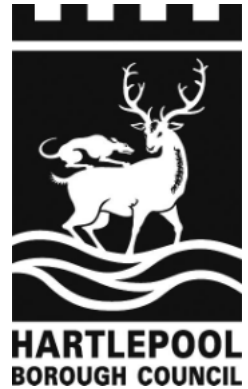


CABINET AGENDA



Monday 14th December 2009

at 9.00 am

in Committee Room B, Civic Centre, Hartlepool

MEMBERS: CABINET:

The Mayor, Stuart Drummond

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

1. APOLOGIES FOR ABSENCE

2. TO RECEIVE ANY DECLARATIONS OF INTEREST BY MEMBERS

3. MINUTES

To receive the Record of Decision in respect of the meeting held on 30th November 2009 (previously circulated)

4. BUDGET AND POLICY FRAMEWORK

4.1 Service Planning Update for 2010/11: Proposed Outcomes – *Assistant Chief Executive*

5. KEY DECISIONS

5.1 Building Schools for the Future (BSF) Information and Communications Technology (ICT) Procurement of a Managed Service – *Director of Child and Adult Services*

- 5.2 Hartlepool Strategic Housing Land Availability Assessment (SHLAA) –
Director of Regeneration and Neighbourhoods
- 5.3 North East Regional Loans Scheme for Private Sector Housing Improvements
– *Director of Regeneration and Neighbourhoods*

6. OTHER ITEMS REQUIRING DECISION

- 6.1 Partnering Arrangements for Services Provided by Housing Hartlepool at the
Community Monitoring Centre – *Director of Regeneration and
Neighbourhoods*
- 6.2 Draft National Policy Statement for Nuclear Power Generation – *Director of
Regeneration and Neighbourhoods*
- 6.3 Local Development Framework Annual Monitoring Report 2008/2009 –
Director of Regeneration and Neighbourhoods

7. ITEMS FOR DISCUSSION / INFORMATION

- 7.1 Tees Valley Regeneration Ltd – *Chief Executive*
- 7.2 Quarterly Review of Strategic Risk Register – *Assistant Chief Executive*
- 7.3 Drug Needs Assessment – Emerging Issues – *Director of Regeneration and
Neighbourhoods*

8. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

- 8.1 Formal Response to the Executive's Initial Budget and Policy Framework
Consultation Proposals for 2010/11 - *Scrutiny Co-ordinating Committee*

CABINET REPORT

14 December 2009



Report of: Assistant Chief Executive

Subject: Service Planning Update for 2010/11: Proposed Outcomes

SUMMARY

1. PURPOSE OF REPORT

To enable Cabinet to discuss the proposed outcomes to be used as the framework for developing departmental plans and the Corporate Plan for 2010/11.

2. SUMMARY OF CONTENTS

This report details the changes made to the Council's Service Planning Framework for 2010/11 and includes the list of proposed outcomes for discussion.

3. RELEVANCE TO CABINET

The proposed outcomes form part of the Council's overall service planning and budget arrangements, which for reporting purposes is part of the Council's Budget and Policy Framework. The Council's Corporate Plan is drawn from the Service Planning Framework, and this is a key document that sets out the Council's priorities and contribution to achieving the Community Strategy aims. The Corporate Plan is developed in conjunction with the Local Area Agreement (LAA) to ensure the outcomes included in the Local Area Agreement are embedded in the Council's Corporate Plan.

The Corporate Plan is an important document because it formally communicates the council's vision and priorities.

4. TYPE OF DECISION

Budget and Policy Framework.

5. DECISION MAKING ROUTE

Scrutiny Coordinating Committee has considered the list of proposed outcomes at their meeting on the 11th December and a verbal update will be provided at this

meeting. More detailed proposals, including actions, performance indicators and risks that underpin each outcome will be developed and considered by the service Scrutiny Forums and Coordinating Committee in March 2010.

Cabinet and Scrutiny Coordinating Committee will then be asked to consider the proposed Corporate Plan in July 2010.

6. DECISION(S) REQUIRED

Cabinet is asked to consider the proposed Corporate Plan Outcomes and suggest any revisions.

Report of: Assistant Chief Executive

Subject: Service Planning Update for 2010/11: Proposed Outcomes

1 PURPOSE OF REPORT

- 1.1 To enable Cabinet to discuss the proposed outcomes to be used as the framework for developing departmental plans and the Corporate Plan for 2010/11.

2 BACKGROUND

- 2.1 The departmental plans and Corporate Plan are for the 3 years 2008/09 to 2010/11. This coincides with the Local Area Agreement and the Government's Comprehensive Spending Review and allocation of funding to local government which is reflected in the Council's own Medium Term Financial Strategy.
- 2.2 The Corporate Plan is the Council's top-level plan. It sets out the Council's top priorities and contributions for delivering the Community Strategy aims in 2010/11. Progress is reported regularly to Cabinet and Scrutiny Coordinating Committee throughout the year. The Corporate Plan is an important document because it formally communicates the Council's vision and priorities.
- 2.3 As in previous years, the focus of the Corporate Plan for 2010/11 is on the top priority activities for improvement rather than day to day service delivery. Additional improvement and service delivery priorities are picked up through Departmental Plans which are reported to individual portfolio holders.
- 2.4 Although the Service Planning Framework has been amended slightly this year proposals will still be considered by each of the Scrutiny Forums in March 2010 and both Scrutiny Coordinating Committee and Cabinet will be involved throughout the production of the Corporate Plan. Further details on the changes made to the Framework can be found below.

3 THE SERVICE PLANNING FRAMEWORK

- 3.1 The Service Planning Framework has been amended slightly in order to: -
- Simplify arrangements
 - Provide a clearer framework for service planning
 - Further integrate arrangements for service planning for the Council and the Hartlepool Partnership
- 3.2 The four key elements of the framework and plans will remain unchanged – outcomes, actions, Performance Indicators (PIs) and risks. The Council's service

planning framework is based on having a clear set of outcomes that the Council is working towards achieving.

- 3.3 Service Planning for the last 2 years has been based on a common set of outcomes shared by the Council in the departmental and Corporate Plans and by the Hartlepool Partnership in its Local Area Agreement (LAA). The departmental and Corporate Plans have included a small number of additional outcomes that do not form part of the LAA. These have been reviewed as part of the 2010/11 Service Planning process and can be seen at **Appendix A**.
- 3.4 At this stage only the proposed outcomes have been developed, which will form the framework from which the Corporate Plan and all Departmental Plans will be derived. Once these outcomes have been agreed further work will be undertaken to develop the actions that will underpin the Outcomes, and which will ultimately appear in the Service Planning documents. These actions will be brought back to Scrutiny Coordinating Committee and Cabinet for discussion in March 2010.
- 3.5 2010/11 is the final year of the existing three year LAA. Service Planning for future years will include a more thorough review of the existing outcome framework, enabling further alignment with proposals for a new LAA.
- 3.6 As in previous years scrutiny and executive Members will have a number of opportunities to discuss proposals throughout the planning process and ultimately will be asked to agree the Corporate Plan and all Departmental Plans later in 2010.

4 PROPOSED OUTCOMES 2010/11

- 4.1 Council Officers from across all Departments have identified the Outcomes that will form the basis for the Service Planning Process in 2010/11. The list of proposed outcomes is attached at **Appendix A**. The majority of outcomes are shared with the Local Area Agreement and will be reviewed next year upon completion of the current 3 year LAA period. There are a small number of additional outcomes that are proposed to complete the Outcome Framework for 2010/11.
- 4.2 The proposed list is not a final definitive list. Officers will continue to review the outcomes over the coming months and will propose amendments, if appropriate and if changing priorities demand it. Any proposed changes to the list of outcomes will be brought to Cabinet and Scrutiny Coordinating Committee for consideration. In addition to this the next stage of the process is to identify those key actions, performance indicators and risks that underpin the outcomes.

5 NEXT STEPS

- 5.1 The key dates for completing the plan are as follows: -
- 5.2 The Scrutiny Forums, Coordinating Committee and Cabinet will be asked to consider a more detailed Outcome Framework in March/April 2010, including key actions, performance indicators and risks that underpin each Outcome.

- 5.3 Cabinet and Scrutiny Coordinating Committee will then be asked to consider the proposed Corporate Plan in July 2010.

APPENDIX A

Service Planning 2010/11 – Proposed Outcomes

Jobs and the Economy

LAA	Proposed Outcome	Lead Officer	Lead Department/Division
Yes	Attract Investment	Israr Hussain	Regeneration and Neighbourhoods
Yes	Be globally competitive	Mick Emerson	Regeneration and Neighbourhoods
Yes	Create more employment opportunities for local people	Patrick Wilson	Regeneration and Neighbourhoods
Yes	Achieve economic wellbeing for all children and young people ensuring that they are prepared for working life (Every Child Matters)	Tom Argument	Child and Adults
No	Promote Hartlepool's interests in economic regeneration policy making at the national, regional and sub-regional levels	Derek Gouldburn	Regeneration and Neighbourhoods
No	Support and promote appropriate physical and economic regeneration and pursue external funding opportunities	Andy Golightly	Regeneration and Neighbourhoods

Lifelong Learning and Skills

LAA	Proposed Outcome	Lead Officer	Lead Department/Division
Yes	Enjoy and Achieve (Every Child Matters)	Caroline O'Neill	Child and Adults
Yes	Provision of high quality learning and skills opportunities that drive economic competitiveness, widen participation and build social justice	Diane Martin	Regeneration and Neighbourhoods
No	Transform teaching and learning opportunities, supported by £100m+ investment from Building Schools for the Future and Primary Capital Programme	Caroline O'Neill	Child and Adults

Health and Wellbeing

LAA	Proposed Outcome	Lead Officer	Lead Department/Division
Yes	Improved Health	Louise Wallace	Child and Adults
Yes	Be Healthy (Every Child Matters)	Louise Wallace	Child and Adults
Yes	Exercise of choice and control and retention of personal dignity	Jill Harrison	Child and Adults
Yes	Improved Mental Health and Wellbeing	Beverley Thompson	Child and Adults
Yes	Easier Access to Services	Jill Harrison	Child and Adults

Community Safety

LAA	Proposed Outcome	Lead Officer	Lead Department/Division
Yes	Reduced Crime	Brian Neale	Regeneration and Neighbourhoods
Yes	Reduced harm caused by illegal drugs and alcohol	Chris Hart	Regeneration and Neighbourhoods
Yes	Improved neighbourhood safety and increased public confidence, leading to reduced fear of crime and anti-social behaviour	Sally Forth	Regeneration and Neighbourhoods
Yes	Reducing offending and re-offending	Chris Catchpole	Regeneration and Neighbourhoods
Yes	Stay Safe (Every Child Matters)	Sally Robinson	Child and Adults

Environment

LAA	Proposed Outcome	Lead Officer	Lead Department/Division
Yes	Deliver sustainable communities through high quality planning, new build and sensitive conservation and protect and enhance the local natural environment	Sarah Scarr	Regeneration and Neighbourhoods

Yes	Improve the quality of the local environment by having cleaner, greener and safer public, private and community spaces	Albert Cope	Regeneration and Neighbourhoods
Yes	Provide a sustainable safe, efficient, effective and accessible transport system	Mike Blair	Regeneration and Neighbourhoods
Yes	Make better use of natural resources and reduce the generation of waste and maximising recycling	Colin Ogden	Regeneration and Neighbourhoods
Yes	Prepare for the impacts of and secure local and global action to tackle climate change	Sylvia Tempest	Regeneration and Neighbourhoods
Yes	Promote community involvement in positive action to reduce poverty through fair trade and promoting peace and security	Sylvia Tempest	Regeneration and Neighbourhoods

Housing

LAA	Proposed Outcome	Lead Officer	Lead Department/Division
Yes	Balancing Housing supply and demand	Nigel Johnson	Regeneration and Neighbourhoods
Yes	Improving the quality of existing housing	John Smalley	Regeneration and Neighbourhoods
Yes	Changing housing needs and meeting the Housing Needs of Vulnerable People	Nigel Johnson	Regeneration and Neighbourhoods
No	Better Access to Housing	Lynda Igoe	Regeneration and Neighbourhoods

Culture and Leisure

LAA	Proposed Outcome	Lead Officer	Lead Department/Division
Yes	Enrich individual lives, strengthen communities and improve places where people live through enjoyment of leisure, culture and sport	John Mennear	Child and Adults
Yes	Cultural and leisure services, better meet the needs of the community, especially those from disadvantaged areas	John Mennear	Child and Adults

Strengthening Communities

LAA	Proposed Outcome	Lead Officer	Lead Department/Division
Yes	Empower local people to have a greater voice and influence over local decision making and the delivery of services	Karen Oliver	Regeneration and Neighbourhoods
Yes	Make a positive contribution (Every Child Matters)	John Robinson	Child and Adults
Yes	Improving quality of life and ensuring service providers are more responsive to neighbourhood needs with particular focus on disadvantaged areas	Catherine Frank	Corporate Strategy
Yes	Improving Financial Inclusion	John Morton	Finance
Yes	Freedom from discrimination and harassment	Wally Stagg	Human Resources
No	Ensure communities are well prepared to respond to emergency situations	Denis Hampson	Regeneration and Neighbourhoods

Organisational Development

LAA	Proposed Outcome	Lead Officer	Lead Department/Division
No	Improve Performance Management, Data Quality and Risk Management Arrangements	Andrew Atkin	Corporate Strategy
No	Deliver effective customer focussed services and improve customer satisfaction	Joanne Machers	Human Resources
No	Provide a high quality Consultation and Information Service	Andrew Atkin	Corporate Strategy
No	Raise the profile and enhance the reputation of the Council	Andrew Atkin	Corporate Strategy
No	Improve the efficiency and effectiveness of the organisation	Andrew Atkin / Chris Little	Corporate Strategy / Finance
No	Continue to support, develop and improve efficiency of the Council's Democratic function	Andrew Atkin	Corporate Strategy
No	Ensure robust governance arrangements for core business and key	Peter	Legal Services / Finance

	partnerships	Devlin/Chris Little	
No	Delivery of effective legal services	Peter Devlin	Legal Services
No	Improve Elected Member and Workforce arrangements	Joanne Machers	Human Resources
No	Improve financial management and reporting	Chris Little	Finance
No	Reduce the risk and incidences of Fraud	Chris Little	Finance

CABINET

14th December 2009



Report of: Director of Child and Adult Services

Subject: Building Schools for the Future (BSF) Information and Communications Technology (ICT) Procurement of a Managed Service.

SUMMARY

1. PURPOSE OF REPORT

To inform members of the outcome of the stages of the Invitation to Participate in Dialogue (IPD), the outcome of the final stage of the process Invitation to Submit Final Bids (ITSFB), the evaluation of final bids and the moderation process.

To seek approval to proceed to financial close with the selected bidder.

2. SUMMARY OF CONTENTS

This report provides a summary of the Invitation to Participate in Dialogue (IPD) stages for the procurement of an ICT Managed Service. It outlines the stages of the process, the outcome of the evaluation of Invitation to Submit Final Bids (ITSFB) and the subsequent moderation stage.

3. RELEVANCE TO CABINET

Building Schools for the Future ICT Managed Service will have a significant impact on the future provision of education in Hartlepool.

4. TYPE OF DECISION

Key Decision – tests i and ii apply

5. DECISION(S) REQUIRED

Cabinet is requested to:

- a) note the outcomes of the IPD and ITSFB Stages
- b) approve the progression to the next stage of the process i.e. financial close with the selected bidder.

Report of: Director of Child and Adult Services

Subject: Building Schools for the Future (BSF) Information and Communications Technology (ICT) Procurement of a Managed Service.

1. PURPOSE OF REPORT

To inform members of the outcome of the stages of the Invitation to Participate in Dialogue (IPD), the outcome of the final stage of the process Invitation to Submit Final Bids (ITSFB), the evaluation of final bids and the moderation process.

To seek approval to proceed to financial close with the selected bidder.

2. BACKGROUND

Building Schools for the Future (BSF) is a long-term programme of investment and change in England that will help transform education for secondary age students by providing 21st century learning environments that engage and inspire young people, their teachers and the wider community.

Hartlepool is a Wave 5 authority in the BSF programme and has recently received approval from Partnerships for Schools (PfS) for the Outline Business Case submitted in December 2008. This allows the Local Authority to proceed to the procurement phase of the project, with government funding.

An integral component of the BSF programme is Information and Communications Technology (ICT). BSF aims to provide:

- a step change in the level of ICT provision in secondary schools in England;
- buildings designed to maximise the use of ICT;
- managed ICT services which guarantee availability;
- incentives to develop the use of ICT in teaching and learning.

As part of this process the Local Authority advertised the ICT Managed Service contract via the Official Journal of the European Union on 2nd March 2009 and a tender route is being followed which provides for the following timetable:

Stage	Actual or Planned Date
OJEU Notice Published	2 March 2009
Issue of Descriptive Document and Pre-Qualification Questionnaire (PQQ)	2 March 2009 – 8 April 2009
Return of PQQ	8 April 2009 (noon)
Evaluation Process	15 April – 22 April 2009
Shortlist of 3 bidders confirmed	5 May 2009
Issue of IPD to 3 Bidders	8 May 2009
Clarification meetings with Bidders and site visits	11 May 2009 – 16 June 2009
Return of Initial Bids	26 June 2009
Evaluation Process	29 June 2009 – 14 July 2009
Completion of Stage 2	19 August 2009
Proceed to Stage 3	19 August 2009
IPD Phase 2	19 August 2009 – 30 October 2009
Close of Dialogue	30 October 2009
Issue of Invitation to Submit Final Bids (ITSFB)	2 November 2009
Submit Final Bids	6 November 2009
Clarification, specification and fine-tuning and evaluation of Final Bids	9 November – 2 December 2009
Notification to Bidders	22 December 2009
Alcatel Standstill begins	22 December – 1 January 2010
Appointment of Selected Bidder	4 January 2010
Contract Finalisation	20 November 2009 – 28 February 2010
Contract award (Financial Close)	1 March 2010
Contract commencement	1 March 2010

3 STAGE 1 PRE QUALIFICATION QUESTIONNAIRE (PQQ)

The closing date for the return of the PQQs was the 8th April 2009. Hartlepool Borough Council received 6 PQQs which were subsequently opened at the contract scrutiny panel meeting on the 14th April. Following a compliance check exercise, all PQQs were passed to the evaluation team for consideration.

The evaluation team consisted of representatives from all secondary schools including the Pupil Referral Unit (PRU) and Catcote Special School, internal and external financial advisers, legal advisers, the external ICT adviser, colleagues from internal HR and Insurance, the BSF Strategy Manager and the Head of Information, Planning and Support Services who is also acting as the lead officer for the BSF ICT Procurement.

The evaluation process took place from the 15th April and concluded on the 21st April. All of the evaluations were collated and the results presented to a moderation meeting on the 22nd April. Agreement of the top three bidders was reached at this meeting. Bidders were notified of the outcome of this stage on the 6th May 2009, the successful bidders were invited to participate in stage 2 and subsequently the IPD documentation issued to the three successful bidders.

4. STAGE 2 INVITATION TO PARTICIPATE IN DIALOGUE (IPD)

From the 11th May 2009 the three bidders were engaged in half day meetings, every week until 16th June, with the ICT Dialogue Team. The dialogue team consisted of external ICT, legal and financial advisers, the Design and Build (D&B) integration role, the BSF Strategy Manager, the internal educational consultant, the City Learning Centre (CLC) manager, two school representatives representing all schools and the Head of Information, Planning and Support Services as lead officer for the ICT BSF procurement.

During the dialogue process the three bidders visited every secondary school in Hartlepool, including Catcote Special School and the PRU to obtain an understanding of the schools in Hartlepool and their individual specialisms and cultures. Additionally the dialogue team were afforded the opportunity to visit schools suggested by the bidders as their flagship sites where the bidders through their managed service provision, made a positive impact on teaching and learning.

The closing date for the return of the IPD documents was the 26th June 2009. Hartlepool Borough Council received 3 IPDs which were subsequently opened at the contract scrutiny panel meeting on the 29th June 2009. Following a compliance check exercise, all IPDs were passed to the evaluation team for consideration.

The evaluation team is the same as for Stage 1.

The evaluation process took place from the 29th June and concluded on the 14th July. All of the evaluations were collated and the results presented to a moderation meeting on the 15th July. Agreement of the top two bidders was reached at this meeting, and reported to Portfolio Holder on 29th July 2009.

All bidders were notified of the outcome of the evaluation of IPD 1 on 31st July 2009. The successful bidders were invited to proceed to Stage 3 and the unsuccessful bidder offered an opportunity for feedback.

5. STAGE 3 INVITATION TO PARTICIPATE IN DIALOGUE (IPD 2)

During the early stages of the process the IPD (1) and IPD (2) documentation was developed and contained in one document. As bidders had already received this documentation at stage 2 there was not a need to re-issue at the beginning of the stage 3. The final documentation Invitation to Submit Final Bids (ITSFB) is a revision of the original IPD with the requirements for the final bid submission and was issued to bidders at close of dialogue.

From the 19th August an intense dialogue process commenced. Bidders were invited to individual weekly full day meetings with the dialogue team. The dialogue team is the same as for Stage 2 with the exception of the BSF Strategy Manager who was no longer involved in this process.

During the dialogue process which was 19th August until 29th October, bidders were required to discuss, clarify and understand the requirements as set out in the Draft Authority's Requirements (ARs). The Draft ARs replaced the original Output Specification as per the instructions of Partnership for Schools (PfS). Additionally during the dialogue process bidders were required to develop the contractual requirements, schedules to the contract and any derogations to the standard PfS contract.

During the final stages of the dialogue process the original IPD documentation was revised and the requirements for ITSFB inserted.

On the 4th November PfS agreed that the dialogue process could be closed and the ITSFB issued. Bidders were notified of the official close of dialogue and the ITSFB made available. On the 6th November the two final bids were received.

The bids were subsequently opened at the Contract Scrutiny meeting on the 9th November and made available to the evaluation team. The evaluation team is the same as for Stages 1 and 2 with the exception of the BSF Strategy Manager.

The evaluation process took place from the 9th November and concluded on the 1st December. All of the evaluations were collated and the results presented to a moderation meeting on the 2nd December. Agreement as to the successful bidder was reached at this meeting details of which is contained in **APPENDIX 1**.

This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3) Information relating to the financial or business affairs of any particular person (including the authority holding that information).

6. RISK IMPLICATIONS

There is a risk of challenge by the company that has not been selected to proceed to the next stage, however, full composite copies of all documentation including the evaluations have been retained for audit purposes.

7. FINANCIAL CONSIDERATIONS

The financial considerations for this process are in relation to officer time during the whole process including costs incurred through the engagement of external advisers. However, the engagement of external advisers is a requirement of PfS to secure the BSF funding. Additionally, the benefits of undertaking such a thorough process outweigh any financial issues.

Additionally in terms of the actual procurement process, internal and external financial advisers have evaluated the financial cost models submitted by each bidder

8. LEGAL CONSIDERATIONS

External legal advisers have been engaged throughout this process and significant dialogue has been undertaken between these advisers and the bidders' legal advisers.

9. DECISIONS REQUIRED

Cabinet is requested to:

- a) note the outcomes of the IPD and ITSFB Stages
- b) approve the progression to the next stage of the process i.e. financial close with the selected bidder.

Contact Officer

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CABINET REPORT

14th December 2009



Report of: Director of Regeneration & Neighbourhoods

Subject: HARTLEPOOL STRATEGIC HOUSING LAND
AVAILABILITY ASSESSMENT (SHLAA)

SUMMARY

1. PURPOSE OF REPORT

To inform the Cabinet that a draft Hartlepool's Strategic Housing Land Availability Assessment (SHLAA) has been prepared, to explain its likely implications for Hartlepool, and to seek authority to publish the draft document for public consultation.

2. SUMMARY OF CONTENTS

The SHLAA is a report, prepared in accordance with national and regional planning policies and guidance, which identifies and assesses potential future development sites to ensure that there will be enough land available to continuously meet an area's housing needs over a fifteen year timescale and starting in 2009-2010.

Specifically there is a long term requirement to increase the supply of housing in order to meet growing demand and ensure sustainable communities in places where people want to live.

By itself, the assessment does not allocate any sites for development and the inclusion of a particular site does in no way mean that it would be granted planning permission or allocated for development. It is, however, an important document which will be used as a critical part of the evidence base for the Local Development Framework setting out how Hartlepool will plan and distribute new housing provision over the coming years.

3. RELEVANCE TO CABINET

The SHLAA will form a key piece of the evidence base that underpins the Local Development Framework for Hartlepool.

4. TYPE OF DECISION

Key, test (ii) applies.

5. DECISION MAKING ROUTE

Cabinet

6. DECISION(S) REQUIRED

Cabinet approve the draft SHLAA for publication for a period of 8 weeks public consultation.

Report of: Director of Regeneration & Neighbourhoods

Subject: HARTLEPOOL STRATEGIC HOUSING LAND
AVAILABILITY ASSESSMENT (SHLAA)

1. PURPOSE OF REPORT

- 1.1 To inform the Cabinet that a draft Hartlepool Strategic Housing Land Availability Assessment (SHLAA) has been prepared, to explain its likely implications for Hartlepool, and to seek authority to publish the draft document for public consultation.

2. BACKGROUND TO THE SHLAA PROCESS

What is the SHLAA?

- 2.1 The SHLAA is a report, prepared in accordance with national and regional planning policies and guidance which identifies possible future suitable development sites to ensure that there will be enough land available to continuously meet an area's housing needs over a fifteen year timescale starting in 2009-2010.

Why produce a SHLAA?

- 2.2 The Department of Communities and Local Government (CLG) issued the SHLAA: Practice Guide in August 2007 which outlined the need for a SHLAA and its purpose for planning a future supply of housing at the local level. The Regional Spatial Strategy for the North East tasks Hartlepool with providing approximately 395 new units of housing each year. Over the last ten years, the housing market has been characterised by rapidly increasing prices, caused in part by the demand for housing far outstripping supply. Although at the time the Hartlepool SHLAA was prepared in autumn 2009, house prices had fallen and the house market remains subdued, there is still a long term requirement to increase the supply of housing in order to meet growing demand and ensure sustainable communities in places where people want to live.

How will the SHLAA be used to provide for future Housing Supply?

- 2.3 By itself, ***the SHLAA does not allocate any sites for development and the inclusion of a particular site does not mean that it would be granted planning permission or be allocated for development.*** It is, however, an important document as it will be used as a critical part of the evidence base for the Local Development Framework which will set out how Hartlepool will plan and distribute new housing provision over the coming years.

Who was involved in producing the SHLAA?

- 2.4 The Hartlepool SHLAA has been prepared by officers in the Regeneration & Neighbourhoods Department in conjunction with a steering group made up of experts from different areas of the housing industry. The make up of the steering group was agreed following advice from the House Builders Federation and the National Housing Federation. This included Housing Hartlepool and developers such as Persimmon and Yuills Homes. The steering group also included Council officers from a range of disciplines including housing, regeneration and planning.

3 HOW THE HARTLEPOOL SHLAA WAS PRODUCED

- 3.1 The SHLAA has three broad stages:

1. to identify as many sites as possible within the area which could have the capacity for housing;
2. to assess these sites' potential;
3. providing the sites are suitable and achievable, evaluate when they are likely to be developed.

- 3.2 The starting point of the assessment was to identify sites throughout the Borough that may be able to accommodate new housing. At this stage there was no attempt to evaluate each site, but rather to include as many potential locations as possible. The following sources of sites illustrate the various sources of information that were used to draw up the list

1. Call for sites: On 6 August 2008 the Council wrote to various landowners, agents and planning consultants to explain the SHLAA process and invite submissions of sites for consideration for future housing site allocations. This produced 50 sites. A further 14 HBC owned sites were included in this.
2. Sites identified by the HBC SHLAA study team: Following the call for sites an internal officer group identified a further 15 to ensure the survey was as complete as possible.

