departmental Plan outcome: Review of Cashiering Service arrangements (Ref: CSO 21)		Risk Register Ref: STR R028	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A305	Analyse payment trends by method of payment	May 08	Paula Bass

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CED A306	Costing analysis of service delivery options	June 08	Paula Bass
CED A307	Evaluation of corporate operational impacts of options	June 08	Paula Bass
CED A308	Determine strategic way forward and develop implementation plan	Nov 08	Paula Bass
Departmental Plan outcome: Develop Shared Working arrangements covering Revenues and Benefits Services (Ref: CSO 22)		Risk Register Ref: CED R041	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A310	Determine potential work programme themes / activities with partner local authority	Jun 08	John Morton
CED A311	Delivery of agreed Revenues Workstream activities	Mar 09	Paula Bass
CED A312	Delivery of agreed Benefits Workstream activities	Mar 09	Julie Pullman
Departmental Plan outcome: Implement new corporate Pay and Grading Structure (Ref: CSO 23)		Risk Register Ref: CED R040	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A315	Develop Implementation Plan / Timetable covering payment of new grades and back pay.	April 08	Kevin Shears
CED A316	Identify delivery resources / evaluate risks	April 08	Kevin Shears
CED A317	Monitor / review implementation of plan	Sept 08	Kevin Shears
Departmental Plan outcome: Implement new corporate superannuation contributions arrangements (Ref: CSO 24)		Risk Register Ref: CED R040	Key PIs:
Ref:	Action	Date to be Completed	Responsible Officer
CED A320	Review regulation changes and impacts	April 08	Kevin Shears
CED A321	Liaison with software supplier to determine way forward re IT amendments	April 08	Kevin Shears
CED A322	Test system amendments and implement new arrangements	April 08	Kevin Shears

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HUMAN RESOURCES DIVISION			
Departmental Plan outcome: Continue to develop and improve efficiency and effectiveness of democratic function (Ref: CSO 25)		Risk Register Ref:	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A330	Improve the use of e-technology to support Members	Mar 09	Christine Armstrong

LEGAL SERVICES DIVISION			
Departmental Plan outcome: Supporting the Council's Democratic Processes (Ref: CSO 08)		Risk Register Ref:	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A340	Ensure compliance with statutory requirements	Mar 09 and ongoing	Peter Devlin
Departmental Plan outcome: Implement Audit recommendations contained in "Setting High Ethical Standards" report (Ref: CSO 26)		Risk Register Ref:	Key Pls:
Ref:	Action	Date to be Completed	Responsible Officer
CED A345	Ensure councillors are confident in the actions they should take as individuals if they become aware of conduct by a Member that may be in breach of the code	Jun 08 and ongoing	Peter Devlin
CED A346	Standards Committee needs to raise its profile and to ensure both councillors and senior officers are fully aware of the role, operation and effectiveness of the Standards Committee. The committee should consider preparing and issuing an annual report in which it can clearly outline its achievements for the year	Apr 09	Peter Devlin
CED A347	Ensure all councillors are made aware of the whistle blowing policy and are clear on its purpose, content and process for its use	Mar 09	Peter Devlin
CED A348	The Council needs to establish the reasons for this relatively poor perception of its role in promoting high ethical standards and implement appropriate actions	Aug-08	Peter Devlin

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CED A349	The Council should reconsider the way it ensures councillors understand the circumstances in which they must register an interest and the process for doing so to minimise the risks to councillors and the Council	May-08	Peter Devlin
CED A350	The Council should explore whether councillors are clear on their responsibilities and actions to follow when they have prejudicial interest in a matter, or whether they misunderstood the question and the response does not reflect reality	Nov-08	Peter Devlin
CED A351	The Council needs to address this lack of awareness about public accessibility to appropriate documents	Jun-08	Peter Devlin
CED A352	The Council should increase awareness of the whistle blowing policy and re-enforce assurances that reporting through this mechanism can be done without fear of reprisal	Nov-08	Peter Devlin

Performance Indicators

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

Ref	Definition	Outturn 2007/08	Target 2008/09
NI 14	Avoidable contact: The proportion of customer contact that is of low or no value to the customer	New Indicator*	
ICT PI 2	ICT competence of user	New Indicator*	
ICT PI 3a	Organisational ICT spend (investment in ICT infrastructure and hardware across the organisation) as a percentage of organisational running costs (expenditure)	New Indicator*	
ICT PI 4	Percentage of incidents resolved within agreed service levels	New Indicator*	
ICT PI 5	Project governance and delivery index	New Indicator*	
ICT PI 6	Percentage of the top five transactional based activities which are made via e-enabled channels	New Indicator*	
ICT PI 7	Commissioner and user satisfaction index - a composite indicator compiled from the responses to a set of statements by commissioners and users	New Indicator*	
ICT PI 8	Management practice indicator - the number of practices that have been adopted by the organisation out of a possible total of 10	New Indicator*	
ICT SI 2	Users per workstation	New Indicator*	
ICT SI 3	Unavailability of ICT services to users	New Indicator*	
ICT SI 4	Average number of support calls per user	New Indicator*	
ICT SI 5	Percentage of users who are able to access the network and systems remotely	New Indicator*	
CEDCS P007	CPA Use of Resources - Internal Control (CPA 1)	3	3
CEDCS P008	CPA Use of Resources - Overall Score (CPA 2)	3	3
CEDCS P009	CPA Overall Category (CPA 3)	4	4
CEDCS P010	CPA Direction of Travel Judgement (CPA 4)	Improving Strongly	Improving Strongly

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Ref	Definition	Outturn 2007/08	Target 2008/09
CEDCS P015	PIs amended as a result of external audit (LPI CE9)	2	0
CEDCS P017	Number of website hits (LPI CE 14)	244,016	270,000
CEDCS P018	Number of online transactions (LPI CE 15)	4,545	5,000
CEDCS P019	Number of available on-line services (LPI CE 17)	45	50
CEDCS P023	PI's qualified following external audit	1	0
CEDCS P024	PI's with doubts expressed following external audit	New Indicator	0
CEDCS P025	High priority recommendations	New Indicator	0
CEDCS P040	Number of permanent and ad hoc home workers established (LPI CE 16)	1 full time 79 ad hoc	n/a**
CEDFI P001	Percentage of Invoiced Paid on Time	87%	95%
CEDFI P002	Percentage of Council Tax collected	96.9%	97%
CEDFI P003	Percentage of NNDR collected	99.5%	97.5% Impacted by new Empty Property charges
CEDFI P009	Number of Council Tax Disabled Reliefs (performance expected with reward) (LAA SC16)	249 (Q3)	268
CEDFI P010	Number of Council Tax Carer Reductions (performance expected with reward) (LAA SC17)	90 (Q3)	108
CEDFI P011	Number of Council Tax Severely Mentally Impaired Reductions (performance expected with reward) (LAA SC18)	148 (Q3)	112

* A number of indicators have been introduced in 2008/09, and therefore there is no outturn information available for 2007/08. 2008/09 will be used to collect baseline information to allow for targets to be set for 2009/10

** Unable to set target as outturn is dependent on departmental take up, which is impossible to predict.

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Associated Risks

Within the action plan each objective had identified risks that could effect the successful implementation of the objective and associated actions. Those risks are included in more detail in the table below.

Risk Register Ref	Dept. Outcome (Ref)	Key risks to achieving departmental service objectives	Priority H/M/L	Procedures/processes/management arrangements/controls in place to mitigate identified risks	Method of Review	Date of Review Last /Next	Responsible Officer
STR R007	CSO 12	Experiencing failure or lack of access to Critical ICT systems		Data back up and recovery plans operated by Northgate. Information security action plan is in place to address the requirements of the Audit Commission audit. Ind. Prof. ICT advice now in place. Core system service standards availability added into the SLA - new. SLA service. Standards revised upwards in terms of availability. Client Service Officer now in post to monitor N'gate quality /service standards	Qtrly Review of Risk Register	29/4/08 / 30/6/08	Andrew Atkin
STR R020	OD A16	Fail to make progress on review of ICT contract in a timely fashion reducing the Council's ability to achieve service improvement through use of ICT and/or service disruption		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. Completion of phase 1 report to Cabinet end of March 2008.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Joan Chapman
STR R021	OD A12	Future Equal pay claims		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. Green Book bonus schemes terminated 31 March 2007.	Qtrly Review of Risk Register	21/4/08 / 30/6/08	Joanne Machers
STR R022	OD A12	Current Equal Pay Claims including settlement of, or adverse findings in ET of existing equal pay claims		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.	Qtrly Review of Risk Register	21/4/08 / 30/6/08	Joanne Machers

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Risk Register Ref	Dept. Outcome (Ref)	Key risks to achieving departmental service objectives	Priority H/M/L	Procedures/processes/management arrangements/controls in place to mitigate identified risks	Method of Review	Date of Review Last /Next	Responsible Officer
				Favourable ET decisions regarding Aided School employees (subject to appeal).			
STR R023	OD A11	Loss of key staff / Insufficient numbers of staff to match service delivery demands		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. Attendance Management arrangements.	Qtrly Review of Risk Register	21/4/08 / 30/6/08	Joanne Machers
STR R028	CSO 20 CSO 21	Impact upon the Council from outsourcing of significant service areas		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	Qtrly Review of Risk Register	31/12/07 / 30/6/08	Mike Ward
STR R034	OD A07	Maintaining the 4* rating of the Council will provide opportunities to influence and positively reflect the achievements of the council		Performance targets regularly reviewed by management teams/Cabinet. Further improved performance management arrangements for 2007/08. Implementation of organisational development priorities included in Corp Plan 2007/08. Lead Officers identified with regular monitoring & review by CMT to be developed.	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Paul Walker
STR R035	OD A13	Change programme / Restructuring of the Authority		Project management and risk assessment assigned to change programme teams. Communication with staff e.g. briefings, newsletters, mgt team meeting, CMT monthly meeting, cllr briefings. Continue regular monitoring of performance through CMT, DMTs, Cabinet & Scrutiny. Temporary staffing arrangements in place to cover vacant posts.	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Paul Walker
STR R036	OD A13	Loss of focus on strategic direction and key priorities (political direction)		Members development programme has been developed and will be further enhanced. Provision of information to inform the budgetary process for	Qtrly Review of Risk	31/12/07 / 30/4/08	Paul Walker

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Risk Register Ref	Dept. Outcome (Ref)	Key risks to achieving departmental service objectives	Priority H/M/L	Procedures/processes/management arrangements/controls in place to mitigate identified risks	Method of Review	Date of Review Last /Next	Responsible Officer
				2005/6 (consultation, SIMALTO etc). Members seminar programme in operation throughout the year. Members regular monitoring of performance against priorities.	Register		
CED R006	CSO 09	Loss of use of Civic centre for meetings and/or as an administrative base		Other Council owned venues to be utilised where possible, e.g. Municipal, Town Hall, Borough Hall and Community Centres. List of viable alternative venues available and currently being used in light of Civic Centre Refurbishment.	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Amanda Whitaker
CED R007	CSO 09	Serious problems prevent Councillors and staff attending decision making meetings		Meetings would be abandoned until such time as sufficient Councillors/staff can attend. BCP in place.	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Amanda Whitaker
CED R009	CSO 07	Retention of key staff.		Training junior staff to deputise for key roles. Increased flexibility will reduce the need to recruit. Maximising opportunities such as the Graduate Management Training Programme. Opportunities identified for progression among staff members. retention of key staff complete planning control	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Andrew Atkin
CED R011	OD A03	Failure to deliver the content of the Overview and Scrutiny Work Programme 2007/08		Systematic and realistic approach to the planning and delivery of Work Programmes of individual Scrutiny Forums. Scrutiny investigations are well planned, have clear objectives and follow a prescribed project plan/timetable. Work programmes re-prioritised upon receipt of a referral together with availability of dedicated scrutiny support. Selection criteria to deal with non mandatory referrals devised and approved.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Charlotte Burnham
CED R012	OD A03	Failure to further develop links between the Executive and Scrutiny		Work Programmes compiled in consultation with relevant Executive Member. Effective communication with individual Executive Members about forthcoming reviews / Limited use of Call-In procedure. Scrutiny remits re-aligned into new organisational structure and Executive arrangements. Executive members now feedback to scrutiny as and when required. Joint	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Charlotte Burnham

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Risk Register Ref	Dept. Outcome (Ref)	Key risks to achieving departmental service objectives	Priority H/M/L	Procedures/processes/management arrangements/controls in place to mitigate identified risks	Method of Review	Date of Review Last /Next	Responsible Officer
				Cabinet/Scrutiny Event held with an agreed action plan to address issues raised. Joint Cabinet / Scrutiny Events held quarterly.			
CED R013	OD A03	Failure to Monitor Agreed Scrutiny Recommendations		Implementation of current monitoring and evaluation procedure in place. Procedure in place to ensure Scrutiny recommendations are reported back manually on a 6mthly basis. Monitoring of scrutiny recommendations via newly created electronic database piloted in Nov 07 by SCC, to be rolled out for all Scrutiny Forums in June 08.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Charlotte Burnham
CED R014	OD A03	Tackling the Barriers to Effective Scrutiny		Regular briefing mtgs held with Scrutiny Officer & Chairs of individual SForums. Tailor-made training programme held during 2005/06, 2006/07 & 2007/08 Municipal Yrs. Scrutiny Officer Liaison Group has been formed and meets quarterly. Scrutiny Chairs meet informally on a bi-monthly basis. CMT are updated on Scrutiny issues on a quarterly basis.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Charlotte Burnham
CED R015	OD A03	Failure to implement the extended Scrutiny powers outlined in the Local Government Bill		Members Seminar held on 11 April 07 on new powers to raise awareness. Scrutiny Co-ordinating Cttee, Chief Officers and Scrutiny Officers Liaison Gp kept update as information become available. Home Office & DCLG now agreed one CCfA, update provided to SCC on 21 Nov 07. Process currently being devised, whilst awaiting issue of guidance in June 08	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Charlotte Burnham
CED R016	OD A03	Failure to raise the profile of the work of the Authority's Overview and Scrutiny Committees		Promotion of awareness of the role Scrutiny in Hartlepool in existing publications i.e. Hartbeat. Newly developed Scrutiny webpages. Promotion of the conclusions/recommendations of Scrutiny investigations. The Authority's Scrutiny Mgr held the Chair of the Officers Regional Scrutiny Network in 2006/07. Scrutiny Leaflet produced in 2005/06 and revised in 2007/08. Annual Report produced for	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Charlotte Burnham

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Risk Register Ref	Dept. Outcome (Ref)	Key risks to achieving departmental service objectives	Priority H/M/L	Procedures/processes/management arrangements/controls in place to mitigate identified risks	Method of Review	Date of Review Last /Next	Responsible Officer
				2005/06, 2006/07 and 2007/08			
CED R017	OD A16	Loss of I.T. support systems for Corporate Strategy Division		Detailed physical records available for current events. Regular monitoring of Northgate performance. On-going negotiations. Client side officer in post and independent advice. Open dialogue and regular monitor.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Joan Chapman
CED R018	OD A16	Loss of ICT service due to contract problems with Northgate		Regular monitoring of Northgate performance. Ongoing negotiations. Client side officer in post and independent advice. Open dialogue and regular monitoring with Northgate. Regular meetings between CEX, ACE and NIS Director. Contract review facilitated by NCC.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Joan Chapman
CED R019	OD A16	Lack of system integration		Advice provided by Northgate and software suppliers. Improved governance procedures in place. Client side officer now in post. System integration included in all project plans. ICT strategy produced and reviewed. Programme office group established and meeting regularly. Review of remit and membership of ICT Steering Group.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Joan Chapman
CED R020	OD A16	Failure to become ISO 17799 compliant		Cross departmental working group established. External audit report identified requirements. Closer working relationship with Northgate to ensure policies are in place and are adhered to. Implementation of Information group workplan/policy development. Policies been developed and rolled out to all departments.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Joan Chapman
CED R021	OD A16	Failure of ICT to support corporate objectives		Regular review of strategy by ICT Steering Group. Review of ICT Steering Group and links with CMT, budget and corporate plan.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Joan Chapman
CED R022	CSO 06	Poor quality or loss of information from external partners. E.g. JSU		Continue funding JSU with four other districts. Regular meetings with JSU to maintain standards. Completed planned controls	Qtrly Review of Risk Register	01/4/08 / 30/6/08	Liz Crookston