3. Employment Land Review: Three more sites were added that the Employment Land Review recommended were surplus to requirements for employment use and should be allocated for another use.
- 3.3 A total of 83 sites were therefore included in the SHLAA and these were surveyed between November 2008 and January 2009. From the surveys a database of initial assessments was produced and circulated to Statutory Consultees, utility providers, internal HBC services and other relevant parties in February 2009 for comment.
- 3.4 Sites with existing planning permission were included in the SHLAA and considered separately. However they were not subject to detailed assessments. A rolling estimate of the predicated build rates from existing Planning Permissions was calculated to years 0-15. These can be found in Table 1 at **Appendix A**.
- 3.5 Finally some additional sites were added into the SHLAA including three Housing Market Renewal sites, Trincomalee Wharf which the Planning Committee has indicated that it is “minded to approve” and a list of smaller sites (below 0.4ha) suitable for housing development which are currently to be marketed by HBC. All of these additional sites were considered as deliverable in the first five years of the SHLAA and can be found in the SHLAA report.

How were the SHLAA sites assessed?

- 3.6 As mentioned above only the SHLAA sites were assessed in detail. The sites were then tested according to a framework of:
 - Suitability (is the site a suitable location for housing?),
 - Availability (is it available now or is there a reasonable prospect of it becoming available?), and
 - Achievability (is there a reasonable prospect of housing being achieved on this site?).
- 3.7 The findings of the site surveys were assessed by both an in-house team which consisted of engineers/planners/surveyors as well as a workshop of the Steering Group that included representatives of the house building industry and social housing providers.
- 3.8 Following these assessments and taking into account the views and outputs from the in-house work and external workshop the sites were grouped into years when they could potentially come forward for development.

4 FINAL OUTPUTS OF THE SHLAA

4.1 The final SHLAA document provides tables demonstrating:

- A list of sites considered deliverable. (0-5 years)
- A list of sites considered developable. (6-15+ years)
- Reference to the one site considered not currently developable.
- A trajectory of when sites are expected to come forward in the next: 5 years, 6 -10 years and 11 – 15 years.
- A list of each site and its general performance in relation to the framework of suitability, availability, achievability and infrastructure capacity.

4.2 Table 1 shows how the SHLAA sites sit with the other sources of housing sites to provide enough land available to continuously meet Hartlepool's housing needs over a fifteen year timescale. A copy of the full SHLAA report with appendices can be found in the Members Room.

5 CONCLUSIONS

5.1 Whilst in general terms SHLAA identifies an excess of 215 units for its 5 year housing supply however when amended for the backlog in provision since RSS was issued in 2004 gives a figure of -120 units. This represents 94.8% of the 5 year supply which is sufficient to demonstrate a robust 5 year housing supply to meet the needs of the Borough in the short Term.

5.2 The SHLAA identifies sites with the potential to significantly exceed the RSS requirements for the medium (years 6-10) and longer terms (years 11-15). Therefore the SHLAA identifies future suitable sites to ensure that there will be enough land available to continuously meet Hartlepool's housing needs over a fifteen year timescale.

6 FUTURE STEPS

6.1 The draft SHLAA will be published for 8 weeks public consultation. All those who have an interest in the land/sites under consideration as part of the SHLAA will be informed at the start of this period. Following the consultation period the comments and any relevant amendments made to the document will be assessed and reported to cabinet for approval.

6.2 The SHLAA is seen as a living document which will be reviewed annually. As sites are developed they will drop out of the SHLAA and potential new ones will be surveyed and added when necessary.

- 6.3 It is assumed that Hartlepool's next call for sites and SHLAA review will be held in the autumn of 2010.

7. RECOMMENDATIONS

- 7.1 Cabinet approve the draft SHLAA for publication for a period of 8 weeks public consultation.

8. CONTACT OFFICER

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APPENDIX A

Table 1 Demonstrating a supply of deliverable housing site

RSS Amended Accordance														
Year	Completions	Demolitions	Net Additions	Planning Permissions	SHLAA Sites	HBC Owned Small Sites	Local Plan Allocated Sites	HMR Sites	Overall Dwellings	RSS Provision	RSS Accordance	RSS Backlog Amended		
Previous 5 Years	2004/05	241	-35	206					206	390	-184	390		
	2005/06	280	-25	255					255	390	-135	390		
	2006/07	283	-58	225					225	390	-165	390		
	2007/08	329	-329	0					0	390	-390	390		
	2008/09	530	-74	456					456	390	66	390		
Next 5 Years	2009/10	231	-130		198	57			356	390	-34	457	-101	
	2010/11		-82		338	112		50	418	390	28	457	-39	
	2011/12		-100		287	107	24	90	408	400	8	467	-59	
	2012/13		-100		377	129	24	56	576	400	176	467	109	
	2013/14		-50		246	127	24	45	437	400	37	467	-30	
Next 6-10 Years	2014/15		-50		115	555		110	730	400	330	467	263	
	2015/16		-50		106	555		110	721	400	321	467	254	
	2016/17		-50		95	555		110	710	400	310	467	243	
	2017/18		-50		64	555		110	679	400	279	467	212	
	2018/19		-50		56	555		110	671	400	271	467	204	
Next 11-15 Years	2019/20		-50		46	575		126	697	400	297	467	230	
	2020/21		-50		46	575		126	697	400	297	467	230	
	2021/22		-50		46	575		126	697	395	302		697	
	2022/23		-50			575		126	651	395	256		651	
	2023/24		-50			572		130	652	395	257		652	
	2024/25		-50						-50	395	-445		-50	
	2025/26		-50						-50	395	-445		-50	
		1894	-1583	1142	2020	6179	72	1285	275	10142	8705	1437	7534	3416

CABINET REPORT

14TH December 2009



Report of: Director of Regeneration and Neighbourhoods

Subject: NORTH EAST REGIONAL LOANS SCHEME FOR
PRIVATE SECTOR HOUSING IMPROVEMENTS

SUMMARY

1. PURPOSE OF REPORT

To seek agreement to entering into the North East Home Loan Partnership and for that purpose to sign an agreement (a Memorandum of Understanding) with the other regional housing authorities, and to align Hartlepool's financial assistance policy for housing improvement with the North East Private Sector Housing Renewal Financial Assistance Policy.

2. SUMMARY OF CONTENTS

Cabinet will be advised on the background to the move towards loans, the development and detailed organisational arrangements for the regional loans scheme (contained in the Memorandum of Understanding), the need to consider joining the scheme, and implications for Hartlepool

3. RELEVANCE TO CABINET

Strategic decision to change the way in which financial assistance is provided to residents

4. TYPE OF DECISION

Key, tests (i) and (ii) apply

5. DECISION MAKING ROUTE

Cabinet – 14th December, 2009

6. DECISION(S) REQUIRED

That Cabinet agrees to join the North East Home Loans Partnership and for that purpose to:

- (a) Sign the Memorandum of Understanding to enable participation in the loans scheme,
- (b) Adopt the NE Private Sector Housing Renewal Financial Assistance Policy, and
- (c) Enter into an Assignment Contract with the successful Loans Administrator to enable the Council to use the services of the Loans Administrator.

Report of: Director of Regeneration and Neighbourhoods

Subject: NORTH EAST REGIONAL LOANS SCHEME FOR
PRIVATE SECTOR HOUSING IMPROVEMENTS

1. PURPOSE OF REPORT

To seek agreement to entering into the North East Home Loan Partnership. and for that purpose to sign an agreement (a Memorandum of Understanding) with the other regional housing authorities, and to align Hartlepool's financial assistance policy for housing improvement with the North East Private Sector Housing Renewal Financial Assistance Policy.

2. BACKGROUND

- 2.1 Local authorities have the flexibility to provide a range of financial assistance to improve housing conditions in the private sector. The assistance is funded by a Single Housing Investment Pot (SHIP) allocation to the Council through the Government Office for the North East and the North East Housing Board (NEHB).
- 2.2 Because of the flexibility around the provision of financial assistance for private housing improvement, Authorities have introduced a mixture of grants and loans with different eligibility criteria and financial amounts to tackle a range of issues.
- 2.3 The Department for Communities and Local Government (CLG) is emphasising the need to use resources more efficiently and effectively to help more people and to stretch the capacity of public resources.
- 2.4 Authorities have been encouraged to provide assistance in the form of loans where possible, to move away from home owners' reliance on non-repayable grant and recycle increasingly limited Government funding. Hartlepool has already gone part of the way towards loans, having introduced a 70% grant/30% loan and subsequently 50% grant/50% loan, the grant being non-repayable after 5 years following completion of the works and the loan portion to be repaid when the property changes ownership.
- 2.5 The move towards providing a range of loan assistance including repayment and equity loans requires specialised expertise which is difficult and costly to provide by individual local authorities, and provides opportunities to secure private sector funding to complement that provided by central government.

3. THE NORTH EAST HOME LOANS PARTNERSHIP

- 3.1. Many other regions have already put in place loan schemes for their local housing authorities. In order to progress and support the introduction of loans in this region, officers from each Council have been working together on an informal basis as the 'North East Home Loans Partnership'. The Partnerships activities have been supported by NEHB, and funded by CLG. The Partnership has developed a loans scheme which would align the way in which local authorities provide financial assistance for private sector housing repairs, improvements, and adaptations. The objective of the loans scheme is to create a self sustaining loan fund through the repayment of loans, and ultimately to attract private sector leverage in the future.
- 3.2 The scheme involves the appointment of an independent Loans Administrator which will receive applications from the local authorities, carry out assessments and where appropriate arrange loans with the applicants following local authority approval. The Loans Administrator will also be responsible for arranging property valuations and instructing solicitors where necessary, making payments to contractors and dealing with any queries relating to repayment of the loan. In order to ensure high standards of customer service, and to make sure that any lending carried out is responsible, the performance of the Loans Administrator will be controlled by a Board made up of Council officers from each participating Council.
- 3.3 Sunderland City Council has been appointed as Lead Body on behalf of the Partnership to procure and enter into contractual arrangements with the Loans Administrator.

4. THE LOANS SCHEME

- 4.1 The Loans Scheme reflects the CLG policy principle that homeowners have the primary responsibility to maintain their own homes. The Scheme seeks to provide affordable loans to those who are unable to afford to carry out essential repairs and improvements themselves.
- 4.2 For those homeowners who have their own financial resources or are able to access financial resources from a reputable lender, the Scheme encourages Councils to provide advice and practical support to help homeowners carry out the works.
- 4.3 For those who cannot access a loan from a bank, building society or other reputable lender but are able to make repayments, a Capital and Interest Repayment Loan will be offered.
- 4.4 Where a homeowner is unable to make monthly repayments but has available equity in the home to support a loan, a Shared Appreciation Equity Loan will be offered.

- 4.5 Homeowners unable to meet any of these requirements will be eligible for an Interest Free Loan secured against the property requiring no repayments until the property is sold or disposed of.
- 4.6 The Council's Private Sector Housing Team will work with the Loans Administrator on a case by case basis to make sure that homeowners receive the independent financial advice that they need and to ensure that any loan offered is suitable for their individual financial circumstances.
- 4.7 Should a homeowner struggle to repay any loan that has been provided, the Loans Administrator will work within the guidance of the Council to provide the advice and support that is needed to help the homeowner to repay their loan. The Loans Scheme is making affordable loans available to 'high risk' homeowners, and for that reason the ability to waive repayment of loans in extreme circumstances does exist. Any decision to 'write off' loans will be made by the Council.

5. FUNDING THE LOANS SCHEME

- 5.1 In order to support the newly developing Loans Scheme, the NEHB is indicating that in 2010/11 a proportion of the SHIP allocation for private housing improvement will be ring-fenced for the provision of loans through the scheme. For Hartlepool this will mean £199,000 of the allocation would be ring-fenced for that purpose. As part of the Scheme, this allocation would be transferred to the Loans Administrator at the commencement of the contract in April 2010. The Loans Administrator will have a responsibility to protect the fund from mis-use or loss, and to seek to maximize the fund through careful investment and the attraction of private sector finance in due course.
- 5.2 Loans provided to Hartlepool homeowners will be paid from this fund. Hartlepool's fund will not be used for any other purpose. Upon their repayment by homeowners, the repaid loan together with any interest will be returned to Hartlepool's share of the fund, for lending again within the Councils area.
- 5.3 The Loans Administrator's fees for this service will be paid in 2010-2011 by the Partnerships 'Central Fund'. Day to day management of the Loans Administrator will be carried out by the Partnerships Project Manager, also funded by the Central Fund. It is anticipated that this co-ordinated approach across all participating Councils will prove to be an attraction to high quality Loans Administrators operating both outside and inside the north east region. In addition, it is likely to allow Loans Administrators to price the service required competitively, and to allow the throughput of loans to increase as quickly as possible.

6. SIGNING A 'MEMORANDUM OF UNDERSTANDING' (MOU)

- 6.1. The Partnership's Project Manager together with financial, legal and procurement expertise provided by the Lead Body has produced a Memorandum of Understanding which sets out clear joint delivery arrangements and the roles and responsibilities of Local Authority Partnership Members, the Lead Body, Loans Administrator, and the Partnership's Board.
- 6.2. Local Authority Partnership Members are being asked to agree to the delivery arrangements of the Memorandum and to sign this document to show commitment to operating within the scheme. (The Memorandum of Understanding is attached as **APPENDIX A**).
- 6.3. Each Council's commitment to the MoU, will help the Lead Body to make clear to organisations interested in becoming the Partnerships Loans Administrator the extent of the service required, and the value of the fund to be administered. The greater the number of participating Councils, the greater the economies of scale to be achieved. Conversely a lack of commitment to agree to the arrangements will make it difficult for the Lead Body to attract the quality organisations required to take part in the competitive tender process.
- 6.4. The MoU makes clear the rights of retirement from the Partnership, how disputes will be resolved and invites each participating Council to take part in overseeing the management of the Loans Scheme. Hartlepool will have equal status as each other participating Council.

7. ADOPTING A COMMON 'FINANCIAL ASSISTANCE POLICY'

- 7.1. Before a Local Authority can provide financial assistance to support private sector housing renewal, the Regulatory Reform Order (Housing Assistance) (England and Wales) 2002, requires Local Authorities to prepare and adopt a policy setting out the types of assistance available in their areas.
- 7.2. The introduction of the loans scheme, with participating Authorities operating on an equal footing, needs the alignment of these Financial Assistance Policies. A North East Private Sector Housing Financial Assistance Policy, endorsed by the North East Housing Board Executive, has been produced to help all local authorities in the region work towards a consistent approach to loan assistance. The Policy contains a wide range of types of assistance and is sufficiently flexible to allow Hartlepool to ensure that local needs and priorities can be met. (The Financial Assistance Policy is attached as **APPENDIX B**).
- 7.3. Whilst there is a range of assistance available through the Scheme, each Authority will set its own priorities for assistance and the budgets to be allocated to those priorities.

- 7.4. Authorities are being asked to adopt the Policy by March 2010.

8. ENTERING INTO A CONTRACT

- 8.1 As described above, Sunderland City Council as Lead Body is carrying out a competitive tendering exercise to appoint a Loans Administrator that will be available to work with each participating council. This joint procurement will offer economies of scale and opportunities to share good practice between Councils.
- 8.2 Sunderland will award a Framework Contract to the successful organisation which will set out the terms and conditions of the appointment, but not guarantee the organisation any work. The Framework Contract will be for a period of four years. Each Council will be required on an annual basis to enter into an Assignment or 'Call Off' contract with the Loans Administrator. This contract will enable the participating Council to use the services of the loans administrator in accordance with the terms and conditions that have been agreed.
- 8.3 Should the performance of the Loans Administrator be unsatisfactory, support will be provided by the Lead Body to enforce the terms of the contracts.

9. IMPLICATIONS FOR HARTLEPOOL AS A MEMBER OF THE LOANS SCHEME

- 9.1. The Council will get access to 'SHIP' funding from Central Government, to spend on helping vulnerable people to improve the condition of their homes.
- 9.2. Over time, this funding will be recycled, back into Hartlepool's loans fund, enabling further homeowners to receive assistance.
- 9.3 The Council will be in a position to share in any private sector leverage that the loans scheme is successful in attracting as the scheme matures.
- 9.4 The Council will retain its ability to make decisions on the priority issues for financial assistance.
- 9.5 The Council will retain the ability to approve or reject each Loan
- 9.6 Current grant/loan assistance provided by the Council will be replaced by repayment loans, shared appreciation loans, and repayable grants. Offering this range of loan types will help to make sure that differing homeowners needs and circumstances can be catered for.

- 9.7 Enquiries for assistance and initial assessments of eligibility will still be processed by the Council's front line staff. Staff will provide advice and practical support to help residents through the loans process. The Council's staff will receive free training and support from the Loans Administrator and the Partnerships Project Manager, to help them to provide a high quality service to homeowners.
- 9.8 Appointment of a Loans Administrator will ensure that the Council's clients receive independent financial advice from an experienced lending organisation, that lending is carried out responsibly, and that homeowners that do not require financial assistance are identified, helping to protect the fund for the most vulnerable.

10. RECOMMENDATION

- 10.1 That Cabinet agrees to join the North East Home Loans Partnership and for that purpose to:
- (d) Sign the Memorandum of Understanding to enable participation in the loans scheme,
 - (e) Adopt the NE Private Sector Housing Renewal Financial Assistance Policy, and
 - (f) Enter into an Assignment Contract with the successful Loans Administrator to enable the Council to use the services of the Loans Administrator.

11. BACKGROUND PAPERS

APPENDIX A – The Memorandum of Understanding

Appendices referred to in **APPENDIX A**

APPENDIX 1 – Role of the programme Team
APPENDIX 2 – Performance Indicators and Service Standards
APPENDIX 3 – Service Level Agreement between Sunderland City Council and the North East Home Loans Partnership

Appendices referred to in APPENDIX 3 OF APPENDIX A

APPENDIX 1 - Role of the North East Home Loans Partnership
APPENDIX 2 - NE Home Loans Partnership – Accountable Body proposal from Sunderland City Council

APPENDIX B – North East Private Sector Housing Renewal Financial Assistance Policy

12. CONTACT OFFICER

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MEMORANDUM OF UNDERSTANDING

**JOINT ☐ ☐ R ☐ ☐ ☐ BETWEEN LOCAL AUTHORITIES IN THE NORTH
EAST OF ENGLAND FOR THE PURPOSE OF PROVIDING
FINANCIAL ASSISTANCE TO HELP TACKLE POOR HOUSING
CONDITIONS IN THEIR LOCAL AREA**

THIS MEMORANDUM is made on the

day of

2009

BETWEEN:

- (1) **Northumberland County Council** of County Hall, Morpeth, Northumberland, NE61 2EF;
- (2) **North Tyneside Council** of Quadrant, The Silverlink North, Cobalt Business Park, North Tyneside, NE27 0BY;
- (3) **Newcastle City Council** of Newcastle City Council, Civic Centre, Barras Bridge, Newcastle upon Tyne, NE99 1RD;
- (4) **Gateshead Council** of Civic Centre, Regent Street, Gateshead, Tyne & Wear, NE8 1HH;
- (5) **The Council of the City of Sunderland** of Civic Centre, Burdon Road, Sunderland, SR2 7DN;
- (6) **South Tyneside Borough Council** of Town Hall and Civic Offices, Westoe Road, South Shields, Tyne and Wear NE33 2RL;
- (7) **Durham County Council** of County Hall, Durham, DH1 5UL;
- (8) **Hartlepool Borough Council** of Civic Centre, Victoria Road, Hartlepool, TS24 8AY;
- (9) **Stockton-on-Tees Borough Council** of Municipal Buildings, Church Road, Stockton-on-Tees, TS18 1LD;
- (10) **Darlington Borough Council** of Town Hall, Feethams, Darlington, DL1 5QT;
- (11) **Middlesbrough Council** of PO Box 99, Town Hall, Middlesbrough, TS1 2QQ;
- (12) **Redcar and Cleveland Borough Council** of Town Hall, Fabian Road, South Bank, TS6 9AR.

1 PURPOSE OF THIS MEMORANDUM OF UNDERSTANDING

- 1.1** By virtue of The Regulatory Reform (Housing Assistance) (England and Wales) Order 2002 (“the 2002 Order”), local housing authorities are able to provide a range of types of assistance (including financial assistance) to individuals for the purpose of improving living conditions in the authority's area. Such assistance may be for the purpose of enabling the assisted person to acquire, adapt, improve or repair living accommodation or to demolish and reconstruct buildings comprising or including living accommodation. This includes the provision of assistance to help a homeowner affected by Council plans to acquire and demolish housing, to relocate or to help fund the relocation of a Client whose home cannot reasonably be adapted to suit their needs. A local housing authority may not exercise the power conferred by the 2002 Order unless they have adopted a policy for the provision of assistance under the 2002 Order.
- 1.2** The Parties are local housing authorities which together form the North East Home Loans Partnership and whose purpose is to promote a consistent and effective approach to the provision of financial assistance under the 2002 Order across the north-east area and to make sure that financial assistance is provided in a way that is responsible, cost effective and sustainable.
- 1.3** This Memorandum is not a legally binding document. It does however record the intentions of the Parties in relation to joint working and co-operation for the purpose of providing financial assistance under the 2002 Order and in particular makes clear;
- 1.3.1** the roles, responsibilities, and accountability of each organisation,
 - 1.3.2** how decisions will be taken and by whom,
 - 1.3.3** how performance will be monitored and
 - 1.3.4** how information will be used to improve effectiveness.
- 1.4** The arrangements set out herein will assist Partnership Members to achieve economies of effort, through the sharing of good practice and the development of common policy and procedure and will seek to make financial efficiencies through the joint procurement of a Loans Administrator.

1.5 As parties to this Memorandum the Parties will be entitled to share in the funding that is made available to local authorities in the region for the purposes of investment in existing private housing. In 2010-2011 this funding is called Single Housing Investment Programme (SHIP) funding. This funding is awarded to the region following Funding Advice made by the North East Housing Board (NEHB) to Department of Communities and Local Government. Local Authorities that are not party to this Memorandum will not be entitled to share in the funding available.

2 DEFINITIONS AND INTERPRETATION

2.1 In this Memorandum the following words and phrases shall have the following meanings unless the context otherwise requires;

“Assignment Contract” means a stand alone Agreement which will be entered into by each of the Partnership Members with the Loans Administrator under the terms and conditions of the Framework Contract;

"Available Funding Contribution" shall have the meaning described in sub-clause 6.27 below;

“Board” means the Board appointed in accordance with sub-clause 3.3 below;

“Central Budget” means the budget managed by the Programme Team, dedicated to covering the Loan Administrator Fees, Loan Scheme Marketing, Programme Team staffing costs and any other activities agreed by the Board.

“Commencement Date” means the date hereof in respect of provisions relating to the procurement of the Loans Administrator and 1 April 2010 in respect of all other provisions hereof;

“Clients” means members of the public who may contact Partnership Members in search of advice, practical support or financial assistance to help them to improve their housing conditions. Clients may or may not be “eligible homeowners”.

“Eligible Homeowner” means a person holding title to the property who falls within the eligibility criteria set out in the Policy;

“Framework Contract” means the agreement made between the Partnership Members and the Loans Administrator, regulating matters between them;

APPENDIX A

“Front Line Service” means the local team the Partnership Member has given responsibility to for receiving and processing financial assistance enquiries from Clients within their area. The Front Line Service may be internal to the Partnership Member, or may be provided by a Home Improvement Agency Partner, either internal or external to the Council.

“Funding Advice” means the process by which the North East Housing Board (NEHB) makes recommendations to Central Government in relation to strategic housing funding priorities in the north east;

“Grant Conditions” means any conditions imposed by the provider of the funding, providers may include for example Central Government Department ‘Communities and Local Government’.

“Lead Body” means the Council of the City of Sunderland whose role is to offer legal, financial and procurement expertise to the Partnership to support the production of this Memorandum and to carry out the procurement of the Loans Administrator. The Lead Body has the ongoing responsibility to co-ordinate any action taken in the event of poor performance of the Loans Administrator. A Service Level Agreement detailing the Lead Body’s duties is included at APPENDIX 3.

“Loan Book” means the details of the loans that have been made by the Loans Administrator on behalf of the Partnership Members and that are still outstanding at any one time’

“Loan Scheme” means the scheme to provide loans that are to be administered by the Loans Administrator in accordance with the Assignment Contract

“Loans Administrator” means the person procured on Partnership Members behalf by the Lead Body to administer the Loan Scheme;

“Local Delivery Plan” means the information to be provided to the Programme Team by a Partnership Member in relation to expected spend, outputs and outcomes in the following financial year;

“Memorandum” means this Memorandum of Understanding;

“North East Housing Board” (NEHB) means the strategic body with responsibility for housing strategy and investment in the North East. The NEHB provides funding advice to Central Government in relation to investment in existing housing.

APPENDIX A

North East Housing Board Executive (NEHB Executive) means the group of officers appointed by the NEHB to execute its strategy and objectives.

“Parties” means the parties to this Memorandum and includes any local authority who becomes a party to the Memorandum at any time during the Term;

"Partnership" means the North East Home Loans Partnership;

“Partnership Members” means the Parties;

"Partnership Members Funding Contribution" means the funding to be made available by a Partnership Member to the Loans Administrator pursuant to the terms and conditions of the Assignment Contract and this Memorandum to fund the provision of Loans by the Loans Administrator;

“Policy” means the North East Private Sector Housing Renewal Financial Assistance Policy, written in conjunction with the housing representatives of all local authorities in the north east during 2008-2009 and endorsed by the NEHB Executive;

“Programme Team” means the Team referred to in 3.8 below

“Programme Team Work Plan” means a series of agreed targets and milestones that will be used by the Board to measure the performance of the Programme Team, as referred to in sub-clause 3.10 below;

“Retirement Date” means the 1 April next following notice served on the Board in accordance with clause 6.27 a below;

“Retirement Period” means the period starting from the date of receipt of a notice served upon the Board under clause 6.27 a below and ending on the Retirement Date;

“Retiring Member” means a Partnership Member who serves notice of retirement upon the Partnership in accordance with sub-clause 6.27 a below;

"Service Level Agreement" means the Service Level Agreement between the Partnership Members and the Lead Body as set out in Appendix 3 to this Memorandum or any amendment or replacement thereof that may be agreed in writing from time to time;

"Sub-Regions" means the sub-regions of the Partnership's area, namely Northumberland, Tyne and Wear, Durham and Tees Valley;

APPENDIX A

"Technical Steering Group" means the Technical Steering Group referred to in sub-clause 3.5 below

"Term" means the time during which this Memorandum is in force beginning from the Commencement Date until terminated in accordance with clause 6.23 below;

2.2 In this Memorandum unless the context otherwise requires:

- a. clause headings are for ease of reference only;
- b. reference to clauses are to clauses and schedules of this Memorandum;
- c. the singular includes the plural and vice versa and any of the genders includes the other;
- d. any reference to a person includes a company, corporation, partnership or unincorporated association;
- e. reference to a party includes its successors in title, transferees and assigns;
- f. references to any statute includes any statutory modification, extension or re-enactment of it or any part of it for the time being in force and also includes all instruments and regulations deriving validity from that statute;
- g. references to this Memorandum or any other deed, agreement or document are to this Memorandum or, as the case may be, such other deed, agreement or document as the same may have been or may be from time to time amended, varied, altered, modified, supplemented or novated, and
- h. references to Partnership Members and Parties include any other eligible local authority that by agreement in writing between such local authority and the Partnership on any future date prior to the expiry of the Term becomes a Partnership Member and a Party to this Memorandum as provided herein.

3. MEMBERSHIP OF THE PARTNERSHIP

3.1. A local authority that has signed this Memorandum will be a Partnership Member. There are 12 local authorities in the north east that are invited to sign this Memorandum and that are eligible to join the Partnership.

3.2. Board

3.3. The Partnership will appoint a Board, which will become operational on 1 April 2010. Each Partnership Member will be entitled to nominate one individual which will represent them on the Board. Each Board Member will contribute to decision making processes in relation to how the Partnership will operate. As a result the Partnership Member must select an individual that is able to make decisions on behalf of the Partnership Member that they represent. Each Partnership Member will have equal status on the Board.

3.4. The purpose of the Board will be to;

- a.** provide direction, clarify priorities and promote the aims and objectives of the Partnership at a regional and national level,
- b.** make proposals in relation to funding requirements and outcomes to the North East Housing Board,
- c.** plan and drive the improvement of delivery arrangements

and Board members shall endeavour to ensure that membership of the Partnership is a strategic priority within their local authority.

3.5. Technical Steering Group

3.6. The Board will appoint a Technical Steering Group to facilitate interaction between Front Line Service Teams within Partnership Members engaged in practical delivery, to improve delivery processes and joint working and to identify and respond to training and development needs. Each Partnership Member will be entitled to nominate one individual who will represent them on the Technical Steering Group. The Partnership Member must select an individual that is familiar with and able to make decisions relating to the Front Line Service's working practices, and who is committed to the continual improvement of service standards and the achievement of customer

satisfaction.

- 3.7.** The Board and the Technical Steering Group will be facilitated by the Partnership's Programme Team.

3.8. The Programme Team

- 3.9.** The Programme Team is independent of any Partnership Member (although employers responsibilities for Programme Team staff are undertaken by the Lead Body). The Project Team currently consists of a Project Manager only but the Board may seek to expand the staffing resources of the Team subject to the capacity of the Central Budget.

- 3.10.** The role of the Programme Team is to co-ordinate and support delivery of the Policy, to support the Board and Technical Steering Group and to manage the relationship between Partnership Members and the Loans Administrator. The role of the Programme Team is more fully set out in APPENDIX 1 and in clause 5.26 and 5.27. The Board will manage the performance of the Programme Team through the Programme Team Work Plan, a series of agreed targets and milestones produced by the Programme Team in consultation with the Board.

3.11. The Lead Body

- 3.12.** The responsibility of the Lead Body is detailed in the Service Level Agreement between the Lead Body and the Partnership. The Service Level Agreement took effect from 14 August 2009 and will continue to apply throughout the duration of the Framework Contract with the Loans Administrator, unless both the Lead Body and the Partnership agrees to bring forward or put back the expiry. The Service Level Agreement is attached at APPENDIX 3.

- 3.13.** Once the procurement of the Loans Administrator is complete, the ongoing role of the Lead Body will be to provide support to Partnership Members to enforce the terms of the Assignment Contract should the performance of the Loans Administrator be unsatisfactory and will co-ordinate any action taken by Partnership Members to enforce the content of the Assignment Contract should this be necessary

4. ESTABLISHMENT OF THE PARTNERSHIP

- 4.1.** The Partnership Members agree that the Partnership shall take the form of the mutual commitments, understandings and agreements in this Memorandum.
- 4.2.** None of the Partnership Members shall have the authority or power (nor represent themselves as having the authority or power) to contract in the name of or to undertake any liability or obligation on behalf of or to pledge the credit of any of the other Partnership Members.
- 4.3.** The Partnership shall have no legal existence that is separate and distinct from the Partnership Members.
- 4.4.** Subject to clause 6.25 below, the Partnership Members shall be the members of the Partnership for the Term.
- 4.5.** If any other eligible local authorities that have been invited to join the Partnership wish to do so after the date of this Memorandum they shall apply to the Board to be admitted. This application should be made in writing to the Board, and will be forwarded to the Programme Team with a view to a report on the request being submitted to the next available meeting of the Board for consideration. Any prospective new members will need to demonstrate to the Board their willingness and intent to comply with the obligations upon Partnership Members as set out in clause 5 below.
- 4.6.** Additional local authorities accepted as members of the Partnership shall sign up to this Memorandum and enter into an Assignment Contract.

5 OBLIGATIONS OF PARTNERSHIP MEMBERS

5.1 General

5.2 Each Partnership Member shall: -

- a.** Co-operate with each other Partnership Member and the Programme Team, and shall not act in a manner incompatible with the Partnership and the attainment of its objectives;
- b.** Comply and act in accordance with this Memorandum and fulfil its part of the Memorandum requirements with reasonable care and skill and in a professional manner and in accordance with any reasonable instructions from the Board;
- c.** Comply with any Grant Conditions;
- d.** Comply with all statute, common law, statutory instrument, judicial decisions and regulations in existence or as amended or enacted from time to time including but not limited to the Health & Safety at Work etc. Act 1974, the Data Protection Act 1998, the Freedom of Information Act 2000 and any other relevant statutory provisions;
- e.** Ensure nothing is done or published which may bring the Partnership, Loan Scheme or other Partnership Members into disrepute;
- f.** Use best endeavours to achieve the expected spend and outputs as provided to the Programme Team in accordance with clause 5.17 below;
- g.** Effect and maintain in force adequate cover with reputable insurers or underwriters to cover all liabilities that may be incurred by the Partnership Member under or in connection with or arising out of the activities of the Partnership or this Memorandum to:-
 - i.** Their own employees (Employer's Liability); and

- ii. Any other person (Public Liability and Professional Indemnity if relevant).

5.3 In the event that any loss, damage or injury or claims for the same arise as a result of any Partnership Member's negligence, misconduct, persistent breach of law or duty, act or omission in connection with this Memorandum or the Assignment Contract then the said Partnership Member shall fully indemnify the other Partnership Members against any and all actions, claims, demands, costs and expenses.

5.4 Ability to enter into Memorandum

5.5 Each Partnership Member warrants to all the other Partnership Members that it has;

- a. the authority and has obtained all relevant consents required to enter into this Memorandum.
- b. It has not entered into any arrangement which may conflict with this Memorandum.

5.6 Procurement of the Framework Contract with the Loans Administrator

5.7 The Lead Body will lead the procurement of the Framework Contract. The obligations of the Lead Body will be to;

- a. Consult with the market in order to prepare it for the competitive tender and to gain input into the scope and shape of the tender strategy;
- b. Co-ordinate the production of the specification, contractual documents and evaluation process and agree the content of these with Partnership Members;
- c. Identify for and agree with Partnership Members the most appropriate approach to market and tender strategy;
- d. Carry out the tender process and all administration and project management thereof;
- e. Negotiate the terms of and award the Framework Contract
- f. Provide a robust mechanism for each Partnership Member to 'call off' an Assignment Contract from the Framework Contract.

- 5.8** To ensure that the Framework Contract and Assignment Contracts will be suitable for all Partnership Members to use, each Partnership Member shall have the opportunity to take part in the procurement process. This may include;
- a.** Identifying to the Lead Body appropriately qualified officers within their own authority with appropriate legal, financial and procurement expertise;
 - b.** Participating in a timely manner, in the production of the documents described in 5.7 b above;
 - c.** Detailing in writing reasons why any of the draft documents or any part or parts of the same would be unsuitable for their purposes, should these arise.
- 5.9** The award of the Framework Contract to the successful Loans Administrator will set out the terms and conditions of the appointment. Each Partnership Member will then be required to enter into an Assignment Contract between themselves and the Loans Administrator.
- 5.10** Thereafter, each Partnership Member shall carry out and fulfil its obligations and commitments in accordance with the Assignment Contract.
- 5.11 Policy Alignment**
- 5.12** Each Partnership Member shall give consideration to the adoption of a financial assistance policy for the purposes of the 2002 Order that is identical to the Policy. The purpose of this is to ensure that each Partnership Member operates on an equal footing, and to ensure consistency in the making of referrals to the Loans Administrator. In the event that any Partnership Member does not adopt a policy that is identical to the Policy, the Partnership Member should give consideration to the adoption of a locally designed policy with provisions in relation to financial assistance types, eligibility and conditions that are closely aligned with those of the Policy.
- 5.13** Any Partnership Member that proposes:
- a.** to adopt a financial assistance policy for the purposes of the 2002 Order that differs in any material way from the Policy; or
 - b.** to amend an existing financial assistance policy in a way that is inconsistent with the Policy

Shall first of all give notice of their intention to the Programme Team for referral to and consideration by the Board. Any comments or observations made by the Board to the Partnership Member within 28 days of the date on which notice was given shall be taken into consideration by the Partnership Member in making any decision to adopt the proposed policy or policy amendment as appropriate.

5.14 Advice and Practical Support Service

5.15 Each Partnership Member agrees to make available housing related advice and practical support to those who may not be eligible for financial assistance in accordance with the Policy. This will include support for individuals to understand their housing options, options for paying for repairs or improvements, to identify what is wrong with their home, and how to hire a suitable contractor should this be required. As a minimum this support should be available to those who meet the definition of vulnerable in the Government's Decent Homes Standard, and to homeowners of 60 years or over. The impact of this service must be recorded in such a way as to enable the Partnership Member to report on the outcomes associated with the provision of this service to the NEHB as required by the Housing Strategy Statistical Appendix return.

5.16 Performance Planning and Monitoring

5.17 Each Partnership Member shall clearly identify the funding dedicated to and outputs expected from the following activities within their area within each financial year during the Term. This information shall be provided to the Programme Team by 1 December in the preceding financial year, wherever possible. This will help the Programme Team to ensure that the Loans Administrator is able to respond to Partnership Members referrals, and will assist the Board to monitor performance. This information shall include details of funding from any source and shall be provided to the Programme Team on a form prescribed by the Programme Team. The activities are as follows;

- a. improving private homes to the Government's Decent Home Standard
- b. bringing empty properties back into use or carrying out conversions
- c. improving the energy efficiency of homes
- d. helping residents affected by Council plans for demolition to relocate

- e. providing area or theme based assistance

- 5.18** Should, during the course of a financial year, a Partnership Member wish to dedicate additional funding to the above activities, the Programme Team must be notified in advance of any communication with, or referrals to the Loans Administrator in relation to or using additional funding. In 2010-2011 consideration will be given to the capacity of the Central Budget to fund additional fees that will be incurred by the additional funding. The Partnership Member will be notified, and should the Central Budget be insufficient to support additional fees, the Partnership member will have the option of paying the additional fees themselves.
- 5.19** Each Partnership Member should clearly identify how the costs associated with the Front Line Service will be funded. This information shall be provided to the Programme Team by 1 December in the preceding financial year, wherever possible. Such costs shall include costs associated with external delivery agents, staffing resources, and the production of technical drawings or specialist reports. This information will include details of the costs and the source of dedicated funding and shall be provided to the Programme Team on a form prescribed by the Programme Team.
- 5.20** Each Partnership Member shall ensure that the data collection and recording system used to manage the handling of financial assistance enquiries is sufficient to enable them to monitor the progression of enquiries through their system, and to enable them to analyse performance against the Key Performance Information and Service Standards included at APPENDIX 2.
- 5.21** Each Partnership Member shall provide details of their performance as required by the Programme Team. This will include performance relating to the achievement of the Key Performance Information and Service Standards included at Appendix 2 and those that are agreed by the Board, the level of current expenditure, and anticipated year end expenditure.
- 5.22** Each Partnership Member will inform the Programme Team at any time during the financial year should it appear that performance will fall short of the expected spend and expected achievements of outputs provided to the Programme Team. Should a Partnership Member become aware that they are unlikely to spend the funding that they expected to within the financial year, they must notify the Programme Team by the end of the second quarter of that financial year wherever possible. The Programme Team

will provide support to identify and, wherever possible to tackle barriers to service delivery and financial assistance take-up.

5.23 Publicity and Marketing

a. Loan Scheme Publicity

From time to time Partnership Members may wish to promote the Partnership to professional peers. All publicity in relation to the Partnership must be agreed by the Programme Team prior to publication. The Programme Team must not withhold consent unreasonably or cause any undue delay. The Programme Team's decision in relation to the proposed publicity shall be final.

b. Marketing the local availability of Financial Assistance

While Partnership Members are responsible for generating take up by homeowners within their area, to secure the expected spend and outputs identified to the Programme Team the reputation of the Loan Scheme is important to all Partnership Members. Partnership Members are required to produce an annual marketing plan and materials. Training will be provided by the Programme Team in relation to the production of the marketing plan. All marketing materials must be approved by the Programme Team prior to use in the public arena. The Programme Team's decision in relation to the proposed marketing shall be final.

5.24 Funding the Loan Scheme

5.25 The Central Budget

5.26 The Programme Team will manage a Central Budget that will cover Loan Administrator Fees for loans for the purposes of investing in existing housing, Loan Scheme marketing, Programme Team staffing costs and any other activities deemed to be central costs by the Board. Funding for this Central Budget is already secured for the year 2010-2011 and will be sought from the Central Government allocation that is awarded to the region through the NEHB Funding Advice process for future years. The Board shall be accountable for all expenditure incurred from the Central Budget. The Programme Team's Project Manager shall be authorised in respect of all

APPENDIX A

purchases, services, including single or linked items, up to £10,000. Authorisation for any purchases, services including single or linked items in excess of £10,000 will be sought in advance from the Board.

- 5.27** The Programme Team will report on the Central Budget to each meeting of the Board. Should the Programme Team become aware that the Central Budget is unlikely to be spent as expected within the financial year, the Programme Team will notify the Board, by the end of the second quarter of the financial year wherever possible

5.28 Front Line Service Costs

- 5.29** The costs associated with the Front Line Service activity, which may include staffing, technical surveys or specialists reports will be the responsibility of the Partnership Member. Should the Partnership Member use a proportion of any funding from Central Government for the purposes of Front Line Service costs, this will be deducted by the Partnership Member prior to transfer to the Loans Administrator of the Partnership Member's Funding Contribution.

- 5.30** Each Partnership Member shall ensure that members of the Front Line Service are appropriately skilled and trained to fulfil their duties.

- 5.31** Any training that relates to participating in the Loans Scheme will be provided by the Programme Team, funded by the Central Budget and delivered in conjunction with the Technical Steering Group. This may include using standard documents and assessments, planning marketing campaigns, and understanding the role and procedures of the Loan Administrator. Training that is not directly required by the Loans Scheme, which may include surveying property, using the Housing, Health and Safety Rating System, and the Decent Homes Standard and must be provided and funded by the Partnership Member. Partnership Members should ensure that their Front Line Service undergoes any training that is deemed to be required by the Board.

5.32 Funding the Loans

- 5.33** As described above in 5.17, each Partnership Member will clearly identify to the Programme Team the funding that will be dedicated to activities 5.17 a-e within their area within each financial year during the Term. This funding shall be referred to as the Partnership Member's Funding Contribution and shall be transferred by the Partnership Member to the Loans Administrator in one transaction as soon as practicable in the

APPENDIX A

financial year to which it is dedicated. The Partnership Member's Funding Contribution will be used by the Loans Administrator to fund only the loans that are approved by the Partnership Member making the Funding Contribution concerned.

5.34 Each Partnership Member will provide performance information relating to the achievement of performance indicators agreed by the Board, the level of current expenditure, and anticipated year end expenditure as described in 5.17. Should any Partnership Member be unable to make sufficient referrals to the Loans Administrator to result in approved loans and spend to the full amount of their Funding Contribution by the end of Financial Year 2010-2011, any unspent Funding Contribution shall remain with the Loan Administrator, for use by the Partnership Member in the following financial year.

5.35 Each Partnership Member shall be responsible for monitoring the value of the referrals that have been made for Eligible Homeowners within their area to the Loans Administrator, and for approving individual loans once the Loans Administrator and the Eligible Homeowner have agreed to proceed with a loan. Partnership Members shall not approve further loans once the Partnership Member's Funding Contribution held by the Loans Administrator on their behalf has been exhausted, unless funding has been confirmed for the following financial year, and the Partnership Member is approving the additional loans for spend in the next year.

5.36 Reinvestment of Repaid Loans

5.37 The Programme Team shall be responsible for monitoring and reporting to the Board the performance of the Loan Book. A report will be provided to each meeting of the Board. The Assignment Contract with the Loans Administrator will set out how the Loans Administrator should handle loan repayment. This will include;

- a. A loan made from a Partnership Members Financial Contribution, once repaid shall be held by the Loans Administrator, and available again for that Partnership Member to lend. The repaid loan shall not be available to other Partnership Members. Partnership Members shall be responsible for seeking local approval to the reinvestment of repaid loans.
- b. The Loans Administrator will be responsible for seeking repayment of loans at the time at which they should be repaid, and will be responsible for handling cases of default – occurrences where a homeowner has difficulty in

APPENDIX A

making agreed repayments or fails to make repayments. The Loans Administrator will work in accordance with agreed procedures to take steps to secure repayment. At the time at which the Loans Administrator has followed the agreed procedure but is unable to secure repayment the relevant Partnership Member will be notified. The Partnership Member will be responsible for deciding whether the repayment of the loan can be waived in accordance with the terms of the Policy, whether the debt should be 'written off' or whether further steps should be taken. The Partnership Member shall develop and seek local agreement to any procedures or internal approvals which may be required.

6 ADMINISTRATION

6.1 Day to day management

6.2 Day to day communication will take place between the Loans Administrator and each Partnership Member in relation to the handling of referrals and the processing of loans. Processing of Clients and Eligible Homeowners cases and the making and chasing of individual referrals to the Loans Administrator will be the responsibility of the Front Line Service. Each Partnership Member shall have in place appropriate management systems to ensure that cases are handled in a timely manner and in accordance with any procedures and standard documents prescribed by the Programme Team and Technical Steering Group, and in accordance with the Performance Indicators and Service Standards at APPENDIX 2 hereto.

6.3 Monitoring of the performance of the Loans Administrator will be carried out by the Programme Team. This information will be provided to the Board. The Board will be responsible for approving fee payments to the Loans Administrator in accordance with 5.26.

6.4 Monitoring and Management of Partnership Member Performance

6.5 Partnership Members and their Front Line Service will receive the training and support described in 5.31 to ensure that they are fully equipped to participate in the Loan Scheme. Partnership Members shall provide the performance related information to the Programme Team, as described in 5.21, but shall notify the Programme Team at any time should the achievement of planned expenditure and outputs begin to be in doubt. The Programme Team will help to identify any barriers to delivery, and to develop appropriate actions that should be taken to improve performance.

6.6 Resolving Difficulties

6.7 Should a Partnership Member fail to receive the agreed standard of service from the Loans Administrator, the Programme Team should be notified. If necessary, an investigation will be carried out which may result in an amendment to procedure in consultation with the Technical Steering Group. Should the Loans Administrator consistently fail to achieve the standard required, the Board will be notified. The Board may seek advice and support from the Lead Body in relation to enforcement of the terms and conditions of the Assignment and Framework Contracts. A decision may be

APPENDIX A

taken by the Board to recommend to Partnership Members the bringing to a premature end of the relationship with the current Loans Administrator. This will be carried out in accordance with clause 6.23.

- 6.8** If, in the opinion of any Partnership Member, there has been a failure on the part of any other Partnership Member to carry out and fulfil the terms of this Memorandum, the Board should be notified. The Programme Team will provide support to the Partnership Member should it be needed to improve procedural arrangements, or to identify training requirements. The Board will seek to resolve the dispute. Should the Partnership Member be unwilling to address the failure, the Board may recommend that the Partnership Member retire from the Partnership. The terms of retirement within clause 6.25 will apply.
- 6.9** Should the Partnership Member be unwilling to address the failure, and unwilling to retire from the Partnership, independent arbitration will be requested from and undertaken by the NEHB Executive.
- 6.10** Should the Board receive any notification of failure as described above, decisions relating to such failure shall only be taken at a meeting of the Board where the Partnership Member in question has the opportunity to attend.
- 6.11 Meetings**
- 6.12 Board**
- 6.13** Board Meetings shall take place bi-monthly. Should any Partnership Member wish to call a meeting of the Board to discuss any failure or dispute as described above, or any other matter which should not be delayed until the time of the next meeting the Programme Team should be notified. No less than 10 working days notice of a Board meeting will be provided. Any written documents that are pertinent to the agenda will be circulated no less than 5 working days in advance of the meeting.
- 6.14** Should a Board Member be unable to attend, a deputy should attend that has the delegated ability to make decisions on behalf of the Partnership Member. This deputy will have equal status at the meeting as each other Board Member.
- 6.15** The Chair of the Board will be a person nominated by the NEHB, and will be employed by an organisation that is independent of any of the Partnership Members. The Chair

APPENDIX A

will hold the position for a period of one year, unless both Chair and Board Members are satisfied with the holder of the position. Should an appointed Chair be unable to honour this commitment, the NEHB will appoint an alternative.

6.16 Each Board Member will have equal status in decision making. Should decisions need to be taken which require a vote, the Chair will have a second or casting vote in the event of a tied vote.

6.17 The quorum for any meeting of the Board shall be 50% of the Board Members.

6.18 Technical Steering Group

6.19 Meetings of the Technical Steering Group shall take place on a monthly basis. At the start of each Technical Steering Group meeting the attendees present shall elect from their number one who will act as chair for the meeting.

6.20 The Programme Team will notify attendees of the date of any meeting no less than 5 working days in advance, and will circulate any written documents that are pertinent to the agenda no less than 3 working days in advance.

6.21 Each Technical Steering Group Member will have equal status in decision making. Should decisions need to be taken which require a vote, the Chair will have a second or casting vote in the event of a tied vote.

6.22 The quorum for any meeting of the Technical Steering Group shall be 50% of the Technical Steering Group Members.

6.23 Termination

6.24 Termination of this Memorandum shall only take place in conjunction with and according to the Framework and Assignment Contracts with the Loans Administrator and also according to the provisions of this clause set out below.

a. A proposal to terminate the Assignment Contracts with the Loans Administrator (and this Memorandum) may be made in writing to the Board by not less than six Partnership Members.

b. Only the Board may approve notice of termination (for whatever reason) on the Loans Administrator acting unanimously.

APPENDIX A

- c. In the event that the full Partnership does not unanimously decide to terminate their individual Assignment Contracts with the Loans Administrator and this Memorandum, the Partnership Members who brought the proposal to terminate will accept the decision of the Board but are at liberty to exercise their rights of retirement.
- d. Termination of the Memorandum will result in the return to each Partnership Member the Funding Contribution made by them that is remaining at the time of termination, together with the value of any loans made within their area that have been repaid.
- e. The value of loans that are repaid following termination will also belong to the Partnership Member whose Funding Contribution was used to make the loan. The arrangements for the repayment of this to the Partnership Member will be laid out in the Framework and Assignment Contracts.

6.25 Retirement From The Partnership

6.26 No Partnership Member shall be permitted to retire from the Partnership before 31 March 2011 or before the termination of the Assignment Contract if sooner.

6.27 Subject to clause 6.26 above a Retiring Member may retire from the Partnership and the following provisions shall then apply:-

- a. the Retiring Member shall give notice to the Board of the intention to retire on the next Retirement Date PROVIDED THAT such notice shall be given not less than 3 months before the Retirement Date;
- b. the Board shall, within 5 working days of receipt acknowledge that notice by further notice sent to the Retiring Member setting out a proposed timetable for arrangements and commitments to be dealt with during the Retirement Period;
- c. the Retiring Member shall inform the Loans Administrator and shall be responsible for arranging any matters relevant to the retirement;
- d. the Retiring Member shall not be entitled to the return of their Partnership Members Financial Contribution that is unspent at their Retirement Date, nor any subsequent payments received by the Loans Administrator from Eligible

APPENDIX A

Homeowners within their area that repay their loans. This funding shall be treated as Available Funding Contribution. (This will exclude funding held by the Loans Administrator, unspent at the retirement date, that was provided from the Partnership Member's own mainstream funds). Available Funding Contribution will be reallocated by the Board. Priority will be given to Partnership Members that are located in the same Sub-region as the source of the Available Funding Contribution. The Board may re-distribute the Available Funding Contribution to a Partnership Member that is outside of the sub-region should no Partnership Members in the Sub-region be capable of spending the contribution.

- e. The Retiring member shall not be eligible to receive future funding allocations for the purposes of investment in existing housing that result from Funding Advice.

6.28 If in the opinion of the Retiring Member, exceptional circumstances have led to the retirement, they should notify the Board. The Board will consider the circumstances of retirement, and may waive clause 6.27 d. Should independent arbitration be required, this will be requested from and undertaken by the NEHB Executive.

7 NOTICES

7.1 All notices to be given under this Memorandum shall be in writing. Any communication or correspondence with the Board should be directed to the Programme Team at the address included at Appendix 1. Any such communication or correspondence with the Programme Team shall constitute communication or correspondence with the Board as appropriate. The Programme Team will ensure that notices are included on Board agenda.

8 DATA PROTECTION

8.1 Partnership Members shall ensure that all data that for whatever reason is passed between them or to the Loans Administrator fully complies with the requirements of the Data Protection Act 1998 and all other relevant legislation as may be in force from time to time.

8.2 Data provided by any Partnership Member for comparative purposes shall be as full, accurate and current as that member can reasonably secure.

APPENDIX A

- 8.3** No Partnership Member shall, without the prior consent of the Board, disclose to any person (except as may be required by law) any information relating to this Memorandum.

9 GENERAL PROVISIONS

- 9.1** No variation or amendment to this Memorandum shall be valid unless evidenced in writing and signed by each of the Parties.
- 9.2** All disputes or differences which may arise between the Parties concerning this Memorandum shall be referred to the Board. The Board will seek to resolve the dispute. Should the Board be unable to resolve the dispute, independent arbitration will be requested from and undertaken by the NEHB Executive.
- 9.3** In entering into this Memorandum the Partnership Members recognise that it is impractical to make provision for every contingency that may arise in the course of the Loan Scheme, and accordingly, the Partnership Members declare it to be their intention that the Memorandum shall operate between them with fairness and without detriment to the interests of any of them and if during the Term of this Memorandum unfairness to any Partnership Member is disclosed or anticipated the Partnership shall use all reasonable endeavours to agree upon such action as may be necessary and equitable to remove the cause or causes of the same.
- 9.4** This Memorandum may be signed in any number of counterparts, each of which when signed shall be an original and all the counterparts together shall constitute one and the same document.

APPENDIX A

IN WITNESS whereof the Parties hereto have executed this Memorandum the day and year first herein written;

SIGNED on behalf of Northumberland County Council in the presence of: Name Position Signature	
SIGNED on behalf of North Tyneside Council in the presence of: Name Position Signature	
SIGNED on behalf of Newcastle City Council in the presence of: Name Position Signature	
SIGNED on behalf of Gateshead Council in the presence of: Name Position Signature	
SIGNED on behalf of The Council of the City of Sunderland in the presence of: Name Position Signature	
SIGNED on behalf of South Tyneside Borough Council in the presence of: Name Position Signature	
SIGNED on behalf of Durham County Council in the presence of: Name Position Signature	
SIGNED on behalf of Hartlepool Borough Council in the presence of: Name Position Signature	

APPENDIX A

<p>SIGNED on behalf of Stockton-on-Tees Borough Council in the presence of: Name Position Signature</p>	
<p>SIGNED on behalf of Darlington Borough Council in the presence of: Name Position Signature</p>	
<p>SIGNED on behalf of Middlesbrough Council in the presence of: Name Position Signature</p>	
<p>SIGNED on behalf of Redcar and Cleveland Borough Council in the presence of: Name Position Signature</p>	

APPENDIX 1 – The Role of the Programme Team**1. The Role of the Programme Team**

- a. Support for non Partnership Member Local Authorities within the north east to seek approval of the Policy, this Memorandum, the Framework Agreement and Assignment Contract at a local level, to enable them to become members of the Partnership.
- b. Monitoring of the take up of the financial assistance products within the Policy, to ensure assistance is being made available to those who are most vulnerable, and that the Policy approach continues to meet local need and contributes to the achievement of strategic housing objectives. Any suggestions from Partnership Members in relation to Policy change will be made to the Programme Team. Decisions relating to Policy change will be made by the Board.
- c. Monitoring and evaluation of the performance of the Loan Administrator and Partnership Members and their inter-relationship, to promote the continual improvement of practices and procedures that will improve take up, customer satisfaction and efficiency.
- d. Provision of support to Partnership Members to develop Service Level Agreements between their strategic commissioning and Front Line Service functions should these be required.
- e. Day to day management of the Loans Administrator and co-ordination with the support of the Lead Body of any action taken to tackle poor performance.
- f. Provision of comprehensive training and guidance to Partnership Members' Front Line Service to ensure that they are able to participate fully in the Loan Scheme.
- g. Provision of support to Partnership Members in relation to marketing of the Policy, Loan Scheme and the availability of financial assistance, and the formation of linkages with any key delivery partners that will be required.
- h. Promotion of Partnership Members successes where these are achieved.
- i. The commissioning of any joint research that may be required by the Board. This may include Customer Satisfaction/Loan Scheme Impact Assessment or

Benchmarking exercises.