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Risk Register Ref	Dept. Outcome (Ref)	Key risks to achieving departmental service objectives	Priority H/M/L	Procedures/processes/management arrangements/controls in place to mitigate identified risks	Method of Review	Date of Review Last /Next	Responsible Officer
CED R023	CSO 04 CSO 05	Failure to ensure quality of consultation service by external agencies		Questionnaires personally collected. Validity checks - ensure accuracy checks done, check against anticipated returns. Works to data protection principles - check tender/contract documentation.	Qtrly Review of Risk Register	26/3/08 / 30/6/08	Liz Crookston
CED R035	CSO 02	CE Dept fails to reach Level 3 of the Equality Standard by March 2008 and as a result Council objective not reached		CE Diversity Group meets regularly. DSG plan to achieve level 3. Quarterly reports to CEMT on progress.	Qtrly Review of Risk Register	31/3/08 / 30/6/08	Peter Turner
CED R036	OD A01	Failure to achieve continuous improvement resulting in a decline in council performance compared with other LAs		Corporate service planning/performance management arrangements. VFM/efficiency/BPR programme in place. PI reports identify areas of declining performance. Performance agreements developed with CMT.	Qtrly Review of Risk Register	31/3/08 / 30/6/08	Peter Turner
CED R037	OD A02 CSO 18	Failure to embed risk management arrangements leads to service/governance failures resulting in reputation/financial loss		Corporate Risk Management Group meets regularly to lead process. Risk champions ACE and PM PfH. Database implemented to facilitate risk management. Annual review of strategic risk programmed for June 2007. Quarterly reviews of departmental risk registers. Risk included in spec for new PM system.	Qtrly Review of Risk Register	31/3/08 / 30/6/08	Peter Turner
CED R039	SC A17 CSO 10 CSO 13 CSO 14 CSO 15	Failure of IT services / Support		Disaster recovery plans in place. Back up and recovery procedures established. Comprehensive testing following implementation and upgrades. Joint forward planning meetings are in place between HBC / NIS relating to system upgrades/software. Business Continuity arrangements being developed	Qtrly Review of Risk Register	31/12/07 / 30/6/08	John Morton
CED R040	SC A16 CSO 17 CSO 23 CSO 24	Failure to retain and recruit key staff		Annual training plans including workforce development programme for management. Rotation of staff within service areas. Re-prioritise workload issues. Operation of flexible working arrangements. Implemented a Home Working Policy. Implemented Compressed Hours Policy.	Qtrly Review of Risk Register	31/12/07 / 30/6/08	John Morton
CED R041	CSO 22	Influence/control of Shared Services arrangements		Implementation of Partnership Governance Framework. Terms and specifications are clearly defined / agreed. Contracts / Arrangements are	Qtrly Review of Risk	31/12/07 / 30/6/08	Mike Ward

APPENDIX A

Risk Register Ref	Dept. Outcome (Ref)	Key risks to achieving departmental service objectives	Priority H/M/L	Procedures/processes/management arrangements/controls in place to mitigate identified risks	Method of Review	Date of Review Last /Next	Responsible Officer
				subject to Performance Management Protocols.	Register		
CED R048	CSO 16	Failure to provide staff with training and effective procedures could result in a lack of service delivery		Violence to staff procedures and guidance issued. Induction training including general personal security awareness training. Use of mobile phones and two way radios for reporting back to supervisor. Use of PPE i.e. whistles alarms etc. Accompanied visits to known potential high risk areas. Checking of the Finance Department potentially violent list before visiting. Development of a Corporate Employee Protection Register.	Qtrly Review of Risk Register	31/12/07 / 30/6/08	Paul Hamilton
CED R049	OD A11	Fraudulent or incompetent data handling leading to inappropriate payments being made to employees resulting in financial loss, investigation, additional administrative work and adverse publicity		Checking system is in place. Access levels to systems restricted. Separation of duties. Compliance with Audit regulations and process subject to audit checks. Training of employees.	Qtrly Review of Risk Register	21/4/08 / 30/6/08	Alison Oxley
CED R050	OD A11	Shortage of skilled staff leading to an inability to fulfil HR commitments resulting in SLA's and/or service standards not being met and some tasks not being undertaken.		Training and development of existing staff (via Appraisal). Rotation of staff within the teams. Access to agency staff. Introduce exit interviews.	Qtrly Review of Risk Register	21/4/08 / 30/6/08	Alison Oxley
CED R051	OD A11 OD A12	Failure to comply with legislation leading to unlawful acts, loss of morale, poor industrial relations and/or accidents to employees, resulting in industrial, criminal or civil action against the Council.		System of consultation and communication with employees and their representatives. Visible senior management commitment by Chief Executive & Performance Management Portfolio holder. Policies and procedures in place and reviewed regularly. Internal resources for advice and monitoring. Access to updates and case law material. Recruitment of competent managers; training in inter-personal and other relevant skills and legislation. Regular training/briefing sessions delivered by competent HR Professionals.	Qtrly Review of Risk Register	21/4/08 / 30/6/08	Alison Swann
CED R052	OD A08	Failure of Contact Centre to improve service delivery		Regular steering group & project leaders meetings to monitor progress against plan. Engagement of departments in prioritising, mapping, re-engineering	Qtrly Review of Risk	21/4/08 / 30/6/08	Christine Armstrong

APPENDIX A

Risk Register Ref	Dept. Outcome (Ref)	Key risks to achieving departmental service objectives	Priority H/M/L	Procedures/processes/management arrangements/controls in place to mitigate identified risks	Method of Review	Date of Review Last /Next	Responsible Officer
				processes. Testing periods integral to implementation. Regular reporting to Elected Members. Public consultation. Staff training programme.	Register		
CED R053	OD A11	Poor recruitment/training/development/retention resulting in a failure to maintain a suitably skilled/experienced/procedure compliant workforce leading to inadequate/inappropriate service delivery/behaviour by employees		Recruitment strategy & policy and pre-employment checks, performance management. Written terms and conditions of service to ensure consistency and equality. Whistleblowing policy, Summary of Conduct for employees. Peer Influence, Constitution. Politically restricted posts. Workforce development planning and training and development for employees at all levels.	Qtrly Review of Risk Register	21/4/08 / 30/6/08	Joanne Machers
CED R055	OD A11	Significant breach of confidentiality and/or personal data security creating poor industrial relations and morale leading to criminal and/or civil proceedings and adverse publicity		Existing system for the release of personal data. Use of secure storage facilities for paper records and information (current and archive). Limited use of electronic communication systems such as e-mail to distribute personal data. Security systems in place for buildings and HR workspaces. Implement any improvements from the Information Security Working Group. Introduction of clear desk policy and procedures, training in relevant procedures and legislation.	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Rachel Clark
CED R056	OD A11	Failure of external suppliers / providers to consistently provide services, leading to HR not delivering services to departments		Service standards included in some contracts e.g. Advertising, Occupational Health. Suppliers assessed for their capability, track record and financial stability.	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Wally Stagg
CED R057	OD A11	Failure to achieve external Income leading to budget reductions resulting in a reduction of staff		Specific resources dedicated to recovery of overpayments and 3rd party income. Account managers for schools in place. To some extent, staffing arrangements reflect permanency of funding. CRB costs curtailed in relation to income. Pension Processing efficiencies implemented.	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Wally Stagg
CED R058	OD A11	Management development programme does not meet objectives, leading to managers not having the necessary competence, capability and knowledge to		"Be the Difference" brand established and recognised across the authority. Phase 3 designed and launched. Monitoring system in place to identify those managers who still need to attend the phase 1	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Wally Stagg

APPENDIX A

Risk Register Ref	Dept. Outcome (Ref)	Key risks to achieving departmental service objectives	Priority H/M/L	Procedures/processes/management arrangements/controls in place to mitigate identified risks	Method of Review	Date of Review Last /Next	Responsible Officer
		fulfil their roles effectively		2 day programme. Monitoring system in place to track individual manager progress through phase 2 Mandatory modules and skills sessions. Clear ownership by CMT. Development programme for new supervisors and team leaders designed and due to be rolled out. Appraisal scheme approved.			
CED R059	OD A11	Failure to integrate equality into all aspects of the Council's work leading to non compliance with legislation and Council aims		Diversity Steering Group in place with detailed action plan. Departmental Equality Groups established. Equality considerations included in service planning arrangements. Level 2 of the Equality standard achieved. External assessment received. Internal Assessment (es@t).	Qtrly Review of Risk Register	31/12/07 / 30/4/08	Wally Stagg
CED R063	CSO 01	Lack of data quality for performance information results in poor decision making and worsening performance		Internal control in place include data Quality Policy, which is reviewed annually, PI coordinator arrangements, programme of reviews of OIs to ensure data quality, fundamental review of PIs in 2007/8, introduction of control sheets as part of Covalent introduction	Qtrly Review of Risk Register	31/3/08 / 30/6/08	Peter Turner
CED R064	CSO 19	Failure to review Insurance Allocations could prevent more targeted risk investment		Review arrangements for charging premiums and establish scope for re aligning budgets to more accurately reflect changing risk patterns. Test/implement/evaluate the impact of any proposed changes	Qtrly Review of Risk Register	29/4/08 / 30/6/08	John Morton
CED R065	CSO 11	Failure to develop arrangements for the centralisation of Financial administration resulting in loss of efficiency savings		several issues have been identified including provision of suitable training, IT concerns, Meeting deadlines, Harmonisation of staff, transitional arrangements and system changes	Qtrly Review of Risk Register	29/4/08 / 30/6/08	John Morton

FINANCE AND EFFICIENCY PORTFOLIO

Report To Portfolio Holder

Date 13th May 2008



Report of: Head of Procurement and Property Services

Subject: PROPOSED LICENCE, DRUG REHABILITATION
CENTRE, WHITBY STREET

SUMMARY

1. PURPOSE OF REPORT

To confirm Portfolio Holder's approval to the proposed licence of part of a Council building.