- j. Preparation of reports to the Board, and to the NEHB (Executive) to advise on performance of the Loan Scheme and Policy and to promote understanding of the role of the Partnership in achieving strategic housing objectives.
- k. Provision of information on behalf of the Board relating to the ongoing running costs of the Loan Scheme. This information will contribute to the preparation of Funding Advice by the NEHB.
- l. Ongoing management on behalf of the Board of the Central Budget.
- m. Maintenance of a relationship with other similar Partnerships of local authorities and other Loan Schemes elsewhere in the Country to ensure that any examples of good practice are considered for implementation by the Board.

2. Communication and Correspondence with the Programme Team

2.1 Postal Correspondence Address;
Room 19
Independent Living Centre
Leechmere Industrial Estate
Sunderland
SR2 9TS

2.2 Correspondence should be marked for the attention of the Project Manager.

2.3 Email address;
anna.tankerville@sunderland.gov.uk

2.4 Telephone; 0191 566 1611

2.5 The above details may be subject to change. All Partnership Members will be notified in writing in advance of any change to contact details.

APPENDIX 2 - Performance Indicators and Service Standards

The following Performance Indicators relate to the handling of financial assistance enquiries for investment in existing housing. They do not relate to financial assistance for the purpose of helping a Client to relocate.

The Performance Indicators and Service Standards below relate only to the handling of financial assistance by the Partnership Members. The Performance Indicators and Service Standards that will be required from the Loans Administrator will be laid out in their terms and conditions.

The Technical Steering Group will work with the Loans Administrator to develop working practices that are efficient and that result in a high standard of customer satisfaction. As a result the Group may suggest additional or different PI's and SS's as the Loan Scheme matures. These will be put to the Board for consultation prior to use.

New Enquiry	<p>Number of Enquiries received by financial assistance purpose (improving home to Decent Home Standard, Discretionary Disabled Facilities Top Up, bringing empty properties back into use or carrying out conversions, improving energy efficiency)</p> <p>Service Standard - Number of Enquiries responded to within 2 working days (Client telephoned or Enquiry Pack provided to Client)</p> <p>Number of Enquiry Packs provided to Clients</p> <p>Number of Enquiry Packs completed and returned by Client</p> <p>Number of Enquiries Cancelled</p>
Assessing a Clients and the Property for Eligibility for Financial Assistance	<p>Number of Assessments carried out</p> <p>Service Standard – Number of Assessments carried out within 5 working days of receipt of completed Enquiry Pack</p> <p>Outcomes;</p> <p>Number of Property Surveys carried out</p> <p>Number of properties that are eligible for financial assistance. Data records should show number non decent, or suitable for conversion, eligibility for bringing back into use, or energy efficiency assistance depending on the purpose for which financial assistance is sought.</p> <p>Number of Clients not eligible for financial assistance</p> <p>Service Standard - Number of Clients informed of outcome of Assessment within 5 working days of assessment.</p>
Advice and Practical	<p>Number of Clients to whom Advice and Practical Support is provided.</p>

APPENDIX A

Support	<p>Service Standard - Number of Clients followed up within 3 months of provision of Advice and Practical support to find out;</p> <p>Number of properties improved as a result of advice or practical support provided.</p> <p>Value of works undertaken as a result of advice and practical support provided.</p> <p>Number of properties improved to a Decent Standard</p> <p>Number of properties improved to a Decent Standard whose homeowner met definition of Vulnerability in Governments Decent Homes Standard.</p> <p>Number of Clients unwilling to undertake works</p> <p>Number of Clients who paid a fee for Project Management</p> <p>Value of income earned from Project Management Service</p> <p>No of Hazard Awareness Notices Served</p>
Loans Administrator Activity	<p>Number of Clients referred to Loans Administrator</p> <p>Value of potential loans referred to Loans Administrator</p> <p>No .of Clients for whom Loans Administrator finds alternative finance</p> <p>Number and value of Capital and Interest Repayment Loans chosen by Loans Administrator and Client, and Local Authority informed</p> <p>Number and value of Equity Loans chosen by Loans Administrator and Client, and Local Authority informed</p> <p>Number and value of Interest Free Loans chosen by Loans Administrator and Client, and Local Authority informed</p> <p>Number of each type of loan approved by Local Authority</p> <p>Value of each and each type of loan approved by Local Authority</p> <p>Service Standard – Number of loans approved by Local Authority within 10 working days of receiving information from Loans Administrator</p>
Management of the Works	<p>Number of works in progress inspections carried out by Local Authority</p> <p>Value of interim payments approved by Local Authority</p> <p>Number of final inspections carried out by Local Authority</p> <p>Value of final payments approved by Local Authority</p>

APPENDIX A

Customer Satisfaction	<p>Number of Enquiries Completed/Cancelled</p> <p>Number of Customer Satisfaction Questionnaires issued</p> <p>Service Standard – Number of Customer Satisfaction Questionnaires issued is 10% or more of the number of enquiries completed/cancelled</p> <p>Service Standard – Number of Customer Satisfaction Questionnaires issued within 5 working days of completion/cancellation of Enquiry.</p> <p>Number of Customer Satisfaction Questionnaires competed and returned by Client.</p>
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APPENDIX 3 - NE Home Loans Partnership – Sunderland City Council
Service Level Agreement

1.0 Background

- 1.1 This is a Service Level Agreement (the agreement) between the Lead Authority Team in Sunderland City Council (the Council) and the NE Home Loans Partnership Steering Group (the Partnership).
- 1.2 The agreement describes the responsibility of the Council, which is to support the Partnership in the production of a Memorandum of Understanding (MoU) that will help authorities in the North East to work together in the provision of financial assistance to vulnerable people for housing purposes, and to procure on behalf of the Partnership a loans administrator.

2.0 Introduction

- 2.1 The Regulatory Reform (Housing Assistance) (England and Wales) Order 2002 provided local authorities with the flexibility to provide a range of financial assistance types for the purposes of helping homeowners to tackle poor housing conditions in the private sector. Authorities were encouraged to provide assistance in the form of loans (rather than grants) to stretch the capacity of public funds dedicated to this purpose.
- 2.2 Since then, the authorities in the North East that have moved from grants to loans have shown that the work required to design and implement a system of loan administration at a local authority level requires significant time and officer resources and can be costly to set up and run.
- 2.3 The NE Home Loans Partnership was created to provide support to authorities through the development of a single high quality loan regime that will have the capacity to administer all loan assistance in conjunction with North East local authority partners.
- 2.4 For more information relating to membership, and role of the NE Home Loans Partnership refer to **Appendix 1**.

3.0 Start and Duration of this Agreement

- 3.1 This agreement will start on commencement date 1 July 2009 and will continue to apply throughout the duration of the loans administration contract, unless both parties agree to bring forward or put back the expiry. Should either party wish to withdraw from the agreement at any time, 6 months notice should be provided to the other party. Beyond March 2011, the Partnership has no guaranteed source of funding, and for this reason the Partnership may wish to withdraw from this agreement at that time. 12 months from the date of this agreement both parties will participate in a review of the service provided, and the progress of the Partnerships activities. Subject to agreement of both parties, the roles and responsibilities of either party may be altered.

- 3.2 Within this agreement 'notice' shall be deemed to have been given, if made in writing (email will suffice) by (and received by) the signatory on behalf of the Council, or to the Partnerships Project Manager.

4.0 The Council's Role and Responsibilities

- 4.1 The Council submitted a proposal to the Partnership on 24 June 2009 to provide the Lead Authority Service. This proposal has been accepted by the Partnership and is the service that the Council will provide. This service is documented in the Proposal attached at **Appendix 2**. The Council's proposal was examined alongside those from another organisation. In order to ensure that the assessment of proposals was fair, the identity of the Council and its competitor was masked during this process. The Council referred to itself as 'the organisation'. As a result all references to 'the organisation' within Appendix 2 relate to the Council.
- 4.2 The Proposal agreed to carry out a number of agreed tasks within particular timescales. The Council will carry out the tasks with reasonable care, skill and in a professional manner. However, the achievement of the tasks is also dependent upon the co-operation and input of information from other Local Authorities.

4.3 How the Council will manage this responsibility

- 4.4 In order to ensure that the tasks are carried out in accordance with agreed timescales the Council will appoint a Lead Authority Team. This will be made up of;

Chair – Head of Housing
Legal Expertise - Senior Solicitor
Procurement Expertise - Procurement Manager
Finance Expertise - Principal Accountant

4.5 Team Membership and Operation

- 4.6 Details of the individuals that the Council have appointed to the Lead Authority Team should be provided to the Partnership within 5 working days of this agreement. The Council may change the identity of any individual at any time, but should have regard to the affect on the achievement of the agreed tasks and timescales. To aid effective communication, the Partnership should be notified of any changes within 5 working days of their occurrence.
- 4.7 Until the Council has notified the Partnership of any change in the identity of members of the Lead Authority Team, the Partnership will be entitled to continue to communicate with the last contact provided, and to receive suitable response.
- 4.8 The achievement of the tasks in accordance with agreed timescales is important to the reputation of the Council and to the achievement of the Partnerships objectives. As a result the Team will meet at least monthly with the Partnerships Project Manager and will report on their progress to the Council's Health, Housing and Adult Services Directorate Management Team. A detailed programme plan will be produced that will document the individual tasks required to be undertaken by each

member of the Lead Authority Team. This will be produced in consultation with the Partnerships Project Manager.

- 4.9 A representative of the Lead Authority Team will attend each Partnership Steering Group Meeting to report on progress directly to the Partnership. These meetings take place once every two months. Notification of the requirement to attend the meeting will be provided to the Lead Authority Team Chair, no less than 2 working weeks in advance of the meeting.

5.0 The Partnership's Role and Responsibilities

5.1 Representation

- 5.2 Although this document is signed by the Chair of the Partnership's Steering Group, any communication or correspondence with the Partnership (except for attendance at Partnership Steering Group Meetings) should be directed to the Partnerships Project Manager. Any such communication or correspondence with the Project Manager shall constitute communication or correspondence with the Partnership.

- 5.3 The ability of the Lead Authority Team to achieve the tasks in accordance with agreed timescales will depend upon the receipt of information from the Partnership. At the time of entering into this agreement the Council will work with the Partnerships Project Manager to make clear what information it will require and when this should be received. It may be necessary for the Partnership to provide information in specified formats. Where this is required the Partnership Project Manager will support the Partnership to comply with the Council's requirements.

5.4 Payments

- 5.5 The Partnership agrees to pay the Councils costs associated with the provision of this service. These costs are detailed in **Appendix 2**.

- 5.6 The Payment Profile will be as follows;

5.6.1 Legal Expertise

- The Partnership agrees to pay 50% of the Councils costs (£2,500) at the time of entering into this agreement.
- The remaining 50% (£2,500) will be paid to the Council upon completion of Task 14 "Memorandum of Understanding' Signed up to by participating authorities'. It is anticipated that this will be in November 2009. Should the Council, despite best endeavours, have been unable to secure the agreement of all potential Partnership local authorities the remaining 50% (£2,500) will be paid to the Council on 30 November 2009.

5.6.2 Procurement Expertise

- The Partnership agrees to pay 50% of the Pre-Contract Award (£25,000) at the time of entering into this agreement.

APPENDIX A

- The remaining 50% (£25,000) of the Pre-Contract Award will be paid upon completion of Task 20 'Lead Authority and participating authorities enter into a contract with the successful tenderer. It is anticipated that this will be in January 2010. Should the Council, despite best endeavours, have been unable to secure the agreement of all potential Partnership local authorities the remaining 50% (£25,000) will be paid to the Council on 31 January 2009.
- The Partnership agrees to pay the Post Contract Award. This will be an annual fee of £30,000. The first payment will be made on 1 April 2010. Should the loan administration contract expire part way through a financial year, the Post Contract Award for that year will be paid on a pro-rata basis.

5.6.3 Financial Expertise

- The Partnership agrees to pay 50% of the Councils costs (£1,500) at the time of entering into this agreement.
- The remaining 50% (£1,500) will be paid to the Council upon completion of Task 14 'Memorandum of Understanding' Signed up to by participating authorities'. It is anticipated that this will be in November 2009. Should the Council, despite best endeavours, have been unable to secure the agreement of all potential Partnership local authorities the remaining 50% (£1,500) will be paid to the Council on 30 November 2009.

6.0 **Complaints/ Disputes**

- 6.1 The progress of the Lead Authority Team will be driven by the Head of Housing. The Team will meet at least monthly with the Partnership's Project Manager and will report on their progress to the Council's Health, Housing and Adult Services Directorate Management Team. Should complaints arise in relation to working arrangements or the failure to achieve deadlines that are required to keep to the required timescales, the Head of Housing will attend the Partnerships Steering Group Meeting where solutions will be discussed and planned.
- 6.2 Should such solutions result in significant amendments to this agreement, these will be agreed between the Partnership and the Councils Executive Management Team.

7.0 Attestation

<p>Signed of behalf of the Council by</p> <p>Name</p> <p>Position</p> <p>Dated</p>	 <p>Neil Revely Executive Director of Health, Housing & Adult Services 14/8/09</p>
<p>Signed on behalf of the Partnership by</p> <p>Name</p> <p>Position</p> <p>Dated</p>	 <p>Erika Grunert NE Home Loans Partnership Steering Group – Chair</p>

Appendix 1 (of APPENDIX 3)**NE Home Loans Partnership****1.0 Membership**

- 1.1 The Partnership represents local authorities in the North East and is governed by a Steering Group.
- 1.2 The Partnership Steering Group is currently made up of:
- Two Local Authority Representatives from each sub-region
 - Association of North East Councils Representative (Mike Clark, Strategic Lead Officer (Housing & Regeneration))
 - A Representative of Foundations, the Co-ordinating Body for Home Improvement Agencies
- 1.3 A full time Project Manager, managed by the Steering Group is employed to facilitate communication and action amongst partners and to ensure that the responsibilities of the Steering Group are fulfilled.

2.0 Responsibilities**2.1 Policy Related Responsibilities include;**

- Production of the North East Private Sector Housing Financial Assistance Policy ('the proposed policy') in conjunction with officers from all partnership authorities. This policy describes the types of financial assistance that will be provided using the funding available, who will be eligible for assistance, and the conditions that will be imposed. This Policy was endorsed by the NEHB Executive on 20 November 2008
- Encouragement of all authorities to seek approval of the proposed policy at a local level. Local approval of the proposed policy will allow each authority to operate on an equal footing alongside other authorities with the regional loan administration system. This will have the effect of increasing the momentum of change within those authorities where little development has occurred. To date this Policy has been approved for use in Northumberland, Durham and Gateshead.
- Ongoing monitoring and development of the Policy; to ensure that the financial assistance products are being taken up effectively, are making assistance available to those who are most vulnerable, and that the policy approach continues to meet local need and contributes to the achievement of strategic housing objectives.

2.2 Delivery Related Responsibilities include;

- Appraisal and selection of the most suitable delivery option available followed by development and implementation of the chosen option. This will include working with each local authority's legal, financial and audit representatives to create any necessary agreements.
- Ongoing management and evaluation of the performance of the loan administration service, on behalf of all partner authorities, and the continual improvement of practices and procedures that will improve take up, customer satisfaction and efficiency.

- Provision of comprehensive training and guidance to local authority's front line service to ensure that the authority is able to participate fully in regional loan administration. This will relieve any individual authority from time consuming procedural development.
- The provision of support to all partnership member local authorities in relation to marketing of the service, and the formation of linkages with key partners that will be required such as those that provide debt or 'money guidance'.
- Ongoing evaluation to ensure that the chosen delivery option continues to be the most appropriate and is meeting the needs of partner authorities.

3.0 Benefits to Participating Local Authorities and their Clients

- 3.1 Support to comply with the objectives of the NE Housing Strategy 2007. The NEHB endorse the move from grants to loans, and in its role as private sector housing funding policy advisor to Central Government intends to refer positively to authorities who use public funds responsibly.
- 3.2 In particular, an increase in the momentum of change within those authorities where little development has occurred and sharing and applying the expertise that already exists within the region across all local authorities.
- 3.3 Co-ordinated marketing support to those authorities who have already taken the step to begin to provide loans, but who are experiencing suspicion and aversion to their loan products by Clients.
- 3.4 The provision of comprehensive training and guidance to local authorities to ensure that financial assistance is provided in a consistent manner. This will relieve local authorities from time consuming policy and procedural development and provide the new and different skill set that loan assistance requires.
- 3.5 The consistent development, implementation and performance review of specific loan products to ensure that they continue to meet local needs, and that their reputation is well managed.
- 3.6 The provision of support to local authorities in relation to the formation of linkages with key partners that will be required such as those that provide financial advice, and debt or 'money guidance' to vulnerable Clients. Such effective relationships may help Clients to improve their circumstances and reduce dependency on financial assistance over time.
- 3.7 The achievement of efficiencies through joint procurement of delivery mechanisms. This has significant knock-on benefits, since lending and delivery are financed from the same capital allocation, any savings secured by the regional loan administration system through efficiencies will be available to reinvest into supporting additional vulnerable people.
- 3.8 The building of competence and scale in loan delivery that will be necessary to attract private finance to complement the public fund in the future.

4.0 Achievements to Date

- 4.1 A Private Sector Housing Renewal **Financial Assistance Policy** has been produced for the region in conjunction with all authorities. The policy provides a framework of financial assistance that ensures that;
- Financial assistance is targeted at those who are most vulnerable, while those who may have their own resources are provided with a comprehensive advice and practical support service to encourage repairs or improvements to be undertaken
 - Subject to the availability of funding, poor housing conditions are remedied, such as making homes decent and tackling poor thermal comfort, bringing empty properties back into use, or carrying out conversions to provide larger family homes where these are needed.
 - Public funds are used responsibly and in a way that will help the policy to become financially sustainable in the longer term.
- 4.2 The policy received **endorsement** from the Regional Housing Board Executive and has since been;
- Approved by the new Durham and Northumberland unitary authority Cabinets
 - Considered by Tyne and Wear Heads of Housing. The Policy has since been approved by Cabinet in Gateshead and been put to Member Briefings in North Tyneside and Newcastle.
 - Considered by Tees Valley Heads of Housing, where agreement has been reached to submit the policy to local political and consultative processes in a co-ordinated way across the sub-region. It is likely that the Policy will be put to Cabinets across the sub-region in November 2009.
- The alignment of all authorities with the Policy will be key to the operation of a regional loans delivery system, which will make the most of available funding, and with participating authorities that operate on an equal footing
- 4.3 The sharing of expertise and **training of the Front Line Service** (Local Authority teams and their Home Improvement Agency partners) has begun. The learning and development of those who represent the Financial Assistance Policy, and who help Clients to understand their housing and financial options, will be key to the performance of the Policy.
- 4.4 The options available to the region in relation to how to configure the loans administration system have been appraised, and the chosen option has received endorsement from 11 of the 12 Local Authority Heads of Housing in the region.

Appendix 2 (of APPENDIX 3)**NE HOME LOANS PARTNERSHIP: ACCOUNTABLE / PROCURING BODY****PROPOSAL FROM: Sunderland City Council**

This Proposal has been produced by Sunderland City Council, with the authority of the Executive Management Team.

The organisation has been an active participant in the NE Home Loans Partnership, representing the Tyne and Wear sub-region, and has taken the step from grants to loans within its own policy. The organisation makes this proposal based on the understanding that Lead Body status brings with it no additional decision making ability or financial gain over other partner authorities, but rather the opportunity to drive forward efficiencies and improvements in procedures that will enable all partner authorities, and their local areas to benefit.

1.0 Agreement with the Partnerships Chosen Delivery Option

- 1.1 The organisation agrees with the outcome of 'Delivery Option Appraisal Report' dated 17 February 2009.
- 1.2 However, this submission does not propose to provide the full Accountable/Procuring Body service outlined in the Report. This is a result of concern relating to the risk associated with being accountable for others funds, in a relatively young project area. Sunderland presents this proposal based on the belief that the short to medium term objectives of the NE Home Loans Partnership of procuring a shared loans administrator, and helping all authorities to move from grants to loans can be satisfied with the proposal that is being put forward. There is recognition that the long term objective of achieving private sector leverage may be difficult without a single Body that is accountable, holds the fund or is authorised to negotiate on the Partnerships behalf. Should this Proposal be successful, Sunderland City Council will review the service that has been provided and the progress of the Partnerships activities after 12 months. Should the Partnership still wish for the Lead Body to take on the full Accountable/Procuring Body responsibilities, this will be re-considered at that time.
- 1.3 The Service that the organisation proposes to provide is as follows;

1.3.1 LEGAL SUPPORT

The organisation will co-ordinate the production of a Memorandum of Understanding (MoU), for all partner authorities to sign-up to. This co-ordination role will include advice to the Partnership on what the MoU should contain, the examination and provision of comments upon revisions proposed by partner authorities, and support to the Partnership's Project Manager to negotiate with the representatives of partner authorities.

It is proposed that the MoU would set out the required governance arrangements, specifically to;

- a. record the purpose, intentions and priorities of the Partnership,

- b. make clear the roles, responsibilities and accountability of each partner,
- c. set out how decisions would be taken and by whom,
- d. make clear how performance would be monitored and how information would be used to improve effectiveness.

The organisation believes that this approach will allow risk to be managed effectively and allow each participating authority to be accountable for its own funds.

1.3.2 PROCUREMENT SUPPORT

The organisation will carry out the work required to procure a loans administrator. The organisation will ensure that the Tender Specification produced by the Partnership is suitable for a competitive tendering process and that it will ensure best value for the partner authorities. The organisation will produce the required contractual documents to enter into a contract with the successful tenderer. Each partner authority will be required to enter into this joint contract with the successful tenderer. The organisation will not hold this contract on behalf of other partner authorities; it will be a shared contract. The organisation will support the Project Manager in negotiation of the content of this contract with the representatives of partner authorities.

The organisation will provide on-going support to the Partnership should the performance of the loans administrator be unsatisfactory and will co-ordinate any action taken to enforce the content of the contract should this be necessary.

1.3.3 FINANCIAL EXPERTISE

Partner authorities would hold and be accountable for their own funding allocation. The contractual documentation between partner authorities and the loans administrator will document the expected payment profile of payments by partner authorities directly to the loans administrator. The organisation will not in any way be accountable for any fund other than its own budget.

The organisation will dedicate up front financial expertise to the production of the MoU to ensure that the content of the MoU is in line with SHIP Grant Conditions, and Local Authority Financial Regulations and Standing Orders and Policy Framework. During the production of the MoU, should queries relating to financial arrangements be received from partner authorities, the organisation will provide support to the Project Manager to respond to such technical queries.

This submission provides for no further financial expertise from the organisation beyond the sign-off of the MoU. The organisation will have no ongoing co-ordination, monitoring or audit role in relation to the Partnership's financial matters. Neither will the organisation be involved in external audit of Partnership activities (except for those which relate to the organisation as a participant in the MoU).

1.3.4 EMPLOYER'S RESPONSIBILITIES

Should the current funding arrangements for the Partnerships staffing resources continue, the organisation will take on Employers Responsibilities for the Partnership Project Manager and any subsequent staffing resources that it may require.

2.0 Commitment to carry out the required Tasks for 2009-2010 and 2010-2011 onwards.

2.1. The organisation has made an assessment of the Tasks included in document 'Accountable/Procuring Body Role – Making a Proposal' dated 23 March 2009 and agrees to provide the expertise required to help the Partnership to keep to its intended programme. In particular it agrees to the achievement of the following tasks and their associated timescales.

2.1.1. 12, 13, 14, 16, 17, 18, 19, 21, 25.

2.1.2. This submission proposes to carry out Task 11 as part of the execution of Task 12. This will not alter the proposed timescale.

2.1.3. This submission proposes to amend Task 20 to read 'Body and partner authorities enter into Contractual Arrangement with successful tenderer'.

2.2. This submission does not include agreement to Task 24 or Task 26.

2.3. The achievement of these Tasks will be driven and monitored by Senior Management within the organisation. The dedicated expertise will be brought together on a regular basis to a focused and time-limited group, chaired by the Head of Housing. This group will work with the Partnerships Project Manager and report directly to the NE Home Loans Partnership Steering Group should this be required.

3.0 The availability of or intention to make available suitably competent staffing resources within the body and associated costs.

3.1 LEGAL EXPERTISE

3.2 The expertise required is already employed within the organisation. In 2007 the organisation undertook a major review of the way in which financial assistance is provided to vulnerable people. This review involved working closely with the organisation's legal and audit colleagues, making them already familiar with relevant legislation, and the flexibilities and constraints of the loan approach. In addition, the organisation has experience of creating such MoU style agreements between partnerships of local authorities. Existing staff would be dedicated to the provision of this service to the Partnership to prevent delay.

3.3 The Costs incurred by the organisation in dedicating the required resource input would be as follows;

3.3.1 The staffing resource required is dependent upon a number of variables. These include the extent to which partner authorities require explanation, reassurance or re-draft of the MoU, and how quickly they provide information should this be required.

Anticipated Required Resource Input:
Senior Solicitor

Circa £5,000.

3.4 PROCUREMENT EXPERTISE

3.5 The expertise required is already employed within the organisation. The organisation has already procured a loans administrator, and has an excellent track record of securing efficiencies through well planned procurement. Procurement colleagues provided support to develop the specification, contractual documentation, and the framework upon which the performance of the administrator is being managed. In addition, the Procurement Team has a good relationship with colleagues operating within other local authorities within the region. These relationships will contribute to the achievement of contractual documentation that will be satisfactory to all partner authorities. Existing staff would be dedicated to the provision of the service to the Partnership to prevent delay.

3.6 The Costs incurred by the organisation in dedicating the required resource input would be as follows;

3.6.1 Pre-Contract Award

Required Resource Input;
Procurement Manager 1/4 Post, Procurement Officer 1 Post, Procurement Support Officer 1/2 Post

Circa: £50,000

3.6.2 Post Contract Award

Required Resource Input;
Procurement Manager 1/8 Post, Procurement Officer 1/2 Post, Procurement Support Officer 1/4 Post

Circa: £30,000 (this would allow back fill to Procurement Officer Post)

3.3 FINANCIAL EXPERTISE

3.4 Financial expertise that is already employed within the organisation would be dedicated to the production of the MoU to ensure that the MoU would not impose impractical or illegal financial constraints on partner authorities.

3.5 The costs incurred by the organisation in dedicating the required resource input would be as follows;

3.5.1 The staffing resource required is dependent upon a number of variables. These include the extent to which partner authorities require explanation and reassurance regarding financial matters within the MoU.

Anticipated Required Resource Input:
Principal Accountant

Circa £3,000

4.0 FURTHER INFORMATION

- 4.1 Further information or clarification can be provided should this be required. Should the organisation be required to attend interview, Head of Housing Alan Caddick should be contacted via Business Support Assistant Michelle Scott on 0191 566 2690.

**North East
Private Sector Housing Renewal
Financial Assistance Policy**

1 April 2009 – 31 March 2011

Introduction	3
1. Background	3
2. Funding	4
3. Delivery	4
Consultation	6
Objectives of the Policy	7
Advice, Practical Support and Financial Assistance	8
Loan Assistance	10
Grant Assistance	13
Financial Assistance Costs	19
Financial Assistance Conditions	20
Equal Opportunities Statement	27
Confidentiality and Data Protection Statement	28
Contact Details	29
Complaints, Compliments and Appeals	29
Appendix A - Guidance - Decent Homes Standard	30
Appendix B - Guidance – Disabled Facilities Grant Eligible Works	31
Guidance – Works which may be eligible for a discretionary/top-up Disabled facilities Grant	32
Appendix C - Guidance – Loan or Discretionary Disabled Facilities Grant Assistance for Moving to a more suitable Home	33
Appendix D – How the Loan Works	34

Introduction

1. Background

- 1.1. This document sets out the approach in the North East to the provision of financial assistance. The Policy complements the range of measures employed by the Council, aimed at improving and maintaining healthy and safe living conditions within the existing housing stock and specifically seeks to help homeowners to improve, repair and adapt their properties. Whilst the Policy will target assistance at those who are elderly, disabled or on a low income, assistance will also be targeted at preventing decline within neighbourhoods in need of support.
- 1.2. The Policy has been produced to reflect the provisions of the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002. This Order repealed much of the existing prescriptive legislation governing the provision of grants and replaced it with a more general power to provide a range of forms of assistance.
- 1.3. The Policy includes a range of loan assistance types, and places emphasis on testing a client's ability to contribute to the cost of works. This is in line with the Government's view that "*it is primarily the responsibility of homeowners to maintain their own property*"¹, and with the Council's commitment to ensure that limited public resources are used responsibly. The Policy follows the principles of loan first, grant last resort, and focuses on providing financial options for those who are excluded from mainstream sources of finance. The combination of loan and grant products and the ability of the policy to tailor financial assistance to meet individual needs, will contribute to the sustainability of the Financial Assistance Policy in the longer term.
- 1.4. This Policy sets out the advice, practical support, and loan and grant assistance, that is available, together with the eligibility criteria and the conditions that will be applied and brings together assistance which is made under alternative statutory powers such as the provision of mandatory Disabled Facilities Grants under the Housing Grants Construction and Regeneration Act 1996 (as amended).
- 1.5. Include here reference to regional and sub regional Housing Strategy, illustrate linkages with relevant local policies including Community Safety Strategy, Older Person Strategy, those relating to Sustainable Communities, any local corporate plan, or Council 'Vision'.

¹ Office of the Deputy Prime Minister Circular 05/2003 "*Housing Renewal*".

2. Funding

- 2.1 The award of any loan or grant under this Policy is subject to the availability of funding having regard to the capacity of the Capital Investment Programme approved budget and this may vary on an annual basis. All loans and grants (excluding Mandatory Disabled Facilities Grant) are provided at the discretion of the Council. Priority for assistance will be given to those households living in the poorest economic circumstances, in the worst housing conditions, or in areas specifically designated by the Council which may be in line with wider Regeneration priorities.

3. Delivery

- 3.1 This policy has effect from 1st April 2009, following approval by the Council's Cabinet. Arrangements to deliver the financial assistance products will be developed in a method that will be consistent with those that are being developed across the north east region. The North East Regional Loan Partnership (consisting of representatives of each of the sub-regions in the North East, Government Office for the North East, North East Assembly and Foundations, the Co-ordinating Body for Home Improvement Agencies) is currently considering how financial assistance can be delivered across the region in a way that will take advantage of scale, to facilitate the increased recycling and reinvestment of funds into remedying poor housing conditions. Through effective joint delivery across the region, and the building of a worthy track record of the provision of loans assistance, it is envisaged that the Policy will become increasingly self sustaining through the attraction of private finance.
- 3.2 During 2009-2010 the availability of the financial assistance products within this Policy may be limited during this development phase.
- 3.3 In addition, and specifically in relation to helping those affected by Council plans for demolition to relocate, where programmes of private property acquisition have already begun and not been completed at the time of approval of this Policy, the Council may use discretion to continue to apply the financial assistance principles that were applicable prior to the approval of this policy for existing acquisition programmes to ensure that affected residents are treated fairly and equally. The assistance available within acquisition programmes will be made clear to residents affected.
- 3.4 The policy will be subject to continuous monitoring and an annual review to ensure that it remains suitable and is contributing to achieving strategic housing objectives in the most effective way. An assessment of the outputs and the outcomes achieved by the Policy will be made. These will include, among others; the number of households supported in carrying out repairs, improvements or adaptations using their own resources, and an examination of whether their increased confidence as a result of practical support through the process would make them more likely to carry out further works, and the number of households who have been able to continue living independently after receiving Council Loan or Grant Assistance. Where certain changing circumstances have a significant impact on the operation of the policy, necessary changes will be made to the policy. Changes could include financial limits, changes in legislation, and changes in local or national housing policies. Changes that will affect the financial assistance types, eligibility for financial assistance, or the conditions associated with assistance and that will prevent local authorities from operating on an equal footing will be examined at a regional level. All changes will be subject to local Cabinet approval.

Where assessment shows that the Policy is operating satisfactorily and that no changes are required, the relevant Council Cabinet Member will be provided with a progress update.

Consultation

- 4 The policy has been produced following consultation with...
Consultation will be tailored to each Local Authority's local requirements.

Objectives of the Policy

5 The Policy has a number of objectives, which are:

5.1 To improve and maintain healthy living conditions within private sector housing, specifically helping homeowners on limited incomes to repair, improve or adapt their properties and so facilitate independent living;

This may include;

- Advice, guidance and financial assistance to tackle the existence of Category 1 Hazards under the Housing Health and Safety Rating System (HHSRS); the minimum standard for housing and to improve homes to meet the Decent Homes Standard, giving priority to people with disabilities, older people and those who are on low incomes, who are otherwise excluded from accessing reputable forms of finance. Assistance towards a Standard that is either higher or lower than the Decent Homes Standard may sometimes be appropriate. For details of the Decent Homes Standard, and works that may be assisted see Appendix A.
- The provision of mandatory disabled facilities grants, and financial help for people with impairments to move to alternative private or affordable housing when their existing homes are unsuitable for adaptation or to assist with the funding of adaptations that exceed the mandatory disabled facilities grant limit.
- Financial Assistance towards the conversion of properties into larger family homes to meet local housing need

5.2 To contribute to the regeneration of areas suffering from market vulnerability, and to tackle poor housing conditions in areas where these may contribute to neighbourhood decline;

This may include;

- Tackling low confidence in neighbourhoods through the provision of financial assistance towards works to improve the visual appearance or security of homes
- The provision of financial assistance towards works that will enable problematic empty homes to be brought back into use.
- Financial assistance to encourage tenure change in areas where the number of rented properties is disproportionately high, and where this is linked to a poor perception of the area. This may include provision of assistance to first time buyers.
- Financial assistance to help those affected by the Council's plans for property clearance to relocate to a more suitable home and to improve the replacement home to a Decent Standard if this is required.
- Financial assistance to encourage the improvement of privately rented properties beyond statutory minimum standards.

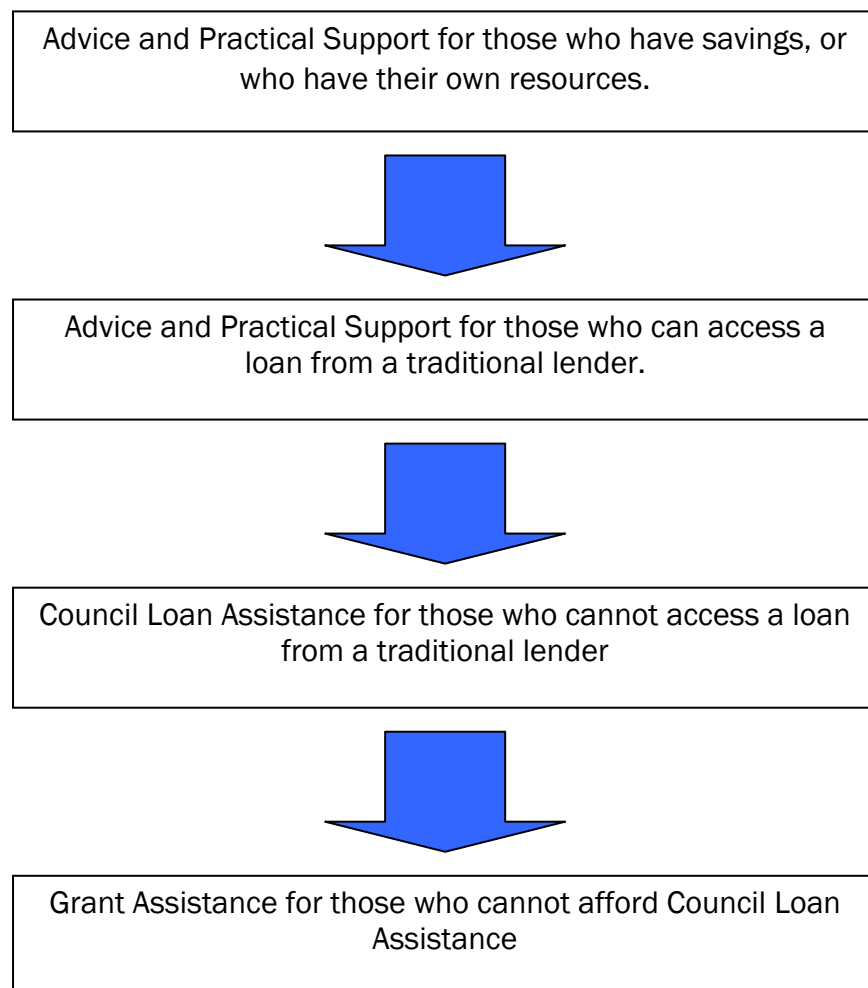
5.3 To encourage owners to undertake works that will make their homes more energy efficient and to reduce the number of people affected by fuel poverty.

This may include;

- Contributing to the costs of measures that will enhance thermal comfort through local 'Warmzone' or other Energy Efficiency schemes where these exist, particularly where a client is eligible for assistance from 'Warm Front', but is unable to afford their Client contribution.

Advice, Practical Support and Financial Assistance

- 6 This chapter of the policy sets out the types of assistance that are available, and explains in more detail the ‘hierarchy of assistance’ of the loans first, grants last resort principle around which this Policy is based;



6.1 Advice and Practical Support

6.1.1 In Partnership with local Home Improvement Agencies where these exist, advice is available to all Clients to enable them to make informed choices about the options available to them for home improvements, adaptations and relocation. Specifically in relation to how to;

- Identify what works are required to repair or improve the home
- Personally carry out home maintenance, preventative and improvement works or access the local ‘Handy Person’ Service where this exists and they are eligible for help;
- Understand what the work may cost if a contractor is required, and consider the options for funding the work, this may include helping to consider charitable or family funding, use of insurance cover, or how an Independent Financial Advisor may be able to help, and sign posting to suitable local firms;
- Select a contractor to carry out the works, including the provision of a list of suitable designers, contractors and agents.
- Decide whether staying put or relocation offers the better solution for their circumstances

6.1.2 Where a Client is eligible for financial assistance toward the cost of work (this is explained in Chapters 7 and 8), the Council in partnership with the Home Improvement Agency will make sure that all work is carried out to a high standard, by inspecting the work and communicating with the contractor.

6.1.3 If a Client is able to fund the cost of the work, but requires further support to obtain and assess estimates, and to select, appoint and manage a contractor, a Project Management Service may be available for a small fee.

6.2 Financial Assistance

6.2.1 Information from the client relating to their finances and the works they require financial assistance towards will be used to determine the type and level of assistance (if any) that would be most appropriate to suit their personal circumstances.

6.2.2 This affordability test includes consideration of income, such as any salary and benefits that are received, and outgoings, such as an existing mortgage, any loan repayments as well as living costs. Living costs may include the cost of household bills and running a car. These costs will help the Council to calculate whether the Client might be able to access a loan from a bank or building society or whether the Client could reasonably make repayments on any loan that the Council may be able to provide. A property valuation may also be undertaken in order to assess the potential for releasing the value of any equity.

6.2.3 Where the test determines that a client has sufficient income or equity to meet the cost of the works from a mainstream source they will be offered information and practical assistance to help them to carry out any works that are required, or to move home if appropriate. They will not be eligible for financial assistance from the Council.

6.2.4 Clients whose financial circumstances exclude them from accessing finance from a mainstream source shall, subject to the availability of funds, be considered for the forms of financial assistance from the Council contained within sections 7 and 8 below. In order to ensure that any lending is responsible, access to Independent Financial Advice may also be made available to help a client to choose the most suitable means of funding the cost of work required.

6.2.5 The hierarchy of assistance will not apply to the following forms of assistance, though they each have specific eligibility criteria;

- Mandatory Disabled Facilities Grant. See section 8.2.
- Area Based Assistance. See section 8.7.

Loan Assistance

7 Financial Assistance Loans

The Council offers 2 types of loan products: -

- Repayment Loan (Capital and Interest)
- Equity Loan

A combination of loans, or a combination of loan and grant may be required to suit a Clients individual financial circumstances.

Loan	Eligibility	What can the loan be used for?
<p>7.1 Capital and Interest Repayment Loan</p> <p>This is a loan, for Clients who are able to make monthly repayments. The interest rate will be fixed, so that the monthly repayment will always be the same, and the amount of interest that will be charged will be known to the Client at the beginning of the loan. The monthly repayment will consist of an interest payment, and a reduction in the amount of capital owed. This means that with each payment the interest is recalculated, the fairest way of charging interest.</p> <p>Clients can borrow between £500 and £15,000, over a term of 1-15 years.</p> <p>The repayment period will depend upon the circumstances of the individual, and the amount borrowed. The Council will use the affordability test to make sure that monthly repayments will be affordable – no more than one third of the monthly disposable income, and will provide help and support should the client experience difficulty in meeting repayments.</p> <p>Loans of more than £3,000 will be secured with a legal charge against the home. Loans of less than £3,000 will not be secured with a legal</p>	<p>This loan is available to Clients who own their own homes but who are unable to access a loan from a commercial lender, but who are able to make regular repayments.</p> <p>The loan will not be available to landlords, unless being used to bring an empty property back into use or to carry out works to meet need for family sized homes. Such works may also be eligible should they not be financially viable without assistance from the Council. The value of the improved /converted property, and the cost of the works required will be taken</p>	<ul style="list-style-type: none"> • To carry out works that will contribute to the Decent Homes Standard. • To assist a Client to make their contribution towards works funded by a mandatory Disabled Facilities Grant, to pay for works which are eligible for mandatory Disabled Facilities Grant but where their cost exceeds the maximum limit of £30,000, to pay for works which facilitate independent living, but which are not eligible for mandatory Disabled Facilities Grant, or to purchase a home that meets their needs, or can be more easily adapted. For more detail on using the loan to move house see Appendix C. • To assist a Client who is not able to make their contribution towards a Government funded Energy Efficiency

<p>charge against the home, but a local land charge will be used to notify the council should the homeowner initiate sale of the property.</p> <p>There will be no penalties should the client be able to overpay, or repay the loan early in full. This means that repaying the loan early will reduce the amount of interest paid, and so the total amount paid back.</p>	<p>into consideration. The Council may also consider evidence of local need, or the negative affect of the long term empty property.</p>	<p>Scheme.</p> <ul style="list-style-type: none"> • To fund works that will enable an empty property to be brought back into use, or to help to reduce high density housing through conversion works to provide larger family homes.
<p>7.2 Equity Loan</p> <p>This product will meet the needs of Clients who do not have sufficient income to make monthly repayments on a loan, but have equity in their property. No monthly repayments are required.</p> <p>For the purposes of;</p> <ul style="list-style-type: none"> • repairing, improving or adapting the home, Clients can access 80% of the available equity in their home • relocating to a replacement home, Clients can access 50% of the available equity in the replacement home. <p>Subject to the value of the available equity, Clients can borrow between £500 and £35,000.</p> <p>In certain circumstances, particularly where Clients are relocating to a replacement home, may have been living in overcrowded conditions, or wish to move into a home which had previously been empty for more than 6months, and was in a poor condition, a larger loan than the maximum of £35,000 may be available at the discretion of the Council, subject to the amount of available equity in the replacement home.</p> <p>Repayment of the Loan:</p> <p>The amount of loan will be translated into a percentage of the property value at the time the loan is approved. This percentage will be used to calculate the amount to be repaid, at the time that the property is sold and the loan repaid. This will require the property to be valued at the beginning, and at the end of the loan period.</p>	<p>This loan is available to Clients who own their own homes and who;</p> <ul style="list-style-type: none"> • are unable to access a loan from a commercial lender on reasonable terms, • are unable to make monthly repayments on a Capital and Interest Repayment Loan and • have equity in their homes. <p>The loan will not be available to landlords, unless being used to bring an empty property back into use or to carry out works to meet need for family sized homes. Such works may also be eligible should they not be financially viable without assistance from the Council. The value of the improved /converted property, and the cost of the works required will be taken into consideration. The Council may also consider evidence of local need, or the</p>	<ul style="list-style-type: none"> • To carry out works that will contribute to the Decent Homes Standard. • To bridge the gap between the value of the current home and the cost of a replacement where the Client is affected by Councils plans for property demolition (see Grant Assistance for other Relocation Support). The Equity Loan may not be available should the Client choose to move outside of a set geographical area. This area will be clearly defined by the Council and the information made available to affected residents • To assist a Client to make their contribution towards works funded by a mandatory Disabled Facilities Grant, to pay for works which are eligible for mandatory Disabled Facilities Grant but where their cost exceeds the maximum limit of £30,000, to pay for works which facilitate independent living, but which are not eligible for mandatory Disabled Facilities Grant, or to purchase a home that meets their needs, or can be more easily

<p>The following rules apply in relation to calculating the amount to be repaid, but would be subject to review at the time the loan is repaid should they cause the Client to be placed in unreasonable hardship;</p> <ul style="list-style-type: none"> • The minimum amount repayable will be the amount borrowed. This may cause difficulty should the property have decreased in value. • There will be no cap on the amount to be repaid. Should the property value increase significantly, so will the amount to be repaid. Any appreciation in value of the property will be shared with the Council in accordance with the original loan as a percentage of the property value at the time that the loan is repaid. <p>Repayment will be required on sale, disposal of the property, or upon the death of the Client. (For more information see ‘Financial Assistance Conditions’)</p> <p>Should the Client wish to repay the loan (or part of the loan) at any time before the property is sold, the amount to be repaid will be calculated using the value of the home at that time. There will be no early redemption charges.</p>	<p>negative affect of the long term empty property.</p>	<p>adapted. For more detail on using the loan to move house see Appendix C.</p> <ul style="list-style-type: none"> • To fund works that will enable an empty property to be brought back into use, or to help to reduce high density housing through conversion works to provide larger family homes.
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For Examples of how the loans work, see Appendix D.

Grant Assistance

8. Grant assistance is available for the purposes detailed below. In most circumstances grant assistance will be subject to a test of resources, and will always be subject to the budget that is available.

Grant	Eligibility	Conditions
<p>8.1 <u>Decent Homes Assistance Grant.</u></p> <p>This grant can be used for works that are required to bring the property up to a Decent Standard. This may include works to remove health and safety hazards in the home, to carry out repairs, or to improve facilities or the thermal comfort of the property. For more guidance on the Decent Homes Standard or works that may be eligible for assistance see Appendix A.</p> <p>Assistance towards a Standard that is either higher or lower than the Decent Homes Standard may sometimes be appropriate.</p> <p>The maximum Grant is £35,000.</p> <p>In certain circumstances, particularly where a property is in a poor condition, a larger grant than the maximum of £35,000 may be available at the discretion of the Council.</p>	<p>This grant is available to Clients who: -</p> <ul style="list-style-type: none"> • Are unable to access a loan from a commercial lender on reasonable terms and for whom a loan from the Council is also unsuitable. • This assistance will not be available to properties affected by Council plans to demolish homes. • This grant will not be available to landlords. 	<ul style="list-style-type: none"> • Only one grant will be available for a property in a five year period. • The grant will be repaid to the Council when the property is sold. (For more information see conditions.)
<p>8.2 <u>Disabled Facilities Grant</u></p> <p>This mandatory grant can be used for works that enable a client to live independently in their own home</p>	<p>This grant is available to:</p> <ul style="list-style-type: none"> • All owner-occupiers and tenants (private, Council or Housing Association), licensees 	<ul style="list-style-type: none"> • The Client must undergo a means test, unless the grant is for a disabled child. This will take into account the resources of the

<p>by providing suitable adaptations to meet their specific needs. The needs will be assessed by an Occupational Therapist and works agreed. For more guidance on works that may be eligible for assistance see Appendix B.</p> <p>A maximum of £30,000 is available.</p>	<p>or occupiers who are able to satisfy the criteria in sections 19 to 24 of the Housing Grant, Construction and Regeneration Act 1996.</p> <ul style="list-style-type: none"> • Landlords may apply for a DFG on behalf of a disabled tenant but must satisfy the requirements in the relevant sections of the above Act. • A grant is available when the cost of the works required exceed the value of a contribution that the applicant must make following a means test. • For those disabled people whose conditions are degenerative, further adaptations to the home to cater for their deteriorating condition may become necessary at a later date. In such cases and depending on the time lapse between the successive applications, the amount of an applicant's current contribution may be reduced by the amount paid towards previous grant assistance. • Properties where planning and conservation restrictions and architectural and structural characteristics allow works to be carried out. • Council or Housing Association tenants where no offer has been made of an alternative property that meets their needs. 	<p>disabled occupant, and their partner.</p> <ul style="list-style-type: none"> • Should the grant have been used to carry out works that increase the size of the living accommodation in the property, and should the property be sold within a period of 5 years following the completion of the work, part of the grant must be repaid to the Council. (For more information see conditions.) • In some cases the cost of the works may be covered either by an insurance payment or a claim against a third party. The Council believes that it is appropriate for the authority to give grant aid to ensure the works are completed at the earliest opportunity. However where the grant applicant subsequently receives a payment from an insurance or damages claim in respect of the grant aided works then he should repay the authority the grant, so far as is appropriate, out of the proceeds of any claim. • Where the grant has been used to provide specialist equipment such a stair lift, temporary ramps and hoists, the Council shall be given the option to recover the equipment for re-use where appropriate if the applicant no longer has a use for it.
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<p>8.3 Disabled Facilities Top-Up/Discretionary Grant</p> <p>This grant can be used to;</p> <ul style="list-style-type: none"> • assist an applicant to make their contribution towards works funded by a Disabled Facilities Grant, • pay for works which are eligible for mandatory Disabled Facilities Grant but where their cost exceeds the maximum limit of £30,000, • pay for works which facilitate independent living, but which are not eligible for mandatory Disabled Facilities Grant, • help a disabled person to purchase a home that meets their needs, or can be more easily adapted. For more detail on using the assistance to move house see Appendix C. <p>The maximum assistance that is available is £15,000.</p> <p>Where the Clients assessed needs require particularly expensive adaptations to be made, a larger grant than the maximum of £15,000 may be made available, at the discretion of the Council.</p> <p>The assessment criteria for works apply as for the Disabled Facilities Grant.</p>	<p>The grant is available if the applicant is unable to access;</p> <ul style="list-style-type: none"> • a loan from a commercial lender on reasonable terms, or • a loan provided by the Council <p>The Council may, at its discretion make discretionary grant available to Clients who may have been able to secure a loan to facilitate the speedy completion of works which are particularly urgent. This may include works;</p> <ul style="list-style-type: none"> • to enable a terminally ill person to be cared for, or • to assist a disabled person to return home from hospital. 	<ul style="list-style-type: none"> • The grant will be repaid to the Council when the property is sold. (For more information see conditions.)
<p>8.4 Empty Homes/Conversion Grant</p> <p>This grant can be used for works that are required to bring the property up to a Decent Standard. This may include works to remove health and safety hazards in the home, to carry out repairs, or to improve facilities or the thermal comfort of the property. For more guidance on the Decent Homes Standard or works</p>	<p>This grant is available to:</p> <ul style="list-style-type: none"> • Carry out works to properties that have been empty for more than 6 months, to enable them to be brought back into use. • Carry out works to meet need for family sized homes which may or may not have been empty. 	<ul style="list-style-type: none"> • The grant will be repaid to the Council when the property is sold. (For more information see conditions.) • Where the Client intends to occupy the property as their home, it must remain their principal residence until the grant is repaid;

<p>that may be eligible for assistance see Appendix A.</p> <p>This form of assistance may also be available for conversion works for;</p> <ul style="list-style-type: none"> • a pair of flats into a single property • a vacant shop with a flat attached, to a single property • other configurations may be considered where appropriate (but will not include loft conversions or extensions to existing single use properties unless the household is suffering from statutory overcrowding) <p>Assistance is available to a maximum of 50% of the cost of the eligible works, to a maximum of £35,000.</p>	<ul style="list-style-type: none"> • Both those intending to occupy or let the property to tenants. <p>The grant is available if;</p> <ul style="list-style-type: none"> • the Client is unable to access a loan from a commercial lender on reasonable terms, or • the works would not be financially viable without assistance from the Council. The value of the improved /converted property, and the cost of the works required will be taken into consideration. The Council may also consider evidence of local need, or the negative affect of the long term empty property. • and the Client is unable to access a loan provided by the Council 	<ul style="list-style-type: none"> • Where the property is let to a tenant, the landlord must ensure that following the improvement works, he undertakes any works that are required to ensure that the property meets any local 'Accredited Standard' and that he becomes a member of any local Landlord Accreditation Scheme. This standard and membership should be maintained until the grant is repaid. This standard will be agreed with the landlord prior to approval of the grant.
<p>8.5 <u>Energy Efficiency Grant</u></p> <p>This grant will offer assistance towards energy efficiency measures such as insulation.</p>	<p>The assistance is available to:</p> <ul style="list-style-type: none"> • Clients participating in Government Energy Efficiency Schemes, but who are unable to make their Client contribution and for whom a loan from the Council is also unsuitable. 	<ul style="list-style-type: none"> • The grant will be repaid to the Council when the property is sold. (For more information see conditions.)
<p>Subject to funding the Council may also contribute to helping Clients to improve the thermal comfort of their homes through providing financial support to partner organisations such as 'Warm Zones' where these exist or through other targeted initiatives.</p> <p>To find out about current schemes, use the contact details at the rear of this policy.</p>	<ul style="list-style-type: none"> • Specific eligibility criteria and conditions will apply to each initiative. 	

8.6 Relocation Assistance

This package of assistance consists of:

- Market value compensation for both owner-occupiers and for landlords
- A Home Loss payment based on 10% of the property value for owner-occupiers with a minimum payment of £4,700 (or the current statutory minimum payment) and a maximum of £47,000 (or the current statutory maximum payment).
- A home Loss payment of £4,700 for all Tenants whose homes are purchased by the Council.
- A Disturbance Payment that should cover all reasonable expenses arising from re-location. Payment is based on proof of purchase provided by the resident.
- A Basic Loss payment of 7.5% of the property value for landlords.
- A discretionary Relocation Grant to enable a person affected by relocation to move to a suitable home. The maximum relocation grant available is £25,000.