2. SUMMARY OF CONTENTS

The report outlines the background to the proposal, with proposed licence terms attached to the report in the financial implications section.

3. RELEVANCE TO PORTFOLIO MEMBER

Portfolio Holder has responsibility for the Council's land and property assets.

4. TYPE OF DECISION

Non Key Decision.

5. DECISION MAKING ROUTE

Portfolio Holder only.

6. DECISION(S) REQUIRED

That Portfolio Holder grants authority for the Council to grant a licence subject to the terms proposed.

Report of: Head of Procurement and Property Services

Subject: PROPOSED LICENCE, DRUG
REHABILITATION CENTRE, WHITBY STREET

1. PURPOSE OF REPORT

- 1.1 To confirm Portfolio Holder's approval to the proposed licence of part of a Council building.

2. BACKGROUND

- 2.1 The Drug Rehabilitation Centre is Council owned and services are delivered under the Safer Hartlepool Partnership arrangements.
- 2.2 At present the Hartlepool PCT deliver a specialist substance misuse (drugs and alcohol) service and prescribing facility from the property but they now propose to commission a new party to deliver this service.
- 2.2 A licence is needed to allow the new provider to have some reassurance that rooms will be provided to them to allow the delivery of their service. Additionally, this will indemnify the Council against their use of the building.
- 2.3 Portfolio Holder will recollect that a report was prepared and presented at the Finance and Efficiency meeting of the 9th November 2007. The report here with now sets out the details of the revised occupation of the building on licence.
- 2.4 Matters have moved on since this date and it is proposed that from the 1st May 2008 Intrahealth an Independent Provider from Peterlee will undertake to provide the Substance Misuse Service (SMS) and the General Medical Service (GMS). Additionally there are a number of existing multi agency undertakings within the building and include the Drug Action Team (DAT) and DISC.
- 2.5 The service is part of the Adult Drug Treatment Plan 2008/09 as agreed at Cabinet on the 31st March 2008.
- 2.6 In connection with consultation, the PCT consulted with Neighbourhood Forums, and also presented at the Joint Forum held the 24th January 2007. The scope of the services run from the Drug Rehabilitation Centre is to provide substance misuse services as is currently provided, and additionally, linked GP services will also be provided to ensure a more holistic approach to clients receiving treatment. The GP service element is available to all patients and not

just those receiving treatment for substance misuse. We currently have an informal agreement with the PCT to occupy part of the premises at Whitby Street but recognise that this needs to be formalised as a third party will now be providing the services as outlined under 2.5. Within this service the PCT are also developing a shared service to allow clients to receive treatment at sites other than Whitby Street.

3. FINANCIAL IMPLICATIONS

- 3.1 The financial implications can be found attached at the confidential **Appendix 1. This item contains exempt information under Schedule 12A of the Local Government Act 1972, (as amended by the Local Government (Access to Information)(Variation) Order 2006) namely, Information relating to the financial or business affairs of any particular person (including the authority holding that information).**

4. RECOMMENDATIONS

- 4.1 That Portfolio Holder grants authority for the Council to grant a licence subject to the terms proposed.

FINANCE AND EFFICIENCY PORTFOLIO

Report To Portfolio Holder
13th May 2008



Report of: Head of Procurement and Property Services

Subject: SALE OF FREEHOLD REVERSION, 39
WYNYARD ROAD, HARTLEPOOL

SUMMARY

1. PURPOSE OF REPORT

To obtain Portfolio Holder approval to the proposed sale of the freehold reversion of 39 Wynyard Road, Hartlepool.

2. SUMMARY OF CONTENTS

The report contains background to the proposed transaction including the current lease details, with the financial implications of selling the reversion explored.

3. RELEVANCE TO PORTFOLIO MEMBER

Portfolio Holder has responsibility for the Council's land and property assets.

4. TYPE OF DECISION

Non key.

5. DECISION MAKING ROUTE

Portfolio Holder only.

6. DECISION(S) REQUIRED

That Portfolio Holder approves the proposed sale of the freehold interest in the land subject to the terms proposed.

Report of: Head of Procurement and Property Services

Subject: SALE OF FREEHOLD REVERSION, 39
WYNYARD ROAD, HARTLEPOOL

1. PURPOSE OF REPORT

- 1.1 To obtain Portfolio Holder approval to the proposed sale of the freehold reversion of 39 Wynyard Road, Hartlepool (Plan attached at **Appendix 1**).

2. BACKGROUND

- 2.1 The Council own the freehold interest in the shop premises at 39 Wynyard Road and let the property for a period of 99 years with effect from 30th August 1958 to W. Duncan Limited.
- 2.2 At the time that this lease was granted, 2 other leases were granted on commercial properties at Wynyard Road. The Council has since sold off the freehold of two of the other properties as there is no strategic reason for holding these properties on lease. There is a flat above the shop which is in private ownership.
- 2.3 The Council has now received a request from the lessee of 39 Wynyard Road to purchase the freehold interest in this property and presents the Council with an opportunity to rationalise its property holdings.