The assistance is available to:

- All residents and property owners affected by the Councils plans to demolish homes.
- The assistance is available at the time that the Council purchases the property.
- This discretionary Relocation Grant is available to Clients who own their own home but who are unable to access the Equity Loan to assist them to relocate. A Discretionary Panel will take into account all or a combination of the following factors.
 - The availability of suitable housing.
 - The current market value of the existing property to be demolished.
 - The current market value of the proposed new property, identified by the Client
 - The existing mortgage terms and conditions.
 - The cost of funding any alterations to the
- Relocation Grant may be unavailable should the Client choose to move outside of a set geographical area. This area will be clearly defined by the Council and the information made available to affected residents.

	<p>new property.</p> <ul style="list-style-type: none"> • The funding of any shortfall between the new and old property. • The equity in the existing property. • The mortgage rearrangement costs. • Any other exceptional circumstances deemed necessary by the Discretionary Panel. 	
<p>8.7 Area/Theme Based Assistance</p> <p>Financial Assistance is available for works which will enhance confidence and perception of specific Neighbourhoods within the area.</p> <p>As the needs of each area are identified, a range of renewal assistance may be available which may include the following:</p> <ul style="list-style-type: none"> • Schemes designed to tackle specific issues, such as prevention of crime, or particular housing defects affecting a number of homes • Block improvement or Facelift schemes <p>A contribution from the owners towards the works is normally required. The contribution will be specified for each scheme. A financial test of resources may be available to owner occupiers to assess their ability to make a contribution.</p>	<p>Assistance will usually be available;</p> <ul style="list-style-type: none"> • Within specific neighbourhoods that require support, in accordance with the Councils plans, produced in conjunction with local people, for comprehensive improvement of the area. • Both owner occupiers and, within block schemes, landlords who employ good management practices. • The assistance will be based upon the type of works involved, the tenure of the property and financial resources available to the owner occupier. 	<ul style="list-style-type: none"> • The grant condition period is 5 years, and will begin upon approval of the financial assistance. If the property is disposed of during this period, then payment of the grant will be required to be paid back in accordance with a sliding scale of repayment. (For more information see conditions). • Where the property is let to a tenant, the landlord must ensure that the property meets any local 'Accredited Standard' and that he becomes a member of any local Landlord Accreditation Scheme. This standard and membership should be maintained throughout the grant condition period of 5 years. This standard will be agreed with the landlord prior to approval of the grant.

Financial Assistance Costs

The Council charges a local authority fee for the administration of financial assistance. This is associated with the professional, technical and administration charges incurred in providing advice, preparing schedules, supervision and project management of successful enquiries for financial assistance. This fee is a percentage of the cost of the works required, and will be made clear to the Client prior to approval of the financial assistance. Subject to the Clients individual financial circumstances, financial assistance may be available toward the cost of the fee

Financial Assistance Conditions

10 Conditions that apply to all forms of Financial Assistance

- Financial Assistance will not be paid for works that have already begun prior to approval.
- Where the word 'sold' appears in relation to a change of ownership of the property and a condition applies, the condition will also apply should the property be disposed of, assigned, transferred or otherwise, including the transfer to family members, or is no longer occupied by the Client as principal residence.

11 Prior to the Works**11.1 The Applicant**

- a. The applicant must be the homeowner, i.e. be the person named on the mortgage or deeds of the property at the time the assistance is received and must sign either an;
 - "Owner-occupation Certificate". This document certifies that the applicant intends that he or a member of his family will live in the property as his (or that member's) only or main residence until the assistance is repaid (or until the end of the Grant Condition Period for Area Based Assistance), or a;
 - "Certificate of Intended Letting". This document certifies that the applicant intends that the property will be let or available for letting, for use as a residence (and not for a holiday) to a person who is not a member of the owner's family until the assistance is repaid, (or until the end of the Grant Condition Period for Area Based Assistance).
- b. The applicant must have owned the property for a period of 12 months prior to the date of the application for assistance. This will not apply to applicants for 'Area Based Assistance', Disabled Facilities Grants, or to loans or discretionary Grant Assistance for the purposes of Disabled Facilities.
- c. The applicant must be aged 18 years or over on the date of application;

11.2 The Property and the Works

- a. The property must be registered with Land Registry prior to approval of the application for assistance.
- b. The works that are eligible for assistance, the Client Contribution, and the contractor that will carry out the works must be agreed with the Council. Should the Council have in place any local 'approved contractor' system, then financial assistance will only be provided in accordance with this system. Should this system be in place, the Client Contribution will be required to be paid to the Council prior to commencement of any works.
- c. Should works that were unforeseen at the time of the approval of the financial assistance be identified while the works are being

undertaken, financial assistance towards the additional cost will be considered in accordance with the hierarchy of assistance included within Section 6 (except for mandatory DFG Grant or Disabled Facilities Discretionary Grant). This means that the Clients will be required to pay for such works themselves unless they are able to demonstrate that they do not have the resources available. Should additional financial assistance be appropriate, the 'loans first, grant last resort' principle will be applied. Should the additional financial assistance required cause the maximum amount of financial assistance available to be exceeded, the Council may use discretion through normal decision making processes to approve the increased amount.

- d. Should works that were unforeseen at the time of the approval of the financial assistance be identified during delivery of assistance for disabled facilities, financial assistance in the form of further mandatory DFG, or Disabled Facilities Discretionary Grant towards the additional cost will be considered. Loan Assistance will not be considered.

11.3 The Application

An application must be made on the application form provided for that purpose. The Council will only consider a valid application for assistance. A valid application is one where the following documents are submitted:

- o A correctly completed application form and any supporting documentation
 - o Either a certificate of owner occupation, or a certificate of intended letting or a tenant's certificate
 - o Proof of title where applicable
 - o Authorisation from the owner of the property if a third party is acting agent in the application. This can be in the form of an authorisation letter, power of attorney or similar
 - o Completed form of Technical and Administrative Services Charges (except in cases where either a home improvement agency, such as XXX, is assisting the application or where scheme waiver is in existence)
 - o Any relevant reports as requested by the Schedule giving the particulars of the relevant works
 - o At least two sets of estimates (assistance to obtain these may have been provided by the Council or its Home Improvement Agency Partner). Should the Council have in place any local 'approved contractor' system, then estimates should have been obtained using this system.
 - o Details of preliminary or ancillary services or charges
 - o Other prescribed particulars
- a. The applicant shall be required to enter into a contract with the Council.
 - b. The Council will determine an application within 6 months of receipt of a valid application. The applicant will be informed in writing of the approval or refusal of the application.

12 Carrying Out and Completing the Works

12.1 The eligible works should be completed within six months from the date of approval of the application. The Council may extend this period if they feel it is necessary, upon written request from the applicant;

12.2 Where the work has begun and not been completed within the time allowed in accordance with terms of the approval of the assistance and the Council has incurred costs including any interim payments or additional costs, the Council may recover these from the applicant. Where the applicant fails to fully reimburse the Council, the Council shall place a land charge on the property for

any outstanding amount plus any interest accrued from that date;

12.3 The works that are eligible for assistance must be completed to the satisfaction of the Council and carried out in accordance with any specification imposed by the Council

12.4 The council should be provided with an acceptable invoice, demand or receipt for payment from the agreed contractor. For this purpose an invoice, demand or receipt is acceptable if it satisfies the Council and is not produced by the applicant or a member of his/her family.

12.5 It will be a condition of assistance that the property must be insured and properly maintained. If this condition is not met during the period until the assistance is repaid, (or until the end of the Grant Condition Period for Area Based Assistance) it will be a breach of the conditions of assistance; a copy of the buildings insurance certificate may be requested annually by the council.

13 After the works

13.1 The property should be kept properly maintained. If this condition is not met during the period until the assistance is repaid, (or until the end of the Grant Condition Period for Area Based Assistance) - the Council may treat this as a breach of conditions.

13.2 It is the responsibility of the applicant to demonstrate that the conditions of the financial assistance are being adhered to. If the Council requests any information in relation to the conditions in writing and the applicant fails to supply the information, then the Council may deem this as a breach of the financial assistance conditions;

13.3 The property must not be left empty for any appreciable length of time until the assistance is repaid, (or until the end of the Grant Condition Period for Area Based Assistance). An extended period of vacancy may be construed as a breach of conditions and the council may recover the financial assistance from the applicant. The applicant should notify the Council in writing of any extended period of vacancy of over 6 weeks in duration;

13.4 Should the application have been accompanied by a signed Owner-Occupation Certificate, and the financial assistance approved in accordance with this, the property should remain the principal residence of the Client (or a member of his family in accordance with the terms of the owner occupation certificate) until the financial assistance is repaid (or until the end of the Grant Condition Period for Area Based Assistance). Should the property be subsequently let to a tenant before the assistance is repaid (or until the end of the Grant Condition Period for Area Based Assistance) the Client will be required to carry out any works required to ensure that the property meets at least the minimum 'accreditation standard' as set by any local Landlord Accreditation Scheme. The Client will also be required to become a member of any local Landlord Accreditation Scheme. This property standard and membership of this scheme should be maintained until the assistance is repaid (or until the end of the Grant Condition Period for Area Based Assistance). A tenant is a person who is not a member of the owner's family.

14 The Legal Charge and Local Land Charge

14.1 Once an application for financial assistance is approved, the assistance will be registered as a legal charge and a local land charge on the property. This will be carried out before any assistance is paid.

14.2 In relation to Disabled Facilities Grants, the charge will apply for a period of up to 5 years from the date at which the Council certifies that the eligible works have been carried out to their satisfaction ("the certified date").

14.3 In relation to Area Based Assistance, the charge will apply for a period of 5 years from the date of approval of the assistance.

- 14.4** For all other forms of financial assistance the charge will remain on the property until the financial assistance is repaid.
- 14.5** In relation to the Capital and Interest Repayment Loan, should the Client wish to make a relevant disposal of the property before repayment of the loan is complete, this will be a breach of the conditions and the loan amount that is outstanding must be repaid to the Council upon the disposal of the property.
- 14.6** Reducing the priority of the charge or removing the charge will only be undertaken in exceptional circumstances.
- 14.7** A charge is binding on the person who is for the time being an owner of the premises concerned.
- 14.8** Where a condition is broken, the Council has all the usual remedies in law to secure repayment including enforcement of the charge.

15 Repayment of Financial Assistance - Owner occupiers

It is a condition of all forms of assistance that repayment is received in accordance with the terms of approval of the financial assistance. Specifically that;

- 15.1** In relation to Capital and Interest Repayment Loans, repayments are received in accordance with financial assistance approval.
- 15.2** In relation to Equity Loans, repayment is received when the property is sold, disposed of, assigned, transferred or otherwise, including the transfer to family members, or is no longer occupied by the Client as principal residence. Family members include both immediate and extended family. Should family members or other persons be living in the property at the time of death of the Client, there will be no automatic right of succession. Should repayment of the loan require the property to be sold, in this circumstance the Council can exercise discretion through formal decision making processes if appropriate.
- 15.3** It is a condition of all forms of assistance that, where an owner makes a relevant disposal of the property, other than an exempt disposal, they will be required to repay the financial assistance to the Council. (For details of both relevant and exempt disposal, see explanatory notes below)
- 15.4** It is a condition of the 'Area Based Assistance' that, where an owner makes a relevant disposal of the property, other than an exempt disposal, within a period of 5 years from the date on which the Council approves the financial assistance they will be required to repay the financial assistance to the Council, on demand, and in accordance with the following sliding scale: -

Year 1	100% repaid
Year 2	80% repaid
Year 3	60% repaid
Year 4	40% repaid
Year 5	20% repaid

- 15.5** It is a condition of the 'Disabled Facilities Grant' that, where an owner makes a relevant disposal of the property, other than an exempt disposal, and where a legal charge has been applied, that within a period of up to 5 years from the date on which the Council certifies that the eligible works have been carried out to their satisfaction ("the certified date") he will be required to repay the financial assistance to the Council, on demand. This is subject to certain restrictions imposed by the Housing Grants

Construction and Regeneration Act 1996: Disabled Facilities Grant (Conditions relating to approval or payment of Grant) General Consent 2008. The Council may demand the repayment of such part of the grant which exceeds £5,000, but may not demand in excess of £10,000.

15.6 Where any condition is breached, the Council may decide not to make any demand for whole or part repayment. Each case will be considered on its merits. A decision will primarily be based on the financial hardship that will be experienced by the Client as a result of repayment of the assistance. Should financial hardship be experienced in conjunction with any of the following, the Council may decide not to make demand for whole or part repayment;

- **Provision of care** - where the Council is satisfied that the owner is elderly or infirm and is disposing of the property with the intention of being cared for by relatives or going to live in sheltered housing or a residential care home, or where the owner is moving to care for an elderly or infirm family member.
- **Repossession** - where a mortgagee exercises a power of sale.
- **Employment** - where an applicant is making a disposal further to the need to move following acceptance of employment where they would otherwise become unemployed.
- **Health and Well-being** – where the disposal is connected with the physical or mental health or well being of a relevant person.
- **Disposal to the local authority or Registered Social Landlord**
- **Sale to a disabled person on the Councils Disabled Facilities Grant waiting list** – where the Council would otherwise have assisted the buyer to adapt their current home.

16 In More Detail - Repayments of Financial Assistance – Landlords

It is a condition of all forms of assistance that repayment is received in accordance with the terms of approval of the financial assistance. Specifically that;

16.1 In relation to Capital and Interest Repayment Loans, repayments are received in accordance with financial assistance approval.

16.2 In relation to Equity Loans, repayment is received when the property is sold, disposed of, assigned, transferred or otherwise, including the transfer to family members.

16.3 It is a condition of the 'Area Based Assistance' that, where an owner makes a relevant disposal of the property, other than an exempt disposal, within a period of 5 years from the date on which the Council approves the financial assistance he will be required to repay the financial assistance to the Council, on demand, and in accordance with the following sliding scale: -

Year 1	100% repaid
Year 2	80% repaid
Year 3	60% repaid
Year 4	40% repaid
Year 5	20% repaid

16.4 It is a condition of all types of assistance that;

- the property will be let as a residence, and not for a holiday, on a tenancy which is not a long tenancy (except in the case of a disabled facilities grant), by the owner for the time being of the property, to a person who is not connected with him (generally speaking, this means not a member of his family), or
- the property will be occupied by a member of the Agricultural population under a service contract, and otherwise than as a tenant.

16.5 It is also a condition of all types of assistance that the Council may by written notice require the owner to provide within 21 days a statement showing how the property is occupied.

16.6 It will be a condition of all types of assistance that the property must be insured and properly maintained. If this condition is not met during the period until the assistance is repaid, (or until the end of the Grant Condition Period for Area Based Assistance) it will be a breach of the conditions of assistance; a copy of the buildings insurance certificate may be requested annually by the council.

16.7 It will be a requirement for the Landlord to maintain the property to at least the minimum 'accreditation standard' as set by any local Landlord Accreditation Scheme and for the Landlord to become and remain a member of any local landlord Accreditation Scheme in existence at the time that the assistance was approved. This will have been made clear to the landlord in advance of making an application for the grant. Failure to do so may be construed as a breach in conditions.

16.8 In the event of a breach of conditions, the Council may demand the repayment of the assistance with interest. The Council has the discretion either not to demand repayment, or to require payment of less than the full amount.

16.9 At the time that the property is sold, or in the event of the breach of conditions, the Council may decide not to make any demand for whole or part repayment. . A decision will primarily be based on the financial hardship that will experienced by the Client as a result of repayment of the assistance. In addition, the Council may consider the following;

- Disposal to the local authority or a Registered Social Landlord**
- Inability to let the premises** – where the landlord has not been able to let one or more of the flats contained in the building.

General Notes:

- If the property is occupied by a person who is a protected occupier under the Rent (Agriculture) Act 1976 or is occupied under an assured agricultural occupancy, within the meaning of Part 1 of the Housing Act 1988, the condition will not be breached.
- In a case where personal representatives or trustees are the owner, the letting must not be to a person who has a beneficial interest under the will, intestacy or trust, in the property or the proceeds of its sale.
- A "RELEVANT Disposal" is where the whole or part of a property undergoes either a conveyance of the freehold or an assignment of the long lease or the grant of a long lease, which does not qualify as an exempt disposal.
- An "EXEMPT disposal" means a disposal that is:
 - Of the whole of the property to the owner or one of the joint owners of the dwelling
 - Of the whole of the property by Court order in the course of a domestic breakdown;
 - Compulsorily, or by agreement, to a public body with compulsory purchase powers;
 - Of land which is "included land" under Section 184 of the Housing Act 1985;

An owner's interest is:

- an estate in fee simple absolute in possession, or
- "a term of years absolute of which not less than five years remain unexpired at the date of application". This included a long lease of seven years or over granted under deed where the leaseholder has a repairing obligation. There must be at least 5 years remaining on the lease. Whether held by the applicant alone or jointly with others.

A person is a member of another's family if that person is:

- the other's wife or husband or that person lives with the other as wife, husband or civil partner
- a son or daughter or son-in-law or daughter-in-law of the other, or of the other's wife or husband ("son" or "daughter" includes any step son or step daughter and any illegitimate son or daughter, and "son-in-law" and "daughter-in-law" are to be construed accordingly) or, a parent, grandparent, grand child, brother, sister, aunt, uncle, nephew, niece of the other, or of the other's wife or husband, whether the relationship is by blood or marriage.

Equal Opportunities Statement

- 17** The Council fully endorse the removal of all barriers to its services arising from ethnicity, religion, geographic location, special needs, language differences, learning difficulties, sexual orientation, gender, age or disability. This list is not intended to be exhaustive, but is intended to show some of the areas where it is believed discrimination could occur.
- 17.1** In order to ensure that this policy provides equal access to all, a comprehensive impact assessment has been undertaken to consider the effect of the policy on all the residents of the area.
- 17.2** The assessment showed overall that implementation of the revised policy would generally enhance the beneficial effect on the health, safety and welfare of residents by raising housing standards and community vitality.
- 17.3** This document can be produced in other formats, such as in Braille; large print; on audiotape; CD-ROM or in other languages. Contact XXX on XXX for help.

Confidentiality and Data Protection Statement

- 18** When providing assistance the Council will require information relating to the personal and financial circumstances of the client.
- 18.1** This personal information will be handled in a manner, which meets the requirements of the Data Protection Act (1998). The Council will take all reasonable steps to ensure that personal data is kept secure against unauthorised access, loss, disclosure or destruction.
- 18.2** Sometimes it may be in the interest of the client to have personal information passed to one of the Council's partners, so that the client can receive further help. The Council will always request a clients permission prior to sharing information with partners.
- 18.3** In certain circumstances the information provided may be used to prevent and detect fraud, as a result of the Council's obligation to protect the public funds it handles.
- 18.4** The Freedom of Information Act enables anyone to request information from a public authority. When a request is made the Council has a duty to respond to the request within 20 days as well as providing advice and assistance to people who have requested information.

Contact Details

19 If you would like more information, or would like to discuss any part of this Policy contact XXX who will be happy to help.

19.1 If you would like to make an enquiry for assistance contact:

- By post or in person at XXX
- By telephone on XXX
- By email to XXX
- By fax on XXX

19.2 Alternatively go to our website at XXX where you will find advice and guidance on home repairs and maintenance, and the help that is available.

Complaints, Compliments and Appeals

20 The Council operates a Corporate Complaints procedure. If you are not satisfied with the service that you have received please contact us. Your comments help the Council to improve the service provided:

- By post or in person at XXX
- By telephone on XXX
- By email to XXX
- By fax on XXX

20.1 Equally if our Clients are satisfied with the service they receive we would also like to hear about it

20.2 Should a Client wish to appeal about any decision taken in relation to their enquiry for financial assistance, such as disputes relating to eligible works, or levels of assistance, appeals will first of all be dealt with by the Home Improvement Manager (or equivalent). Clients will be informed of the outcome of their appeal in writing. Should the issue not be resolved, the appeal will be referred to the Head of Housing. The decision of the Head of Housing will be final in this respect.

Appendix A - Guidance - Decent Homes Standard

A Decent Home must;

- a) **Meet the current statutory minimum standard for housing** – The Housing Health and Safety Rating System (HHSRS), states that all dwellings should be free from category 1 hazards. (Those hazards which are most likely to occur and to cause serious harm)
- b) **Be in a reasonable state of repair** – If one or more of the key building components are old and/or need major repairs or need replacing then the property would not meet the standard. Key building components could include; external walls; roof structure and covering; windows and doors; chimneys; central heating boilers; gas fires; storage heaters; plumbing and electrics. This list is not exhaustive.
- c) **Have reasonably modern facilities and services** – A dwelling is considered not to meet the decent standard if it lacks three or more of the following facilities: -
 - A kitchen which is 20 years old or less;
 - A kitchen with adequate space and layout;
 - A bathroom which is 30 years old or less;
 - An appropriately located bathroom and WC;
 - Adequate external noise insulation; and
 - Adequate size and layout of common entrance areas for blocks of flats
- d) **Provide a reasonable degree of thermal comfort** – The standard requires all dwellings to have both efficient heating and effective insulation. Efficient heating is defined as any gas or oil programmable central heating; or
 - Electric storage heaters; or
 - Warm air systems; or
 - Underfloor systems; or
 - Programmable LPG/solid fuel central heating; or
 - Similarly efficient heating systems which are developed in the future

It may sometimes be appropriate to provide financial assistance towards works, to a lower or higher standard than the Decent Homes Standard. For example;

A lower standard; To assist Clients to make their contribution towards a Government Energy Efficiency Scheme. Providing assistance towards works contributing to thermal comfort alone may be important to help a Client to take advantage of such a scheme, where an application for more complex works would slow the process and put their participation in such a scheme at risk. Similarly, an elderly Client may prefer only to have serious hazards remedied, to avoid prolonged inconvenience in the home.

A higher standard; Where work is being carried out to replace rotted windows, financial assistance may be provided to replace all windows in an elevation rather than only those that are in poor condition.

Appendix B - Guidance – Disabled Facilities Grant Eligible Works

The purposes for which mandatory DFGs may be given are set out below.

- facilitating access to and from the dwelling or the building in which the dwelling or flat, as the case may be, is situated, e.g. by widening doors or installing ramps;
- facilitating access to a room used or usable as the principal family room;
- facilitating access to a room used or usable for sleeping, or alternatively providing such a room for the disabled occupant;
- facilitating access to a room in which there is a lavatory, a bath or shower (or both) and a wash basin or providing a room in which there is such a facility or facilities;
- facilitating access to the garden
- facilities for the preparation and cooking of food.
- adaptations to the dwelling or building to make it safe for the disabled person and other persons residing with him. This may include improvements to access and movement around the home to enable the disabled person to care for another person who lives in the property, such as a spouse, child or another person for whom the disabled person cares.
- improvement of an existing heating system in the dwelling to meet the disabled occupant's needs. Where there is no heating system or where the existing heating arrangements are unsuitable to meet their needs, a heating system may be provided. The installation of central heating to the dwelling will only be considered where the well-being and mobility of the disabled person would otherwise be adversely affected.
- to enable a disabled person to have full use of heating, lighting and power controls in the dwelling. Such work includes the relocation of power points to make them more accessible, the provision of suitably adapted controls where a disabled person has difficulty in using normal types of controls and the installation of additional controls.

Common parts

The purposes for which grant is available for works to the common parts of buildings such as blocks of flats are, limited to works to facilitate access to the dwelling through the common parts, or facilitating the use by the disabled person of a source of power, lighting or heating in the common parts.

Determination of whether works are necessary, appropriate reasonable and practicable

The Council will satisfy itself that the works are necessary, appropriate reasonable and it is practicable to carry out the relevant works having regard to the age and condition of the dwelling or building. The Council will have regard in determining this to the guidance and good practice issued from time to time by the Government.

Guidance – Works which may be eligible for a discretionary/top-up Disabled facilities Grant

The following works are those which may not necessarily be eligible for mandatory Disabled Facilities Grant, but which enable a disabled person to live independently at home. Discretionary assistance may be available for these.

- The provision of a safe play area for a disabled child.
- Works or arrangements to allow a disabled child who has parents who are separated to live for part of the time with each parent should this be appropriate.
- To provide a complete solution to the needs of the disabled person.

Appendix C - Guidance – Loan or Discretionary Disabled Facilities Grant Assistance for Moving to a more suitable Home

The Council will consider providing assistance to enable a disabled person to move to a more suitable home where it is more cost effective than adapting the current home to make it suitable for the person's current or future needs, even if the new home requires some adaptations.

The loan and discretionary assistance can be used to top up the mandatory Disabled Facilities Grant, as described in 7.1, 7.2 and 8.3 above.

However, when assessing the availability of loan or discretionary assistance beyond the maximum mandatory DFG limit of £30,000, the Council must ensure that the maximum amount of money spent on any one Client remains reasonable, and that funding available is used to help as many disabled people as possible.

In order to calculate the amount of loan or discretionary assistance that is available beyond the mandatory DFG limit of £30,000 the Council will consider the following factors;

- The eligibility of the applicant
- the nature of the works i.e. relocation will only be available where mandatory works are required to the existing home.
- Whether the current property is not reasonably suitable for adaptation, or the cost of the works exceeds the maximum assistance for mandatory Disabled Facilities Grant
- Whether the disabled person expresses a preference to move to a more suitable property.
- The existing support networks assisting the applicant.
- The availability of suitable housing.
- Consideration of social housing as an alternative.
- The cost of alternative care arrangements, home support residential care, etc.
- Entitlement to benefits and advice from the Benefits Agency
- The current market value of the existing property
- The current market value of the proposed purchase property
- The existing mortgage and terms and conditions
- The cost of funding and practicality of carrying out any alterations to the new property
- The funding of any shortfall between the new and old property
- The equity in the existing property
- The mortgage rearrangement costs
- The amount of financial assistance the Council may need to provide
- How the mortgage and interest payments will be financed

Appendix D – How the Loan Works

Capital and Interest Repayment Loan

Interest will be charged at a rate that is 2% above Bank of England Base Rate at the time that the loan is approved. The interest rate will be fixed for the life of the loan, so that the monthly repayment will always be the same, and the amount of interest that will be charged will be known to the Client at the beginning of the loan.

The following example shows repayments based on an interest rate of 5%;

Amount Borrowed	Term	Monthly Repayment	Total Cost
£1000	2 years	£43.87	£1,052.91
£5,000	5 years	£94.36	£5,661.37
£10,000	10 years	£106.07	£12,727.86

The Equity Loan**Using the Equity Loan to improve or adapt the home:**

Value of the home	£ 90,000
Value of outstanding mortgage and any other secured loans	£ 50,000
Available Equity	£ 40,000
Maximum Equity Loan available (80% of Available Equity)	£ 32,000
Loan required	£ 12,000
Loan as a percentage of the property value	13%
House Value on sale (when the loan must be repaid)	£ 100,000
Loan amount repaid (13% of the property value at the time of loan repayment)	£ 13,000

Using the Equity Loan to move home:

Value of existing home	£60,000
Cost of replacement home	£80,000
This is paid for with:	
• Value of existing home	£60,000
• Equity Loan	£20,000
The loan is equal to a quarter of the value of the new home	25%
House value on sale	£90,000
Repayment 25% of £90,000	£22,500

CABINET REPORT

14th December 2009



Report of: Director of Regeneration and Neighbourhoods

Subject: PARTNERING ARRANGEMENTS FOR SERVICES PROVIDED BY HOUSING HARTLEPOOL AT THE COMMUNITY MONITORING CENTRE

SUMMARY

1. PURPOSE OF REPORT

To provide Cabinet Members with an outline of the proposed partnering arrangements with Housing Hartlepool for CCTV monitoring, emergency planning arrangements and out-of-hours services.

2. SUMMARY OF CONTENTS

The report names the services covered by the proposed partnering arrangement between the Council and Housing Hartlepool, explains the rationale for gain share within the partnering arrangement, gives information on the potential to generate new business and outlines risks.

3. RELEVANCE TO CABINET

CCTV is a town wide service with strategic relevance across a range of Portfolios. The decisions required are relevant to the Community Safety & Housing, and Finance and Efficiency portfolios.

4. TYPE OF DECISION

Non-key

5. DECISION MAKING ROUTE

Cabinet on 14th December 2009.

6. DECISION(S) REQUIRED

Cabinet are recommended to agree the partnering arrangements outlined within the report, specifically the 'profit sharing' arrangements outlined at paragraph 3.4.

Report of: Director of Regeneration and Neighbourhoods

Subject: PARTNERING ARRANGEMENTS FOR SERVICES PROVIDED BY HOUSING HARTLEPOOL AT THE COMMUNITY MONITORING CENTRE

1. PURPOSE OF REPORT

- 1.1 To provide Cabinet Members with an outline of the proposed partnering arrangement with Housing Hartlepool for CCTV monitoring, emergency planning arrangements and out-of-hours services.

2. BACKGROUND

- 2.1 At the meeting on 26th January 2009, Cabinet approved in principle, negotiation of a partnering arrangement with Housing Hartlepool to cover CCTV monitoring, emergency planning arrangements and out-of-hours services. Officers were asked to report back to Cabinet with more detail on the partnering arrangements.
- 2.2 Since that time, Housing Hartlepool has decided to change its monitoring centre arrangements, and officers have taken advantage of the opportunity to upgrade the monitoring equipment, to provide a 'video wall' set-up. This is more efficient than the previous monitoring set-up and affords space for monitoring a greater number of cameras, thus enabling the partnering arrangement to generate new business.
- 2.3 As agreed previously, the partnering arrangement will cover a five year period, commencing on 1st April 2010, with a potential to extend the arrangement for 2 years (2 x 12 months).
- 2.4 The proposed pricing structure for the services, was detailed in the confidential element of the Cabinet report of 26th January 2009 and is set out in the confidential **Appendix 1** to this report.

This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by Local Government (Access to Information (Variation) Order 2006) namely paragraph 3 ("Information relating to financial or business affairs of any particular person including the authority holding that information").

- 2.5 The annual cost estimates set out in the confidential Appendix 1 cover CCTV monitoring, emergency planning arrangements and out-of-hours services.

3. SPECIFIC PARTNERING ARRANGEMENTS

- 3.1 The 'Heads of Terms' as set out in Appendix 2, include reference to 'new business and gain share'. This will refer to how both Housing Hartlepool and the Council will benefit from new business and income streams arising out of the operation of this contract.
- 3.2 The infrastructure arrangements for Council owned CCTV equipment (cameras, fibre transmission routes, monitoring equipment) and monitoring centre building, (Housing Hartlepool responsibility) will not change from the present arrangements. Thus equipment will remain the responsibility of the Council to maintain, with the building and associated costs, being the responsibility of Housing Hartlepool.
- 3.3 It may be possible in the future to fund some/all of the annual investment requirements from the partnering arrangement profits.
- 3.4 Officers from the Council and Housing Hartlepool have discussed a profit sharing arrangement and concluded that the most equitable arrangement is to share surpluses equally.
- 3.5 Put simply the pricing of new business will be set to ensure that all identifiable costs of operating the elements of new business are identified including an element of core costs. Surplus income will be shared equally between the Council and Housing Hartlepool.

4. GENERATING NEW BUSINESS

- 4.1 It is proposed that new business would initially be sought from other public sector bodies, who may either be tendering a specific CCTV monitoring service, out-of hours business or similar, or seeking advice and guidance on security improvements to a whole site – this could include CCTV, alarm activation and response, security fencing, window grilles etc at, for example, a school site.
- 4.2 Other ideas to generate business include extension of CCTV systems/upgrades at existing sites such as car parks, or HBC and Housing Hartlepool buildings where property alarms are monitored by other organisations.

5. RISKS

- 5.1 CCTV is one of a number of tools used to prevent crime in Hartlepool. Recent Viewpoint surveys show that the majority of respondents support the use of CCTV in the town. The scrutiny investigation into CCTV during 2008/09 identified that on-going investment is required to maintain the complex equipment and keep abreast of technological advancements, but the Council cannot afford to continually invest to achieve this. Cabinet

subsequently agreed this partnering arrangement would mitigate against the financial risk.

- 5.2 A Steering group will be formed to provide management oversight of the partnering arrangements – this will include both organisations within the partnering arrangement together with Police and Fire Brigade as stakeholder organisations.
- 5.3 As described at paragraph 3.4, any new business arrangement will be costed to generate income for the two partners, which will be shared equally, but there is the potential for the anticipated profit to turn into a loss, should unforeseen and unexpected circumstances arise. This possibility will need to be included within the contract, to set out the arrangements to manage the implications of the loss.

6. RECOMMENDATIONS

- 6.1 Cabinet are recommended to agree the partnering arrangements outlined within the report, specifically the 'profit sharing' arrangements outlined at paragraph 3.4.

7. CONTACT OFFICER:

Alison Mawson
Assistant Director Community Safety & Protection
Regeneration and Neighbourhoods
The Archive Building
Upper Church Street
Hartlepool
Tel. 01429 284342

Background Papers:

Report to Cabinet 26th January 2009 – Future monitoring arrangements for CCTV

Appendix 2

PROPOSED CONTRACTUAL 'HEADS OF TERMS'

It is proposed that the 'Heads of Terms' for the service provision contract would incorporate the following elements:

- Definitions and Interpretation
- Start and Duration of the Agreement
- Entire Agreement
- Priority of Documents
- Assignment and Sub-Contracting
- Agency
- Authorised Officer
- Contract Officer
- Contract Price
- Service Standards
- Statutory Obligations
 - Personnel
 - Equal Opportunities
 - Health and Safety
 - Freedom of Information
 - Other Legislation/Statutory/Regulatory Guidance Relevant to the Operation
- Record and Information
- Corporate Requirements
- Data Protection
- Confidentiality
- Business Continuity Plan
- Insurance
- Housing Hartlepool's Liabilities and Indemnities
- The Council's Liabilities and Indemnities
- Defaults
- Termination
- Force Majeure
- Inducements
- Costs and Expenses
- New Business and Gain Share
- Dispute Resolution
- Variations to the Agreement
- Waiver
- Information and Retendering
- Contract (Right of Third Parties) Act 1999
- Notices
- Recovery of Sums Due
- Law and Jurisdiction
- Severability
- Remedies Cumulative

- Conclusion of the Contract

The following schedules will be included within the contract:

- Service Specification
- Contract Price
- Capacity
- Performance Monitoring
- Details of Authorised Officer
- Details of Contract Manager

CABINET REPORT

14th December 2009



Report of: Director of Regeneration & Neighbourhoods

Subject: DRAFT NATIONAL POLICY STATEMENT FOR
NUCLEAR POWER GENERATION

SUMMARY

1. PURPOSE OF REPORT

To advise Cabinet that the Government has published for public consultation a series of National Policy Statements, including a National Policy Statement for Nuclear Power Generation nominating a site in Hartlepool as a suitable location for the deployment of a nuclear power station by the end of 2025.

2. SUMMARY OF CONTENTS

The report explains that the Department of Energy and Climate Change has published for public consultation a suite of six National Policy Statements (NPSs) on energy related issues, one of which (Draft National Policy Statement for Nuclear Power Generation: EN-6) sets out the need for nuclear power in the country's energy mix and includes Hartlepool as a potential suitable location for a new nuclear power station.

The consultation period for responding to the NPS documents closes on 22nd February 2010 and the report proposes a way forward for the Council's contribution to the consultation process. In particular, the report provides a brief overview of the NPS documents, including specifically the contents of the Nuclear Power Generation NPS, and suggests some measures the Council may wish to take to help publicise the consultation and help inform its own response to the Government.

3. RELEVANCE TO CABINET

The Executive has responsibility for matters deemed to be sensitive which are non-key decisions.

4. TYPE OF DECISION

Non - Key

5. DECISION MAKING ROUTE

Cabinet 14th December 2009

6. DECISION REQUIRED

That Cabinet notes:-

- a) the Government is undertaking a consultation process until 22nd February 2010 on the Nuclear Power Generation (EN-6) and other energy-related National Policy Statements
- b) that Hartlepool is included amongst a list with nine other sites elsewhere in England & Wales within the NPS as a suitable potential location for deployment of a new nuclear power station by the end of 2025
- c) the proposed way forward in terms of measures the Council may wish to take to publicise the consultation and help inform its own response to the Government.
- d) the intention to report back to Cabinet in February, 2010 to enable a formal response to the consultation to be made.

Report of: Director of Regeneration & Neighbourhoods

Subject: DRAFT NATIONAL POLICY STATEMENT FOR
NUCLEAR POWER GENERATION

1. PURPOSE OF REPORT

- 1.1 To advise Cabinet that the Government has published for public consultation a series of National Policy Statements, including a National Policy Statement for Nuclear Power Generation (EN-6) nominating a site in Hartlepool as a suitable location for the deployment of a nuclear power station by the end of 2025.
- 1.2 To propose a way forward in terms of measures the Council may wish to take towards publicising the consultation and help inform its own response to the Government before the deadline of 22nd February 2010

2. BACKGROUND

- 2.1 Previous reports to Cabinet (on 6th April 2009 and on 1st May 2009) have considered issues in relation to the strategic site assessment criteria for nuclear power stations and also the information provided by nominators EDF Energy towards Hartlepool being included within the NPS as a site for a potential new nuclear power station.
- 2.2 In particular it has been agreed by Cabinet that (Minute ref 274 1st May 09) :-

“..... the nomination of a site for a new nuclear power station at Hartlepool merits further investigation by the Government in its preparation of a draft Nuclear National Planning Policy” and that

“It was noted that studies were, in the meantime, being undertaken locally to assess the economic and environmental impacts of a new nuclear power station at Hartlepool, and the findings of the studies would help inform public debate in the lead up to, and during, the longer and wider stage of public consultation in Autumn 2009”.
- 2.3 All Members of the Council have also had the opportunity to attend workshops on the subject of Nuclear Power as part of the Members Development Programme. The first of these were held in June 2008 when Members were informed of the then emerging Government policy on the development of a new nuclear

programme, plans for the decommissioning of Hartlepool's existing nuclear power station and the potential of a new nuclear power station being developed in the future. More recently, on 4th August 2009, Members received presentations by EDF Energy on the latest Hartlepool Power Station proposals, when the findings of the above-mentioned environmental and economic assessment studies were also made available.

3 NATIONAL POLICY STATEMENTS FOR ENERGY INFRASTRUCTURE

3.1 On 9th November 2009, the Department of Energy & Climate Change (DECC) published for public consultation a suite of six draft National Policy Statements in relation to energy infrastructure, namely :

- The draft Overarching National Policy Statement for Energy (EN-1)
- The draft National Policy Statement for Fossil Fuel Electricity Generating Infrastructure (EN-2)
- The draft National Policy Statement for Renewable Energy Infrastructure (EN-3)
- The draft National Policy Statement for Gas Supply Infrastructure and Gas and Oil Pipelines (EN-4)
- The draft National Policy Statement for Electricity Networks Infrastructure (EN-5)
- The draft National Policy Statement for Nuclear Power Generation (EN-6)

3.2 The six draft energy National Policy Statements and their supporting documents are available on the website www.energy-npsconsultation.decc.gov.uk during the public consultation period up to 22nd February 2010 and copies / summaries of the documents most relevant to Hartlepool have also been made available in the Members' Room. Following the public consultation and Parliamentary scrutiny of the NPS documents, the Government intends to finalise and formally approve (designate) these in 2010 when they will represent the primary consideration for the Infrastructure Planning Commission (IPC) when it makes decisions on applications for development consent for nationally significant energy infrastructure. (Note: there is also a non-energy related Ports NPS which has been issued with a consultation deadline of 15th February, 2010.)

3.3 By way of a brief summary, the overarching National Policy Statement (NPS) establishes national policy for major energy infrastructure provision in England & Wales. It is supplemented by the technology-specific NPS documents listed above and effectively must be read in conjunction with these which together form the primary basis for IPC decisions on energy infrastructure applications, such as in the case of Hartlepool for example, the development of a new nuclear power station.

- 3.4 The objectives of government energy and climate change policy for the power industry as encompassed within these documents are to reduce emissions; provide security of energy supply; expand grid capacity; keep costs down; and contribute to sustainable development.
- 3.5 Underpinning the NPS policies is the fact that a large number of power stations are due to close over the next 10 – 15 years (oil, gas and nuclear) and significant new electricity generating capacity is needed to meet future demand and ensure that peak demands and unexpected events do not lead to interruptions in supply. The NPS sets out a diverse energy mix to deliver the new capacity requirements and makes clear that the IPC does not need to consider the relative advantages of the different technologies.
- 3.6 The NPS envisages that by 2020 around 30% of future electricity generation will be from renewable sources. Nuclear power will be an important part of the mix and will potentially amount to 40% of new capacity by 2025. New fossil fuel (oil, coal and gas) electricity generating stations with carbon capture and storage are expected to be operational by 2020, and a 'smarter' electricity grid for distribution is required. Imported gas will become increasingly important as production in the North Sea declines and will require new infrastructure.

4. THE DRAFT NATIONAL POLICY STATEMENT FOR NUCLEAR POWER GENERATION

- 4.1 The NPS for Nuclear Power Generation establishes the need for nuclear power stations, the locations considered to be potentially suitable, likely impacts which could result and measures which a developer will be expected to take into account to reduce adverse impacts.
- 4.2 Currently there are 10 nuclear power stations in the UK, providing around 13% of the electricity supply and all but one of these will close by 2023 on current schedules. The Government expects the first nuclear power station(s) to be operational from around 2018, and that by 2025 nuclear power generation could potentially amount to around 40 % of the new energy provision.
- 4.3 As previously reported to Cabinet, earlier in 2009 eleven sites were put forward by energy companies as locations for new nuclear power stations. In preparing the draft NPS for Nuclear Power Generation the Government undertook a Strategic Siting Assessment, assessing sites against a range of criteria, and now considers ten of these to be potentially suitable. The NPS consultation is seeking views on all of these sites and there is no hierarchy in terms of potential locations. The sites are :
- Bradwell (Essex)
 - Hartlepool (Tees Valley)

- Hinckley Point (Somerset)
- Oldbury (Gloucestershire)
- Sizewell (Suffolk)
- Braystones (Cumbria)
- Heysham (Lancashire)
- Kirkstanton (Cumbria)
- Sellafield (Cumbria)
- Wylfa (Anglesey, North Wales)

- 4.4 Dungeness in Kent is not included in the list of ten sites due to concerns related to coastal erosion and associated flood risk. Three further potential sites were also investigated, but found not to be suitable and as such are not listed in the draft NPS. The evidence to support these decisions is included in the NPS and views are invited through the consultation process.
- 4.5 The NPS also sets out the Government's view on the management and disposal of radioactive waste and considers that effective arrangements will exist to manage and dispose of waste, and is satisfied that spent fuel and high radioactive waste from new build is expected to be disposable. Decommissioning can take 30 years and the IPC will need to be satisfied that funding is in place to cover the full costs of this and any share of waste management and disposal costs.
- 4.6 Operators will be required to obtain authorisation from, and comply with conditions set by, the regulators to ensure safety and protection. In addition security measures will need to be included in any plans. The Health & Safety Executive and Environment Agency are currently assessing the suitability of two different reactor designs for use in the UK.

5. RESPONDING TO THE NPS CONSULTATION - PROPOSED WAY FORWARD

- 5.1 In anticipation of the nomination by EDF Energy of developing a new nuclear power station in Hartlepool, the Mayor, the Chief Executive and other senior officers have previously met with representatives of EDF to facilitate communications, and an inter-departmental officer group within the Council has also been established to help manage the process leading up to the current NPS consultation and beyond. As part of these preliminary discussions, the Mayor in particular has expressed his intention to encourage a full and open debate on the subject that could help inform the Council's position on the nuclear power proposals within Hartlepool.
- 5.2 Furthermore, as referred to earlier within this report, in order to help inform public debate in the lead-up to, and during this consultation period, the Council has liaised with partners within the Economic Forum and the Environment

Partnership to produce an economic impact study and a high-level assessment of the environmental implications of a new nuclear power station. Both pieces of work have featured within the Members Seminars held in August 2009 (and are now available upon the Council website) and should usefully help contribute to the ensuing debate about new nuclear power provision within Hartlepool.

- 5.3 An article publicising the consultation exercise has appeared in the recent Winter edition of Hartbeat, and Officers have continued to meet with officials from the Department of Energy and Climate Change (DECC) along with other local authorities potentially affected by new nuclear power station provision as appropriate.
- 5.4 Somewhat unfortunately - from a Hartlepool perspective – the delayed announcement by the Secretary of State on 9th November concerning the draft NPSs on Energy resulted in the intended DECC public consultation on these matters (including the indication within the NPS for Nuclear Power Generation that Hartlepool is identified as a site for a new nuclear power station) being announced and held by DECC within Hartlepool at very short notice. The public consultation event was held at Hartlepool's Maritime Experience over a 3-day period 12th – 14th November 2009, including a question and answer session on the Saturday 14th November. Although DECC did do some local media publicity of their consultation event and officers did circulate details of the DECC consultation by email to all Council Members, inevitably there has been criticism and concern expressed at the somewhat restrictive timescales for announcing the consultation.
- 5.5 In terms of the Council's own involvement in responding to the NPS Energy consultation, the intention is to present a more detailed report to Cabinet in February 2010 to agree the formal comments of Cabinet to the consultation process. With this in mind, and in order to help inform the Council's formal response to the Government, consideration has been given to the appropriate measures the Council itself might practically take (over and above those already referred to in this report) in order to :
- Widely publicise the NPS Energy Statements consultation
 - Facilitate an informed debate / response to DECC by residents and businesses
 - Facilitate a response to DECC by the Council which takes into account views expressed by residents and businesses
- 5.6 It is suggested that the proposed information and communications 'strategy' should embrace both 'electronic' and 'publicity / event' style formats, with the latter programmed after the forthcoming Christmas period to allow for the planning and likely turn-out for these, including :-

Information provision

- Establishment / creation of a dedicated web-site
- Inclusion on web-site of relevant DECC documents / links to these
- Inclusion on web-site of Economic Assessment / Environmental Impact and other relevant studies
- Ensuing on-line comment and debate to inform Council position / response
- Appropriate PR to launch website and links from Council / Partnership web facilities
- Relevant documents made available for public inspection and comment at key locations e.g. Civic Centre, Bryan Hanson House, Hartlepool Central Library, all branch libraries in Hartlepool
- Use of Viewpoint Panel to ask energy-related questions

Events/meetings

- Raising the government's consultation as a topic for information/debate at a range of meetings already scheduled, in early 2010
- Meetings to include the Hartlepool Partnership, Neighbourhood / NAP Forums, Business Forum, Economic Forum and Environment Partnership
- Recording comments at such meetings to inform the Council's own thinking
- A "Question Time" style event with an "expert" panel representing a cross-section of views

5.7 At the time of writing this report officers are currently deliberating further and considering the proposed "communication strategy" but the views of Cabinet would also be welcomed.

5.8 Whilst, as indicated at 5.5 a further report will be submitted in February to enable a formal Council response to be made, Cabinet may wish to note that officers are also liaising with colleagues in other Tees Valley local authorities, via the Joint Strategy Unit and Planning Managers Group, about responding jointly to the NPS Consultation documents. It is also understood that DECC have notified directly Redcar & Cleveland, Stockton and possibly Middlesbrough Borough Councils, along with Durham Unitary Authority, about the NPS for Nuclear Power Generation, as immediately adjoining authorities to Hartlepool.

6. RECOMMENDATIONS:-

That Cabinet notes:-

- a) the Government is undertaking a consultation process until 22nd February 2010 on the Nuclear Power Generation (EN-6) and other energy-related National Policy Statements
- b) that Hartlepool is included amongst a list of nine other sites elsewhere in England & Wales within the NPS as a suitable potential location for deployment of a new nuclear power station by the end of 2025
- c) the proposed way forward in terms of measures the Council may wish to take to publicise the consultation and help inform its own response to the Government
- d) the intention to report back to Cabinet in February 2010 to enable a formal response to the consultation to be made.

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CABINET REPORT

14 December 2009



Report of: Director of Regeneration & Neighbourhoods

Subject: LOCAL DEVELOPMENT FRAMEWORK ANNUAL
MONITORING REPORT 2008/2009

SUMMARY

1. PURPOSE OF REPORT

To seek the approval of the draft Local Development Framework Annual Monitoring Report 2008-9 for submission to the Government Office for the North East, subject to final editing to be approved by the Portfolio holder.

2. SUMMARY OF CONTENTS

Planning legislation requires that local authorities prepare an Annual Monitoring Report by the end of each calendar year. A report has been prepared covering the period 1 April 2008 and 31 March 2009. A copy of the draft report is attached as Appendix 1.

The Annual Monitoring Report assesses the implementation of the programme for preparation of Local Development Documents contained in the Local Development Scheme. The Annual Monitoring Report also assesses existing planning policies contained in the adopted Hartlepool Local Plan 2006.

The report sets out the progress of house building from 2004 and projected completions up to 2021 and compares this to the housing requirement set out in the Regional Spatial Strategy (July 2008).

3. RELEVANCE TO CABINET

The Annual Monitoring Report is part of the Local Development Framework under the new planning system and thus forms part of the Budget & Policy Framework.

4 TYPE OF DECISION

Non Key.

5. DECISION MAKING ROUTE

Cabinet 14 December 2009 and Council on 11 February 2010.

6. DECISION REQUIRED

Agreement in principle to the draft Annual Monitoring Report 2008/2009 for submission to Government Office for the North East subject to final editing to be approved by the Portfolio holder prior to submission.

Report of: Director of Regeneration & Neighbourhoods

Subject: LOCAL DEVELOPMENT FRAMEWORK ANNUAL
MONITORING REPORT 2008/2009

1. PURPOSE OF REPORT

- 1.1 To seek agreement for the Local Development Framework Annual Monitoring Report 2008-9 for submission to the Government Office for the North East subject to final editing to be approved by the Portfolio holder.

2. BACKGROUND

- 2.1 The Planning and Compulsory Purchase Act 2004 introduced a new planning system to replace the system of structure plans and local plans.

- 2.2 At the local level the Hartlepool Local Plan will be replaced by a portfolio of Local Development Documents and at the strategic level the Structure Plan has already been replaced by the Regional Spatial Strategy.

- 2.3 The Act also requires the Council to prepare a number of other documents including:-

a) - a Local Development Scheme (LDS) setting out a rolling programme for the preparation of policy documents. The latest LDS was approved in August 2009.

b) - a Statement of Community Involvement (SCI) setting out the standards to be achieved in involving the community in the preparation of Local Development Documents. The SCI was first adopted in October 2006. A revised document is to be considered by Cabinet with a recommendation to adopt the Review.

c) - an Annual Monitoring Report assessing the progress of preparation work against key milestones identified in the LDS and the effectiveness of planning policies.

This report is concerned with the last of these three documents, the Annual Monitoring Report.

3 THE ANNUAL MONITORING REPORT 2008/2009

- 3.1 The legislation requires that Local Authorities submit an Annual Monitoring Report by the end of each calendar year. The period to be covered in the report is the previous financial year (April 1st to March 31st). The fifth Annual Monitoring Report (AMR) covering the period 1 April 2008 and 31 March 2009 is now being produced.
- 3.2 As required by Government regulation the document assesses the implementation of the Local Development Scheme and also assesses the effectiveness of existing planning policies. In this case it is the policies of the adopted Hartlepool Local Plan 2006.
- 3.3 A draft of the 2008/2009 Annual Monitoring Report has been prepared (see Appendix 1). This draft still requires some information to be updated particularly on the housing trajectory to 2021, the inclusion of some minor background details and some editing before submission to the Secretary of State by 31 December 2009. (The submission will make clear that the report is also to be referred to Council on 11 February, 2010, as part of the Budget and Policy Framework.)

Assessment of the Local Development Scheme 2009.

- 3.4 The Annual Monitoring Report must include commentary on progress in relation to the Local Development Scheme as it is a statutory requirement to assess the implementation of the LDS. For the purpose of this AMR, the relevant LDS for the financial year 2008/2009 was the August 2009 LDS. The assessment confirms that most key milestones were reached during that period including the following:-

a) Hartlepool Core Strategy

During 2008, discussions were held with Government Office for the North East and as a result it was recommended that the timetable for the preparation of the Core Strategy be delayed to take account of the new Planning Policy Statement 12 and the new Town and Country Planning Regulations which came into force 21st September 2008. This allowed time for the evidence base to be thoroughly prepared so it will be as robust as possible. Cabinet, on the 21st July 2008 agreed to the change in the timetable. Work has proceeded on the preferred options and it is anticipated that the document will be made available for public consultation in January 2010.

b) Housing Allocations DPD

The preparation of the document commenced in January 2008 and work is continuing on the DPD.

c) Joint Minerals and Waste Core Strategy DPD and the Joint Minerals and Waste Site Allocations DPD

During 2008/2009 work continued on the preparation of the publication documents leading to the publication in August 2009. The DPDs are on course for submission to the Secretary of State in early 2010 and for adoption by summer of 2010.

Strengthen the Local Development Framework Evidence Base

- 3.5 The AMR report also provides information in relation to strengthening the evidence base for the LDF. The Hartlepool Core Strategy work has been informed by recent studies such as the Strategic Housing Market Assessment Report, an Employment Land Review, the Strategic Flood Risk Assessment, The Hartlepool Retail Study and other documents. In addition work on the Central Area Investment Framework and the Southern Business Zone study was completed in 2008/09.

Assessment of Current Policies

- 3.6 Government regulations require that the policies assessed in the Annual Monitoring Report should initially be those of the saved policies of the LDS, i.e. the policies of the Hartlepool Local Plan 2006. As at 31 March 2009 all the policies had been automatically saved for the three year period up to April 2009. A direction of the Secretary of State of 18 December identified those policies which were saved beyond 13 April 2009. Consideration of the saved policies beyond 13 April 2009 will be covered in the next year's Annual Monitoring Report.
- 3.7 During the year 2008/09 the only policy which was no longer appropriate was Com17 relating to land West of A179 / North of Middleton Road as the site had been developed as High Point Retail Park.
- 3.8 In line with government guidance the Annual Monitoring Report includes core output indicators to be monitored by all Local Authorities. This includes a housing trajectory illustrating past and likely future housing completions against the requirements set out in the Regional Spatial Strategy 2008.

4 RECOMMENDATIONS

- 4.1 Cabinet is recommended to approve in principle the draft Annual Monitoring Report 2008/2009 for submission to the Government Office for the North East, subject to final editing to be approved by the Portfolio holder prior to submission.

5. CONTACT OFFICER

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Hartlepool Local Development Framework

Annual Monitoring Report 2008/2009



PREFACE

Government legislation requires every Local Planning Authority to prepare an Annual Monitoring Report (AMR) for submission to the Secretary of State by the end of December each year. The period covered by the Annual Monitoring Reports should be the previous year 1st April to 31st March.

Specifically, the annual monitoring reports should assess:

- i. the implementation of the Local Development Scheme (LDS) which sets out the Council's programme for the preparation of documents relating to forward planning;
- ii. the extent to which policies in current planning documents are being achieved.

This is the fifth Annual Monitoring Report to be prepared for Hartlepool under the new legislation and it generally covers the period **1st April 2008 to 31st March 2009**, although account is taken as necessary of relevant developments both before and after this period.