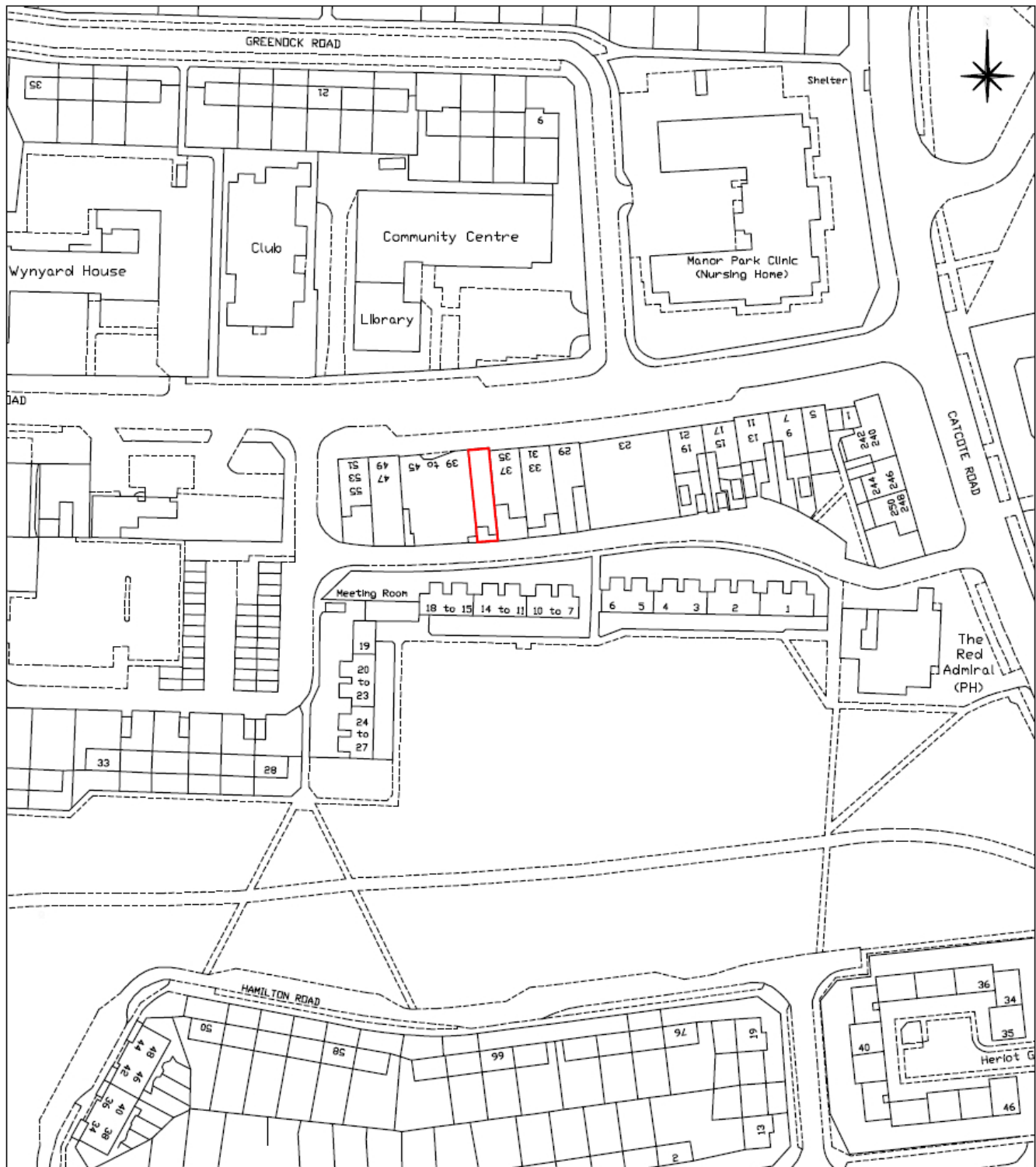
3. FINANCIAL IMPLICATIONS

- 3.1 The financial implications are attached at the confidential **Appendix 2**. **This item contains exempt information under Schedule 12A of the Local Government Act 1972, (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, Information relating to the financial or business affairs of any particular person (including the authority holding that information).**

4. RECOMMENDATIONS

- 4.1 That Portfolio Holder approves the proposed sale of the freehold interest in the land subject to the terms proposed.

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LOCATION 39 Wynyard Road, Hartlepool

DRAWN BY CT **DATE** 24/04/08

SCALE 1:1250

DEED PACKET CE170489

OS MAP NZ 4929NW

DRWG NO E/S/555



HARTLEPOOL BOROUGH COUNCIL
NEIGHBOURHOOD SERVICES DEPARTMENT
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FINANCE & EFFICIENCY PORTFOLIO

Report to Portfolio Holder

13th May 2008



Report of: Head of Procurement and Property Services

Subject: SELLING TO HARTLEPOOL BOROUGH
COUNCIL GUIDE

SUMMARY

1. PURPOSE OF REPORT

To provide an update on the revision of the “Selling to Hartlepool Borough Council – A Guide for Suppliers & Contractors” and to seek the Portfolio Holder’s endorsement.

2. SUMMARY OF CONTENTS

The report highlights the significance of the guide and the Council’s progress to date.

3. RELEVANCE TO PORTFOLIO MEMBER

Portfolio Holder is the procurement champion.

4. TYPE OF DECISION

Non key decision.

5. DECISION MAKING ROUTE

Portfolio Holder only.

6. DECISION(S) REQUIRED

The Portfolio Holder notes the progress made to date and endorses the revised Selling to Hartlepool Borough Council Guide.

Report of: Head of Procurement and Property Services

Subject: SELLING TO HARTLEPOOL BOROUGH
COUNCIL GUIDE

1. PURPOSE OF REPORT

- 1.1 To provide an update on the development of “Selling to Hartlepool Borough Council – A Guide for Suppliers & Contractors” and to seek the Portfolio Holder’s endorsement.

2. BACKGROUND

- 2.1 The Council’s Procurement Strategy is significant in bringing together several national agendas and setting them in a local context.
- 2.2 The main drivers are:
- The National Procurement Strategy and Milestones
 - The Gershon Efficiency Agenda
 - The Council’s Way Forward
- 2.3 A main theme which runs through the above drivers is that Councils should make it easier for businesses of all sizes to work with the Council, which allows the Council to gain access to a broader market place. Additionally a key theme of the National Procurement Strategy of ‘Stimulating Markets’, contained a specific requirement for Councils to publish a “Selling to the Council” guide on its corporate website.
- 2.4 On 8th August 2005 the Portfolio Holder for Performance Management, who at that time was the Procurement Champion, endorsed the first version of the Selling to Hartlepool Borough Council Guide.

3. CONSIDERATIONS

- 3.1 The changes brought about by the Procurement Agenda have already resulted in:
- a revised Procurement Strategy being adopted by the Council,
 - the adoption of a Sustainable Procurement Strategy,
 - revision of the Council’s Contract Procedure Rules, and

- the reviewing, on an ongoing basis, of the procurement guidance included in the “Officers Guide to Procurement”.
- 3.2 In order to meet the objectives and themes in 2 above, a Selling to Hartlepool Borough Council Guide was produced & published on the Councils website in August 2005. The guide has now been revised to take account of:
- changes in the tendering rules included in the Council’s Contract Procedure Rules,
 - the introduction of electronic methods of advertising contracting opportunities,
 - the revision of the Council’s Procurement Strategy,
 - the introduction of Harmonised Contracting Documents across North East Authorities,
 - and the launch of the Council’s Sustainable Procurement Strategy.
- 3.3 The revised version is attached at **Appendix 1** with a foreword by the Portfolio Holder for endorsement as Procurement Champion.
- 3.4 The Selling Guide will be launched at our forthcoming “Meet the Buyer” event and through other supplier communications.

4. RECOMMENDATIONS

- 4.1 The Portfolio Holder notes the progress made to date and endorses the revised Selling to Hartlepool Borough Council Guide.



Selling To Hartlepool Borough Council

A Guide for Suppliers, Service Providers & Contractors

Forward

Foreword by Councillor Robbie Payne, Finance & Efficiency Portfolio Holder and the Council's procurement champion and sustainable procurement champions.

Improving the way in which Councils across the country buy goods and services is a key factor in modernising local government.

Hartlepool Borough Council is working to utilise new procedures and systems to ensure we secure the best services in a cost effective and timely way.

The benefits of taking this approach are clear:

- The Council will improve the efficiency and effectiveness of procurement activity by standardising procedures and implementing Procurement systems.
- The delivery of customer services will be supported by the best available support services and goods, at the best prices.
- Businesses will find it easier to work with the Council, and will gain access to a broader market place.

This strategy seeks to rise to the challenge of a genuinely joined-up approach to Procurement and we fully support the strategy on behalf of our staff, our citizens, and our local businesses.

Councillor Robbie Payne

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Introduction

This guide has been produced to assist suppliers, service providers & contractors who wish to supply Hartlepool Borough Council with goods, materials, agency staff, services or works. In addition the general advice offered within this guide is helpful when bidding for any public contract. It helps in the following ways:

- It outlines the rules that the Council must follow.
- It alerts companies to the opportunities to supply the Council.
- It explains how to bid for Council work.
- It advises of employees within the Council that companies may wish to contact.
- It gives details of organisations that can assist businesses to become e-enabled.

It has also been produced to supplement the Council's standard procedures and ensure we obtain best value for money.

Hartlepool Borough Council encourages competition and welcomes bids from new and established suppliers, both large and small. Contracts are awarded on a value for money basis and whilst the Council cannot discriminate in favour of local suppliers, we are committed to supporting the growth and development of local small and medium sized enterprises (SMEs) and local voluntary and community organisations through the Council's procurement activity.

The benefits of working with the Council are that we are:

- Fair
- Non-discriminatory
- Professional
- A long established organisation
- Prompt to pay

Hartlepool Borough Council aspires to the highest standards of conduct and governance in the discharge of its roles. This affects the conduct of both members of the Council, and its officers, in their dealings with the Council, with the public and with others with whom they have contact in the discharge of the functions of the Council. It also gives rise to an expectation that organisations and individuals upon whom the Council relies for the provision of services, or in the discharge of contractual arrangements, will reflect relevant principles in their contact with the Council, its Members and officers and members of the general public with whom they come into contract.

The Council has produced a statement entitled '[Standards & Partners](#)', for the information of all partners of the Council including contractors, external partners and others who have dealings with the Council, to summarise the principal elements contributing to the attainment of these objectives.

If any company is interested in pursuing business opportunities with the Council, they should respond as requested to an advertisement or contact the officer responsible for that area of business (See the [“How to find out about contract opportunities”](#) page of the [Council’s website](#), to access the Contract Register, which contains details of relevant officers).

About Us

Established in 1996, Hartlepool Borough Council is the second smallest unitary council in England. We serve 88,600 people across the borough and cover 9,390 hectares. As a unitary authority the Council provides a wide range of local government services, from schools and social services to regeneration and refuse collection.

What We Buy

The Council spends around £50m per annum on supplies, services and works. Given the diverse nature of council services, our requirements are varied, ranging from low value – high volume purchases such as stationary and office supplies, through to high value capital works schemes.

The Council deals with contracts of varying types from one-off purchases to contracts for supplies, services or works that will last for a specific period of time before coming up for renewal.

The Importance of Effective Procurement

Effective procurement supports the Council's aims of providing high quality, value for money services which meet the needs of residents both now and in the future.

The importance of procurement is recognised in our [Procurement Strategy](#) and [Sustainable Procurement Strategy](#). These highlight the contribution effective procurement makes to the achievement of our priorities, policy objectives and in the provision of quality services.

Increasingly we are looking to deliver and improve our services through collaboration with other public sector bodies and by forging partnerships with private or voluntary sector suppliers.

North Eastern Purchasing Organisation

The Council is a member of the [North Eastern Purchasing Organisation](#) (NEPO). NEPO is a local government purchasing consortium of 11 councils in the north east of England. The other full member authorities are Durham County, Gateshead, Middlesbrough, Newcastle, North Tyneside, Northumberland County, Redcar and Cleveland, South Tyneside, Stockton-on-Tees and Sunderland.

NEPO provides the North Eastern Councils with a means of pooling purchasing knowledge and expertise and of gaining savings through aggregated contracts and co-ordinated purchasing. Gateshead Council arranges and administers all of the consortium's contracts which have an annual value in excess of £90m.

Where the Council has agreed to be involved in a particular NEPO contract it will not let contracts for similar goods during the lifetime of the NEPO contract.

Our Procurement Procedures & Regulations

Local Rules

As a public authority we have a duty to operate in an open and transparent way by allowing the market freedom of opportunity to trade with us. Our procedures for purchasing are known as 'Contract Procedure Rules'. These procedures are important for the following reasons:

- They give a legal and auditable framework to our procurement activities
- They help us obtain value for money so that we may in turn provide value for money services to the public
- They ensure that we comply with the law governing the spending of public money
- They protect our staff and members from undue criticism or allegation of wrongdoing.

A summary of our main procurement procedures is set out below:

- For purchases under £5,000 reasonable enquiries must be made to determine that the price is fair and reasonable.
- For works contracts between £5,000 and £50,000 and goods and services contracts between £5,000 and £25,000 competitive quotations must be obtained from at least three contractors or, if this is not possible, from all capable contractors.
- For works contracts over £50,000 and goods and services contracts over £25,000 formal competitive tenders must be invited from at least four contractors or, if this is not possible, from all capable contractors.
- The limits detailed above are subject to review.
- Where an approved list of contractors is maintained the minimum of three quotations, or four tenders, may be invited from the contractors on the list. Further information is given on page 9 of this guide on how to apply to be included of the Council's select lists.

National and European Rules

We have a legal requirement to comply with the EU Public Procurement Directive (2004/18/EC), which was introduced in Europe on 21 May 2004. This Directive was incorporated into UK Law as the Public Contract Regulations 2006 (S.I. No.5). This legislation governs the way in which the public sector procurement process must be conducted for contracts over certain specified thresholds.

As of 1st January 2008 these thresholds stand at £139,893 (€206,000) for supplies and services and over £3,497,313 (€5,150,000) for works contracts.

The Directive & Regulations aim to simplify, clarify and update the previous EC rules, which should help both government & suppliers, while improving competition throughout the marketplace, and are based on the following principles:

- A specific Tender Notice must be placed in the supplement to the Official Journal of the European Union (OJEU) to give all suppliers in the EU an equal opportunity to tender. Advertisements may also be placed in the national and local press and specialist journals as the purchaser feels necessary.
- Tenders must be invited from at least five contractors in accordance with one of the prescribed procedures (open, restricted, negotiated – there are also two separate urgency procedures). Each procedure imposes minimum time-scales covering the tender activities to ensure that reasonable time to respond to adverts and prepare submissions is given to interested parties.
- All enquiries must receive equal treatment in order to eliminate discrimination on the grounds of nationality of the contractor or the origin of the supplies, services or works.
- All supplier selection, tendering and award procedures must involve the application of objective and transparent criteria.
- A notice of contract award must be placed in OJEU and unsuccessful contractors must be debriefed if requested.

All public sector contracts within the European Union, no matter their value, are covered by a treaty which incorporates the free movement of goods and services and which prevents discrimination against firms on the grounds of nationality.

How to Find Out About Our Contract Opportunities

Details of the Council's current call-off and framework contracts (including their review dates) and forthcoming contracts can be viewed on the Council's Contract Register by clicking [here](#) to access the "How to find out about contract opportunities" page of the [Council's website](#).

The Council maintains select lists of contractors for specific categories of work. Details of the select lists can be viewed, and an application form obtained, by clicking [here](#) to access the "Select Tenderers List" page of the [Council's website](#).

Contracts and invitations to companies to be considered for inclusion on a select list may also be advertised in the local press (e.g. the Hartlepool Mail, Evening Gazette or Northern Echo) and/or in one or more specialist, trade or professional journals. Advertisements are also published on the [Council's website](#), which can be viewed by clicking [here](#) to access the "Advertisements for Forthcoming Contracts" page, and on the Government Opportunities Portal [Supply2.gov.uk](#), where suppliers can register to receive details of forthcoming contracts from various Local Authorities in their area.

Goods and services contracts over £139,893 (€206,000) and works contracts over £3,497,313 (€5,150,000) are advertised in the Official Journal of the European Union (OJEU). These contracts can be viewed at [www.ted.eur-op.eu.int](#)

Opportunities to supply North Eastern Councils through NEPO can be viewed at <http://www.nepoportal.org/>. Companies wishing to be included on an approved NEPO list should contact Gateshead M.B.C on telephone 0191 433 5999.

Understanding Our Tendering Process

Informal Contract (Quotations) Procedures

The Contract Procedure Rules of the Council's Constitution allow for informal procedures to be employed where contracts are for limited amounts.

Contracts for under this minimum limit (£5,000) may be implemented without following the tender process so long as reasonable enquiries are made to determine that a price is fair and reasonable.

Contracts for over the minimum limit and below the maximum limit (£50,000 for works contracts and £25,000 for goods materials or service contracts) may be implemented so long as three competitive quotations are obtained. As noted on page 7, these limits are subject to review.

Formal Contract Procedures

Where the value of the contract is greater than the maximum limit for informal contract procedures, the tendering process must be followed.

Where there is a relevant Select List of Contractors for the nature of work or service involved, the Council will invite a number of contractors from the list to indicate whether they are interested in tendering for the work. Where there is no Select List of Contractors the invitation to Tender Procedures will apply.

Selected Tenderers Lists

We maintain select lists of contractors for specific categories of work. These are used to eliminate the repetitive application of the advertising and selection process, where there is a regular or periodic requirement to invite tenders or quotations. Details of the select lists can be viewed by clicking [here](#) to access the "Select Tenderers List" page of the [Council's website](#).

Our select lists contain the names of potential suppliers who meet our minimum standards of financial standing, technical competence and Health and Safety (where appropriate). Acceptance onto a select tenderer list enables quotations or tenders to be sought from those on the list without any further pre-qualification. The lists are periodically reviewed.

Call-Off & Framework Contracts

Many of our supply contracts will be in the form of a 'call-off contract' or 'framework contract'. Call-off contracts allow orders to be placed over the period of the contract to meet the needs of Council departments. Framework contracts allow the Council to identify a number of companies that have successfully met the standards in open competition, which the Council can then place orders with over the period of the contract without the need to use the tender process each time.

Price / Performance Contracts

This type of contract is employed where it is appropriate for the contract to be awarded on the basis of a combination of price and performance and for which a price/performance ratio has been determined.

Contractors invited to tender will be required to provide method statements, or similar documents, relevant to the contract (together with other information) with their tender submission in order to assess quality issues.

An Agreed Marking Mechanism will be applied to calculate the Price/Performance Score of each tender submitted, and the contract will be awarded to the contractor with the highest Price/Performance Score.

Partnering Contracts

Where circumstances dictate, the Council may indicate that a contract is to operate as a Partnership Contract. A Partnership Contract is one where the following provisions all apply:

- The establishment of a partnering team.
- The stipulation of a pricing policy, stating the prices to be charged by the contractor.
- A facility for the Council to examine all aspects of the contractors accounts for the contract.
- A Savings Sharing Formula being applied for the sharing between the contractor and the Council of savings achieved within the Partnership Contract.

Contractors invited to tender will be required to details of their proposed overheads, profit element, net project cost and preliminaries costs relevant to the contract with their tender submission.

An Agreed Marking Mechanism will be applied to calculate the Partnering Score of each tender submitted, and the contract will be awarded to the contractor with the highest Partnering Score.

Harmonised Contracting Documents

As part of the work of Regional Centres of Excellence, Hartlepool Borough Council have been working with the North East Centre of Excellence (NECE), on a project designed to produce a range of standard (harmonised) documents which will be used by all NE Local Authorities.

The key aim of this project was to replace the myriad of separate Local Authority contracting documentation, with a set of simplified & standardised documents, effectively reducing red tape for potential suppliers, providers & contractors. The anticipated benefits of this project being to:

- “Simplify the tender process, reducing inconsistencies, duplication and bureaucracy to deliver time and money savings for both suppliers and procurers.
- Incorporate sustainability considerations in order to realise the greater contribution to well-being objectives within procurement decisions.”

This project is now completed and the resultant harmonised documents were launched at 2 events organised by the NECE on the 10th & 11th March 2008, and they were adopted by Hartlepool Borough Council on 12th March 2008, for use on all procurement exercises that commenced on or after that date.

Invitation to Tender Documents

If you are successful in an application for inclusion on a select list, or where we are following an open tendering procedure, we will forward a set of invitation to tender documents to you. These documents will consist of all or some of the following:

- Instructions to Tenderers: provides guidance for completing the tender documentation including the deadline for tender submission.
- Specification: sets out what needs to be achieved including policies, procedures or guidelines to be followed.
- Terms and Conditions of Contract: defines how the Council will let contracts and the rules tenderers must comply with.
- Form of Tender: your company's agreement to our terms and conditions of tender.
- Pricing Schedule (Appendix to Form of Tender): the document where your prices should be entered.
- Any relevant supporting information: such as plans, drawings, etc.

Tenders

All tenders must be submitted in a plain sealed envelope addressed to the Chief Executive, Civic Centre, Hartlepool, TS24 8AY and marked "Tender for (description of the contracts)" and without any mark revealing the tenderer's identity. All envelopes containing tenders will be held by the Chief Executive and opened at the same time. Any tender received after the deadline will not be considered.

Tender Evaluation & Contract Award

Returned tenders will be evaluated against the pre-determined criteria. Evaluation will focus on examining how the tender proposals will deliver the service (quality) and the cost of the service (price). The balance between quality and price will depend on the particular service area. Normally the Council will award the contract on the basis of the most economically advantageous tender. The successful tenderer will be notified in writing by letter or official electronic communication.

Debriefing

Within the limits of commercial confidentiality, the Council will always endeavour to offer unsuccessful tenderers feed-back to on why their bid has failed. This information can be used to help with any future bids' as being unsuccessful in one contract does not mean that a company will be unsuccessful in future.

NEPO Tenders

All NEPO contracts will be advertised and will be subject to competitive tenders being obtained. Tender documents will be prepared by Gateshead and will provide details of the requirements of the participating authorities. Tenders will be issued under the banner of the North Eastern Purchasing Organisation.

Other Considerations

Equality & Diversity

The Council strongly supports equal opportunity, equal access and positive outcomes for all sections of the community. The Council aims to ensure that organisations that provide services on behalf of the member authorities comply with equal opportunities legislation and promote equality of opportunity. It also aims to encourage those organisations and individuals with which it does business to observe and adhere to the principles contained within the Council's Equality & Diversity Policy.

Environment & Sustainability

The Council is committed to protecting our local environment and ensuring a better quality of life for everyone – now and for future generations. In order to promote this the Council takes account of its Local Sustainable Development Strategy as part of its procurement strategy. This approach is equally reflected in the Council's [Sustainable Procurement Strategy](#).

Health & Safety

Depending upon the nature of the goods or services, organisations may be required to submit a Health and Safety policy signed by a senior person, which refers to Health and Safety legislation.

Social Enterprises / Voluntary Sector

The Council is committed to supporting its Community Strategy within the procurement process. The Community Strategy provides the basis from which the Council can determine its own contribution to the longer term economic and social well-being of the local community. In order to promote this the Council takes account of the Community Strategy aims when tenders or quotations are received. The Council welcomes submissions from Local Community Groups, Voluntary Organisations and other Social Enterprises wherever possible.

The Freedom of Information Act

Hartlepool Borough Council is subject to the provisions of the Freedom of Information (FOI) Act. The Act gives a general right of access to all types of recorded information held by public authorities, sets out exemptions from that right and places a number of obligations on public authorities.

Requests for Information

From January 2005, any person making a request for information to the Council must be informed in writing whether or not the authority holds the information sought and, if so, to have access to that information, subject to exemptions.

Requests must be made in writing to Alyson Carman (see the contacts section on page 18). The Council then has 20 working days following receipt of the request to respond.

Impact of FOI on Tender Confidentiality

Suppliers tendering for council business should be aware that under FOI the value of contract awards and other information could be disclosed.

However, the FOI Act also provides for certain types of information, including confidential information and commercially sensitive material held by public bodies, to be withheld from disclosure:

- In general, sensitive tender information is required to be kept confidential at all stages, especially during the periods prior to tender opening, during tender evaluation and after the contract is awarded.
- Suppliers should always highlight in their tender documentation any information that they would not want disclosed, particularly under FOI.
- Under the EU Directives, certain information can be withheld by buyers, but only under certain circumstances and only with justification.

If the Council was to propose to release information against a supplier's wishes, the supplier has a right to appeal, to the Information Commissioner in the first instance. They can of course seek legal redress.

E-Procurement

Moving To Electronic Trading

The Council, like many large public and private sector organisations, is keen to obtain the benefits of trading electronically with its suppliers. The Government is driving Councils to adopt electronic procurement to improve efficiency. Electronic procurement (E-Procurement) is the term that the Council uses to describe a fully electronic procure-to-pay process from initial requisitioning and ordering through to invoicing and payment.

In any organisation procurement can be expensive and the need to audit and control this activity can be time-consuming and bureaucratic. E-Procurement automates and simplifies this process which reduces costs. For large organisations, major cost savings and administrative efficiencies can be realised.

Benefits for Suppliers

E-Procurement helps suppliers just as much as buyers, as it removes the majority of the paper-based activities relating to processing an order and getting paid, releasing valuable time for sales and other activities. Without pieces of paper to get lost in the post or mislaid, supplier invoices are turned around and settled quickly. Other benefits include:

- Improved technology capability giving competitive advantage and a wider exposure to new markets
- Improved transaction speed and accuracy
- Reduced manual intervention
- Lower processing and administration costs
- Reduced paper usage
- Improved customer relationships and satisfaction

How E-Procurement Works

- In future when a council buyer wants to purchase something from a supplier, they will either 'log on' over an internet connection, look at your web catalogue, click on the desired products/services and send the order electronically or select from an electronic catalogue held on our system or the NEPO system.
- The supplier will receive the order via email.
- The supplier enters the information into their accounting package or they can use software to integrate the information, saving time re-typing.
- The invoice can be emailed back into the council's financial system.
- The financial system automatically matches the invoice to the order and generates payment by BACS.
- No paper, no errors, no delays, no chasing for payment.

Types of E-Procurement

- **E-Purchasing:**
To automate and extend manual buying processes from the creation of a requisition through to the payment of suppliers. It encompasses back office systems, e-marketplaces and portals and supplier websites.
- **E-Tendering:**
Systems or solutions to enable the tendering process to be conducted via the Internet. Including advertisement of requirement, documentation production, supplier registration, electronic exchange of documents between supplier and buyer, opening of tenders, evaluation of submissions, contract award and publication.
- **E-Auctions:**
The means of carrying out purchasing negotiations via the Internet. A real time event that occurs online allowing multiple suppliers in different geographic locations to place and modify bids simultaneously.
- **Procurement Cards:**
Charge cards which work in a similar way to credit cards and can be used to purchase goods and services. Can be open to use by any suppliers or have controls placed upon them by the issuer to limit their use to certain suppliers and/or commodities. They are usually used to process low-value, high-volume transactions.

Business Development Advice & Opportunities

Business Support from Hartlepool Borough Council

The Council, through the Economic Development Team, directly provides a range of Business Support Services to attract new business and help existing businesses to expand. The Business Support Team works closely with other agencies to deliver a number of initiatives including:

- Financial assistance to start up or expand businesses
- Assistance towards developing markets
- Organising local buying initiatives and meet the buyer events
- Advice and guidance to new start businesses
- Participation in the Hartlepool Business Directory
- Access to Business Link Tees Valley

For further details, telephone 01429 523511 or visit www.investinhartlepool.com

ICT Support from Business Link North East

Getting your Information and Communication Technology (ICT) systems right can have a dramatic effect upon profitability and success. If you need help to develop your ICT strategy, from turning your website into an online marketing campaign to implementing a robust network that won't break when a server fails, then Business Link can help.

Business Link North East provides free independent advice on all aspects of information technology including areas such as:

- Software sourcing
- Supplier sourcing
- Hardware and network specification
- Website specification
- Using broadband technology
- Database development
- CRM systems
- How to trade online

For further information, telephone 0845 600 9006 or visit www.businesslinknortheast.co.uk

Contacts for Further Information & Advice

Procurement Unit

Mic Bannister
Procurement Strategy Officer
Hartlepool Borough Council
Leadbitter Buildings
Stockton Street
Hartlepool TS24 7NU
Tel: 01429 523120, Fax: 01429 523899
Email: mic.bannister@hartlepool.gov.uk

Freedom of Information Advice

Alyson Carman
FOI Contact Officer
Hartlepool Borough Council
Civic Centre
Victoria Road
Hartlepool TS24 8AY
Tel: 01429 523182, Fax: 01429 523481
Email: alyson.carman@hartlepool.gov.uk

Economic Development Advice

Mick Emerson
Principal Economic Development Officer (Business)
Hartlepool Borough Council
Bryan Hanson House
Lynn Street
Hartlepool TS24 7BT
Tel: 01429 523511, Fax: 04129 523516
Email: mick.emerson@hartlepool.gov.uk

On-Line Information

There is a widening range of information about tendering, public sector procurement and finance on the Internet. These include information from central government departments, non-profit organisations, tender alert service providers and commercial resellers of tender information. Many of these sites are dynamic in that their content is frequently updated to reflect new legislation and current tender opportunities and, for these reasons, they are always worth revisiting. The following list is by no means exhaustive.

BIP Contracts

www.bipcontracts.com

A contract information service providing a wider coverage of the public sector contracts required by national and international departments, local authorities, police, health and fire services. It also has a range of useful briefing notes on related issues.

UK Government Online

<http://www.direct.gov.uk>

Direct.gov.uk is the easy way to access government services on the internet. It guides you through more than 900 government websites to get information you need quickly and efficiently. It is a key part of the UK online initiative.

Informed Publications Limited

www.infopub.co.uk

This site contains more than 1600 different Information and Communication Technology (ICT) products or services that are, or can be, used by local authorities. Submitting a product to the database is free.

Tenders Direct

www.tendersdirect.co.uk

This site provides access to over 30,000 current government and utility company contracts in the UK and Europe. The database is updated with 400 new tender notices everyday.

SIMAP

<http://simap.eu.int>

SIMAP aims to support an effective Single Market by encouraging suppliers and contracting entities to adopt best practices and use electronic commerce and information technology to provide all the information needed to deliver value for money in public procurement.

Tenders on the Web

www.tenders.co.uk

This service states that it delivers £480 billion worth of business opportunities and 150,000 contract notices per year. The site provides advice on tendering and EU procurement directives.

FINANCE AND EFFICIENCY PORTFOLIO

Report to Portfolio Holder
13th May 2008



Report of: Director of Adult and Community Services

Subject: HARTLEPOOL MARITIME FESTIVAL 2008 –
REQUEST FOR WAIVER OF CONTRACTUAL
PROCEDURE RULES

SUMMARY

1. PURPOSE OF REPORT

To request that the Portfolio Holder endorse – for this instance only – a waiver of the contractual procedure rules as they relate to a specific instance (hire provision of staging and audio equipment and operation) that has arisen in operations for this year's Hartlepool Maritime Festival [HMF 2008]. Doing this would formalise an existing commitment.

2. SUMMARY OF CONTENTS

The following report makes a request to the Portfolio Holder for the endorsement of a one-off waiver, and supports this request by providing full details of the instance in question.

3. RELEVANCE TO PORTFOLIO MEMBER

Financial regulations are within the Portfolio Holders remit.

4. TYPE OF DECISION

Non Key.

5. DECISION MAKING ROUTE

Finance and Efficiency Portfolio meeting 13 May 2008.

6. DECISION REQUIRED

The Portfolio Holder is requested to:

- Outline and endorse this single quote for the provision of stage and audio equipment and its operation.
- Acknowledge that full training has been given to avoid a repeat of the outcome.

Report of: Director of Adult and Community Services

Subject: HARTLEPOOL MARITIME FESTIVAL 2008 –
REQUEST FOR WAIVER OF CONTRACTUAL
PROCEDURE RULES

1. PURPOSE OF REPORT

- 1.1 To request that the Portfolio Holder endorse – for this instance only – a waiver of the contractual procedure rules as they relate to a specific instance (hire provision of staging and audio equipment and operation) that has arisen in operations for this year's Hartlepool Maritime Festival [HMF 2008]. Doing this would formalise an existing commitment.

2. BACKGROUND

- 2.1 The Hartlepool Maritime Festival has been running on a biennial basis, and the 2008 festival will be the fifth in a series.
- 2.2 Organising and operating the festival entails the use of specialist contractors for areas such as performance staging and audio equipment. Hence as the festival has evolved, so have its processes for securing these services.
- 2.3 With the prospect of The Tall Ships Races coming to the Hartlepool in 2010, and the major public investment it represents. This year's festival will be delivered from two sites with a duplication of staging requirements. The specialist nature of this requirement has previously been met by a locally based audio company with good result. The current quotation for complete provision and operation of three stages including erection, lighting, sound equipment and sound/lighting desk operation amounts to c £12,500.
- 2.4 The sourcing of such equipment, whilst specialist, should have been tested by obtaining additional quotes from the region. On this occasion this has not happened and sourcing and confirmation of supply from the existing supplier is well underway.
- 2.5 Officers are confident that the current specialist has provided a competitive market price for the total package, furthermore, the previous delivery at earlier festivals have been exemplary. Nevertheless, it is recognised that three quotes should have been obtained and this has not occurred. Full contractual procedure rules and awareness of the new regulations and guidelines has now been provided to the staff concerned.

3. DETAILS OF PROPOSED SCHEME

- 3.1 It will be noted that the pre-existing contract for providing performance staging to the Hartlepool Maritime Festival is in place, and this year will represent the provision of services that – being quoted at c £12,500, fall within the contractual procedure rules £5,000 to £25,000 envelope.
- 3.2 Typically such awards should happen after three written quotations have been obtained wherever possible.
- 3.3 On this occasion the contract was awarded after only one quotation had been sought.
- 3.4 Non adherence to the regulation took place because:
- The officers involved are new in post and only received the training that generated their awareness of the procurement limits after the commencement of arrangements for this year have been put in place;
 - The company awarded the staging contract – ‘Company A’ – offers a virtually unique combination of previous experience at the Festival, an understanding of the Festivals needs, and access to a suitable range of subcontractors to fulfil the contract;
 - Measures will be put in place (such as seeking three written quotations for goods and services valued at between £5,000 and £25,000 – as per the revised contract procedure rules) for all future events.
- 3.5 Therefore, it is requested that the Portfolio Holder notes this non adherence to the standing procurement regulations, and gives retrospective permission for the existing contract on a one off basis.

4. FINANCIAL IMPLICATIONS

- 4.1 The investment required to provide the performance staging has been assessed in previous years for the public value it represents and this is considered to be a competitive price.

5. RECOMMENDATIONS

- 5.1 The Portfolio Holder is requested to:
- Authorise and endorse this single quote for the provision of stage and audio equipment and its operation.
 - Acknowledge that full training has been given to avoid a repeat of the outcome.

CONTACT OFFICER: Stephen Cashman, Strategic Arts Manager