The report is set out as follows:

- Executive summary of the main findings,
- Introduction setting the context for the report,
- Progress on the implementation of the local development scheme,
- The key characteristics of Hartlepool problems and challenges faced, and
- Assessment of current planning policies in the adopted 2006 Hartlepool Local Plan.

CONTENTS

Preface	ii
Executive summary	1
1. Introduction	3
2. Implementation of the Hartlepool Local Development Scheme	5
3. Hartlepool, Its Key Characteristics, the Problems and Challenges Faced	13
4. Assessment of Policies	29
Business Development & the Town Centre	31
Housing	36
Environmental Quality	47
Minerals & Waste	50
Quality of Life	54
Development in the Rural Area	54
Conservation & Design	56
Access to the Countryside	58
5. Endnote	61
6. Appendix 1: Saved Policies	62

EXECUTIVE SUMMARY

This is the fifth Annual Monitoring Report prepared by Hartlepool Borough Council under the Planning & Compulsory Purchase Act 2004 and generally relates to the period **April 2008 to March 2009**. It reviews the progress made on the implementation of the Local Development Scheme and generally assesses the effectiveness of planning policies and the extent to which they are being implemented.

(A) Implementation of the Local Development Scheme (LDS):

The following Development Plan Documents (DPDs) are currently being prepared:

1. Hartlepool Core Strategy DPD
2. Hartlepool Affordable Housing DPD
3. Hartlepool Housing Allocations DPD
4. Tees Valley Joint Minerals and Waste Core Strategy DPD
5. Tees Valley Joint Minerals and Waste Site Allocations DPD

Supplementary Planning Documents (SPDs):

1. Transport Assessment and Travel Plans SPD
2. Hartlepool Planning Obligations SPD
3. Victoria Harbour SPD

Almost all key milestones for the preparation of the above Planning Documents during the period 2008/09 have been met. Their preparation programme is set out in the Local Development Scheme March 2008.

During the period 2008/2009 there were delays in the preparation of the following documents: Core Strategy DPD, Hartlepool Planning Obligations SPD and The Transport Assessment and Travel Plans SPD. The reasons for these delays were to allow more time for the production of a more robust, credible evidence base which will help ensure that the Core strategy is ultimately found to be 'Sound' at examination. This evidence base; Employment Land Review, PPG17 Open Space audit, Southern Business Zone Study, Central Area Framework is now in place and work has progressed on the Core Strategy.

(B) Assessment of Planning Policies

The planning policies assessed in this report are those of the Hartlepool Local Plan adopted in April 2006.

The assessment does not cover every individual policy in detail – this was in any event done as part of the preparation process for the new Local Plan. The report considers the effectiveness of the policies which have been in force since 2006.

As the Local Plan was adopted as recently as April 2006 most of the 173 separate policies are up to date and still relevant. However, in October 2008, a request was sent to the Secretary of State (SoS) to save Local Plan Policies beyond April 2009 whilst the Local Development Framework (LDF) which will eventually replace the Local Plan is under preparation. The SoS issued a direction on 18th December 2008 to which was attached a schedule setting out the policies to be saved beyond 13th April 2009 (see Appendix 1). A list of the saved policies can be accessed on http://www.hartlepool.gov.uk/site/scripts/download_info.php?fileID=4102

In general the local plan policies have been effective in both the management of planning proposals and in the economic, social and environmental development of the Borough.

1 INTRODUCTION

The Planning Legislation

- 1.1 The Planning and Compulsory Purchase Act 2004 introduced a new system of development planning. New types of planning documents are being prepared and incorporated into a Local Development Framework (LDF). These documents are known as Local Development Documents (LDDs). The Local Development Documents will set out the spatial planning strategy for the Hartlepool area¹ and progressively replace the Hartlepool Local Plan and associated supplementary planning guidance. Hartlepool Borough Council's programme for preparing documents under the new planning system is set out in the Local Development Scheme (LDS)².
- 1.2 The Local Development Framework comprises a number of related documents. These are:
- The Local Development Scheme referred to above,
 - The Statement of Community Involvement setting out how the Council will involve residents and other interested persons and bodies in the preparation and revision of new planning documents and in the consideration of major planning applications, and
 - The Annual Monitoring Report assessing the implementation of the local development scheme and the extent to which policies in local development documents are being achieved.

The Annual Monitoring Report

- 1.3 Local planning authorities are required³ to examine certain matters in their Annual Monitoring Reports. Additional government policy and advice is set out in PPS12 (Local Development Frameworks) and the Communities & Local Government's 'Regional Spatial Strategy and Local Development Framework – Core Output Indicators- Update 2 / 2008'.
- 1.4 The key tasks for Annual Monitoring Reports are as follows:
- a) Review actual progress in terms of the preparation of documents specified in the Local Development Scheme against the timetable and milestones set out in the Scheme, identifying if any are behind timetable together with the reasons, and setting out a timetable for revising the scheme (see Section 2).
 - b) Assess the extent to which planning policies are being implemented – these will ultimately be the policies included in local development

¹ For further information on the new planning system see Section 2 of the Hartlepool Local Development Scheme.

² The Local Development Scheme 2008 can be viewed on Hartlepool Council's website (www.hartlepool.gov.uk).

³ Under Section 35 of the Planning and Compulsory Purchase Act and Regulation 48 of Town and Country Planning (Local Development) (England) Regulations 2004.

documents, but initially will be what are termed 'saved' policies' from adopted local plans.

In terms of assessing the implementation of such policies, the Annual Monitoring Report should:

- where policies are not being implemented, explain why and set out the steps to be taken to ensure that the policy is implemented, or identify whether the policy is to be amended or replaced;
- identify whether policies need adjusting or replacing because they are not working as intended;
- identify any policies that need changing to reflect changes in national or regional policy; and
- set out whether any policies are to be amended or replaced.

1.5 In order to assess the effectiveness of planning policies, it is important to set out the social, economic and environmental context within which the policies have been formulated, the problems and issues they are intended to tackle, and the opportunities of which advantage can be taken to resolve such problems and issues. Section 3 of the Annual Monitoring Report therefore gives consideration to the key characteristics of Hartlepool and the problems and challenges to be addressed.

1.6 Section 4 of this report then gives detailed consideration to the assessment of current planning policies contained within the 2006 Hartlepool Local Plan.

Methodology for Assessing Policies

1.7 Government regulations require that Annual Monitoring Reports identify policies that are not being implemented, give the reasons for this and the steps, if any, to secure their implementation. This report for the period **1st April 2008 to 31st March 2009** gives consideration to the policies of the Hartlepool Local Plan adopted in April 2006.

1.8 In line with government guidance the first Annual Monitoring Report established data on a range of indicators needed to monitor policies. Certain indicators (referred to as '**core output indicators**') have been established by central government and must be monitored by all local planning authorities. This includes the preparation of a housing trajectory illustrating past and likely future housing completions against the requirements set out in strategic planning documents (The Regional Spatial Strategy 2008). Other indicators ('**local output indicators**') were developed in the previous Annual Monitoring Reports to ensure robust assessment of policy implementation relevant to the specific circumstances of the Hartlepool area, reflecting the availability of existing data sources and which were relevant also to the objectives of the Hartlepool Local Plan 2006.

1.9 This Annual Monitoring Report includes a number of targets relating to some of the output indicators by which to judge the effectiveness of policies. Performance against these targets will be analysed in future AMRs.

2. IMPLEMENTATION OF THE HARTLEPOOL LOCAL DEVELOPMENT SCHEME

The Hartlepool Local Development Scheme (LDS) sets out a rolling programme for the preparation of documents relating to forward planning in Hartlepool. It is specifically concerned with documents being prepared over the next three years or so, but also highlights those which are likely to be prepared beyond the next three years. It sets out the timetable and highlights the key stages for the preparation of new policy documents and when they are proposed to be subject to public consultation. The LDS is reviewed periodically. The current LDS was reviewed in March 2008, approved by Full Council on 30 July 2009 and is now in operation after having been approved by the Secretary of State.

Implementation of the July 2009 Local Development Scheme

- 2.1 The 2009 review takes account of the need to include several new documents including the Affordable Housing Development Plan Document, the Victoria Harbour Supplementary Planning Document and the Green Infrastructure Supplementary Planning Document.

The proposed Development Plan Documents including the Proposals Map, which will be revised as each new development document is prepared, are as follows:

- Core Strategy Development Plan Document
- Housing Sites Allocations Development Plan Document
- Affordable Housing Development Plan Document
- The Proposals Map

Supplementary Planning Documents currently under preparation are:

- The Transport Assessment and Travel Plans SPD
- Planning Obligations SPD.
- Victoria Harbour SPD

- 2.2 The Local Development Scheme includes the programme for the preparation of eight Local Development Documents, summarised in Table 2.1 below. The LDS carried forward five documents (Statement of Community Involvement, Core Strategy, Joint Mineral and Waste Core Strategy and Site Allocations DPDs, Planning Obligations SPD) which had been included in the original 2006 LDS. The 2009 LDS includes additional DPDs and SPDs i.e. Hartlepool Housing Allocations DPD, Hartlepool Affordable Housing DPD, Victoria Harbour SPD and The Transport Assessment and Travel Plans SPD.

Table 2.1 LDS 2009: Programme for preparation of Local Development Documents

Year	Month	Hartlepool Core Strategy DPD	Hartlepool Affordable Housing DPD	Hartlepool Housing Allocations DPD
2009	M	Preferred Options and Draft Policies	Economic Viability Assessment	Commencement
	J			
	J			
	A			
	S		Preferred Options and Draft Policies	
	O		Consultation on Preferred Options (Reg 25)	
	N			
	D		Consideration of representations	
2010	J	Consultation on Preferred Options (Reg 25)		
	F			
	M			Preferred Options and Draft Policies
	A		Publication of DPD (Reg 27)	
	M	Consideration of representations		
	J			
	J			
	A		Draft Policies approved by Council	
	S		Submission of DPD (Reg 30)	
	S		Publication of DPD (Reg 27)	
	O		Consultation on Published document	
	N		Pre examination meeting	
	D		Commencement of Public Examination	
2011	J			Consultation on Preferred Options (Reg 25)
	F	Submission of DPD (Reg 30)		
	M		Inspector's Final Report	
	A			Consideration of representations

HARTLEPOOL LDF ANNUAL MONITORING REPORT 2008/2009

	M	Pre examination meeting		
	J	Commencement of Public Examination	Adoption of DPD	
	J			
	A			Draft Policies approved by Council
	S	Inspector's Final Report		Publication of DPD (Reg 27)
	O	Adoption and revised proposals map		Consultation on Published document
	N			
	D			Submission of DPD (Reg 30)
2012	J			
	F			
	M			Pre examination meeting
	A			Commencement of Public Examination
	M			
	J			
	J			Receipt of Inspector's Report
	A			Inspector's Final Report
	S			
	O			Adoption of DPD
	N			
	D			

Year	Month	Tees Valley Joint Minerals and Waste Core Strategy DPD	Tees Valley Joint Minerals and Waste Site Allocations DPD
2008	F	Consultation on Preferred Options	Consultation on Preferred Options
	M	(Reg 25)	(Reg 25)
	A	Consideration of representations	Consideration of representations
	M		
	J		
	J		
	A		
	S		
	O		
	N		
	D		
2009	J		
	F		
	M		
	A		
	M		
	J		
	J		
	A	Publication of DPD (Reg 27)	Publication of DPD (Reg 27)
	S	Consultation on Published document	Consultation on Published document
	O		
	N	Submission of DPD (Reg 30)	Submission of DPD (Reg 30)
	D	Pre examination meeting	Pre examination meeting
2010	J	Commencement of Public Examination	Commencement of Public Examination
	F		
	M		
	A		
	M	Inspector's Report Fact Check	Inspector's Report Fact Check
	J	Inspector's Report Final	Inspector's Report Final
	J	Adoption of DPD	Adoption of DPD
	A		

Table 2.1 Programme for preparation of Local Development Documents

Year	Month	Victoria Harbour SPD	Hartlepool Planning Obligations SPD	Transport Assessment & Travel Plans SPD
2008	F		Commencement Evidence gathering and initial community and key stakeholder involvement (starting July 2006)	
	M			
	A	Commencement Evidence gathering and initial community and key stakeholder involvement		
	M			
	J			
	J			
	A			
	S			
	O			
	N			
	D			
	J			
F		Associated Appropriate Assessment Scoping Report issued for consultation		
M				
2009	A			
	M			
	J			
	J			
	A	Draft SPD issued for consultation		
	S		Draft SPD issued for consultation	
	O	Consideration of representations responses	Consideration of representations responses	Adoption of SPD
	N			
	D			
	2010	J		
F		Adoption of SPD	Adoption of SPD	
M				

Table 2.1: Implementation of the 2008 LDS

Document	Milestone**	Key Dates	Actual Progress	Milestone Achieved
Hartlepool Core Strategy DPD	Production of Preferred Options and draft policies	May – June 2008	The preparation of preferred options and draft policies is well underway and is expected to be finished by end of December 2009 and consultation is aimed for end of January 2010.	No
Housing Allocations DPD	Commencement	January 2008	Public notice was given of the commencement on work on the Housing Allocations DPD and discussions held with various landowners.	Yes
Affordable Housing DPD	Issues and Options discussion paper	March 2009	currently at the Preferred Options Stage and is on public consultation until the 4th January 2010	Yes
Joint Minerals and Waste Core Strategy DPD	Preparation of submission DPD	January 2009	At publication stage as of August 2009, on course for submission to the Secretary of State in December 2009 and adoption on summer 2010.	Yes
Joint Minerals and Waste Site Allocations DPD	Preparation of submission DPD	January 2009	At publication stage as of August 2009, on course for submission to the Secretary of State in December 2009 and adoption on summer 2010.	Yes
Hartlepool Planning Obligations (SPD)	Consultation on draft SPD	March 2009	Work progressing on evidence gathering with a view to consultation in late summer 2009	No
Transport Assessment & Travel Plans SPD	Adoption of SPD	December 2008	Work progressing on report with view to Adoption after full council in December 2009.	No
Victoria Harbour SPD	Prepare SPD for consultation	March 2009	SPD prepared and ready for consultation however due to discussions regarding the way forward on the project, this piece of work has been put on hold.	Yes

** Key Milestones for Development Plan Documents are highlighted in bold red type

Commentary

2.3 Hartlepool Core Strategy (CS)

The Issues & Options Report and its Sustainability report were published in October 2007 and subject to public consultation until February 2008, after which work on preferred options and draft policies began.

During 2008, discussions were held with Government Office for the North East and as a result it was recommended that the timetable for the preparation of the Core Strategy be delayed to take account of the new Planning Policy Statement 12 and

the new Town and Country Planning Regulations which came into force 21st September 2008. This allowed time for the evidence base to be thoroughly prepared so it will be as robust as possible. Cabinet, on the 21st July 2008 agreed to the change in the timetable.

Issues regarding the re-location of the hospital to Wynyard and whether or not Victoria Harbour will come forward as anticipated were raised. Addressing these, as well as the completion of studies to inform the CS was crucial for further development of the CS. The completion in 2008 of the Employment Land Review (ELR) and the PPG17 audit has set out a good evidence base to inform the preparation of the CS. Further evidence will be sought from The Central Area Investment Framework Study and the Southern Business Zone Study which both set out regeneration initiatives to be taken into consideration in the preparation of the Core Strategy. These studies have also been completed in the course of this year. Since the required evidence base is now in place, the preparation of preferred options and policies is now well underway and expected to be complete by end of December 2009 after which consultation will take place by end of January 2010.

2.4 Joint Minerals and Waste Core Strategy and Site Allocations DPDs

These two Development Plan Documents are being prepared for the whole of the Tees Valley area. During 2008/2009 work continued on the preparation of the publication documents leading to the publication in August 2009. The DPDs are on course for submission to the Secretary of State in early 2010 and for adoption by summer of 2010.

2.5 Housing Allocations DPD

Although Public notice was given of the commencement on work on the Housing Allocations DPD and discussions held with various landowners, further work on preparation of this DPD will continue. A more detailed report regarding its preparation will be available in next year's AMR.

2.6 Affordable Housing DPD

As the adopted Local Plan contains no specific policy on the requirement for affordable housing as part of a development proposal it is considered essential that a policy be put in place as quickly as possible to fill this policy omission. The urgent need to have an adopted policy on affordable housing means that the adoption of the document will be achieved before the adoption of the Core Strategy. The Affordable Housing Development Plan Document aims to address the shortfall of affordable housing in the Borough. It will identify policies to secure provision of affordable housing on residential developments and contribute towards the development of a balanced housing market with maximised housing choices in Hartlepool. Preparation of the Affordable Housing DPD commenced in November 2007 and an Issues and Options Report was published for public consultation in March 2008. The AH is currently at the Preferred Options Stage and is on public consultation until the 4th January 2010.

2.7 Planning Obligations Supplementary Planning Document (SPD)

Whilst evidence gathering continued during the year, the draft document has not been published as programmed owing to delays in the work on other key documents such as the Green Infrastructure (GI) SPD, the findings from which will influence the content of the Planning Obligations SPD. Further details on the preparation of the GI SPD will be reported in next year's AMR. The PPG17 Open Space Audit has now been completed and together with the GI SPD, will be used to inform the Planning Obligations SPD. Other work is still taking place towards the preparation of the SPD and a pre-consultation document was produced outlining initial thoughts on the likely makeup of the SPD and some of the issues and obligations that the document might highlight. The document was subject to public consultation between September and October 2007 and a small number of representations were received which have been useful in the further development of the SPD.

2.8 Victoria Harbour SPD

In December 2005 Hartlepool Borough Council resolved that it was minded to approve a planning application for a mixed use development of Victoria Harbour in line with Policy Com15 of the Hartlepool Local Plan. The resolution was subject to a number of requirements and conditions, one of which was the completion of a Section 106 legal agreement. The S106 agreement has not yet been completed so no planning decision has issued. This delay has afforded an opportunity for the parties, including the local authority, the landowners and Tees Valley Regeneration to consider in more detail the comprehensive approach set out in a previously agreed masterplan. It was therefore considered appropriate to insert the preparation of the SPD into the programme set out in the March 2009 LDS in order to reflect the current position and ensure effective planning controls relating to the development of this site are in place. Lichfield Planning & Levitt Bernstein have now completed the SPD and it is ready for consultation. However, due to discussions regarding the way forward on the project, this piece of work has been put on hold.

2.9 Transport Assessments and Travel Plans SPD

Natural England requested that the SPD be subjected to an Appropriate Assessment Screening process in accordance with Article 6(3) and 6(4) of the Habitats Regulations Directive 92/43/EEC. This is to enable the planning authority to ascertain that the SPD's plans and policies will not adversely affect the integrity of a European Site. The screening process has now been done and work is currently progressing on the report with view to adoption after full council in December 2009.

Conclusions

1. Most key milestones for the preparation of DPDs during the period 1 April 2008 to 31 March 2009 as set out in the July 2009 LDS were met.
2. Work on the PPG17 audit has been completed and this will inform the Planning Obligations SPD, however work on The Green Infrastructure SPD, also to inform the Planning Obligations SPD, has just started. This will cause further delays in completing the Planning Obligations SPD this

year. However, the timetable for its preparation is incorporated in the 2009 Local Development Scheme.

3. The previous delay on the preparation of the Transport Assessments and Travel Plans SPD as a result of a need to carry out a Habitats Regulation Assessment has now been addressed and this SPD is expected to be adopted in December 2009.

3. HARTLEPOOL – ITS KEY CHARACTERISTICS AND THE PROBLEMS AND CHALLENGES FACED

- 3.1 This section of the Annual Monitoring Report sets out the wider social, economic and environmental background of Hartlepool and the related issues, opportunities and challenges facing the Borough. It concludes with a SWOT analysis setting out the Strengths, Weaknesses, Opportunities and Threats relating to the future development of Hartlepool.
- 3.2 The key contextual indicators used in the text of this section of the Annual Monitoring Report to describe the wider characteristics of the town will provide the baseline for the analysis of trends, as these become apparent, and for assessing, in future Annual Monitoring Reports, the potential impact future planning policies may have had on these trends. The key characteristics reflect the Outcomes and Objectives set out in the new Community Strategy (2008) in so far as they relate to spatial planning. Many of the contextual indicators are related to priorities set out in Hartlepool's Local Area Agreement (2008-2011). Both documents can be viewed on the Hartlepool Partnership website www.hartlepoolpartnership.co.uk by clicking the links on the homepage.

Hartlepool & the Sub Regional context.

- 3.3 The Borough comprises part of the Tees Valley Area formed by the five boroughs of Darlington, Hartlepool, Middlesbrough, Redcar & Cleveland and Stockton on Tees.
- 3.4 Hartlepool is an integral part of the Tees Valley City Region which extends through the Tees Valley into East Durham. It is a major retail service centre serving the town and parts of Easington. Over recent years it has developed as an office and tourism centre. The development of the Hartlepool Quays and particularly the proposed Victoria Harbour forms an important component of the Coastal Arc initiative stretching from Hartlepool through to Redcar, exploiting the potential of the coast as an economic and tourist driver for the city region.

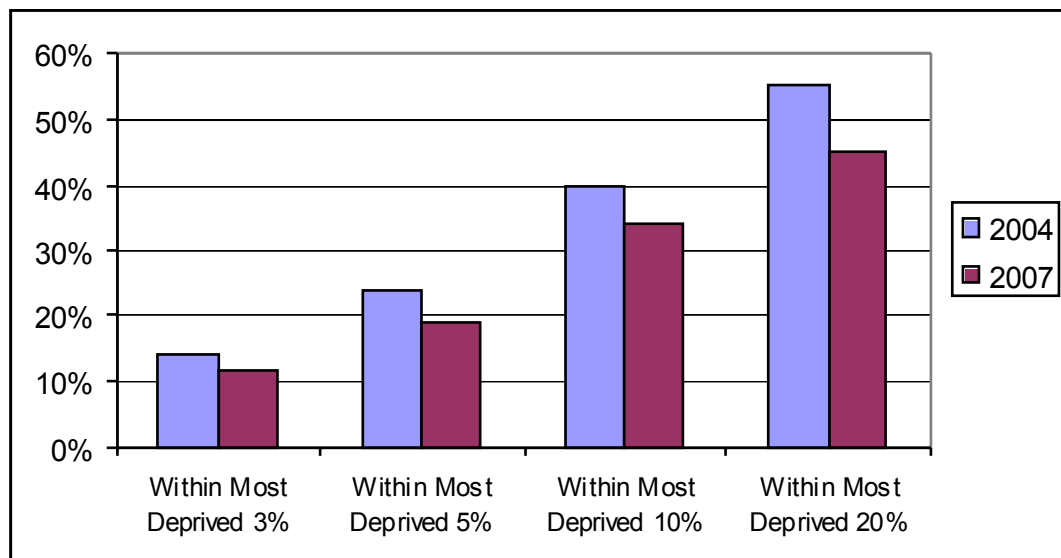
Hartlepool in the Local Context

- 3.5 Hartlepool has a long history, the first recorded settlement being centred on the Saxon Monastery founded in 640AD. Its first charter was issued in 1145. The town as it is today has grown around the natural haven which became its commercial port and from which its heavy industrial base developed.
- 3.6 The Borough of Hartlepool covers an area of about 9400 hectares (over 36 square miles). It is bounded to the east by the North Sea and encompasses the main urban area of the town of Hartlepool and a rural hinterland containing the five villages of Hart, Elwick, Dalton Piercy, Newton Bewley and Greatham. The main urban area of Hartlepool is a compact sustainable settlement with many of the needs of the residents in terms of housing, employment, shopping

and leisure being able to be met within the town. The Durham Coast railway line runs through the centre of the town and connects Hartlepool to Newcastle, the rest of Tees Valley, York and London. The A19 trunk road runs north/south through the western rural part of the Borough and it and the A1(M) are readily accessed via the A689 and the A179 roads which originate in the town centre.

- 3.7 The population of Hartlepool declined steadily in the later decades of the 1900s from 99,200 (1971 Census) to about 90,100 (2001 Census) but more recently has levelled out and has increased as the out-migration flows have decreased. Hartlepool currently has a population of about 91 802 (ONS 2008 mid-year estimates), of which only 1.2% were from the non-white and minority ethnic groups (2001 Census) compared to 8.7% nationally.
- 3.8 The Index of Multiple Deprivation (IMD) is due to be updated in 2009. However, the 2007 IMD ranks Hartlepool the 23rd most disadvantaged district in the country, an improvement on the 2004 ranking of 14th most disadvantaged district. Further, the number of the 58 Super Output Areas⁴ (SOAs) in Hartlepool within the national most deprived 3%, 5%, 10% and 20% has declined between 2004 and 2007 as illustrated in the diagram below.

Super Output Areas within Index of Multiple Deprivation National Most Deprived Areas 2004 and 2007

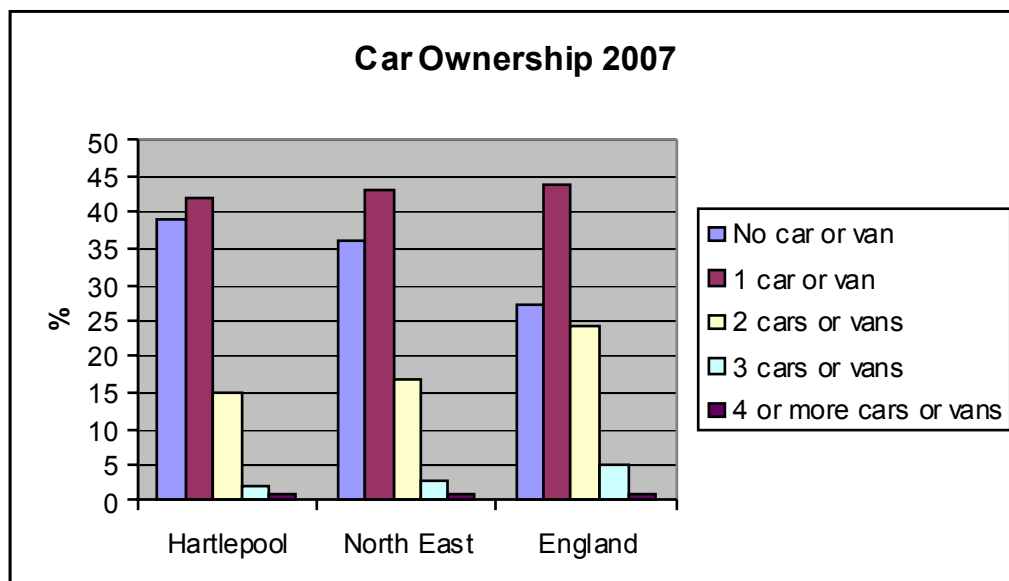


Source: communities and Local Government 2009

⁴Super Output area, of which there are about 32,500 nationally, comprise sub-divisions of wards, of about 1500 people.

- 3.9 Many of the factors included in the Index of Multiple Deprivation may have been influenced indirectly by the planning policies of the Hartlepool 2006 Local Plan (e.g. policies enabling the diversification of employment opportunities can increase employment and income, policies for the improvement of the built and natural environment, including housing, can influence health, crime levels and the living environment generally).
- 3.10 Hartlepool suffers from a limited availability of good quality business sites and premises which hinders to some extent business formation and growth. However there has been significant investment in a series of capital projects that have improved the physical infrastructure of the town e.g. Queen's Meadow.
- 3.11 Car ownership, as shown in the graph below (source: ONS last updated 2007), is low in Hartlepool. 39% of households had no car in 2007 – by comparison, equivalent figures for the Tees Valley and England and Wales are 36% and 27% respectively. In some neighbourhoods over 60% of the population have no car.

Car Ownership



Source: Office for National Statistics 2007

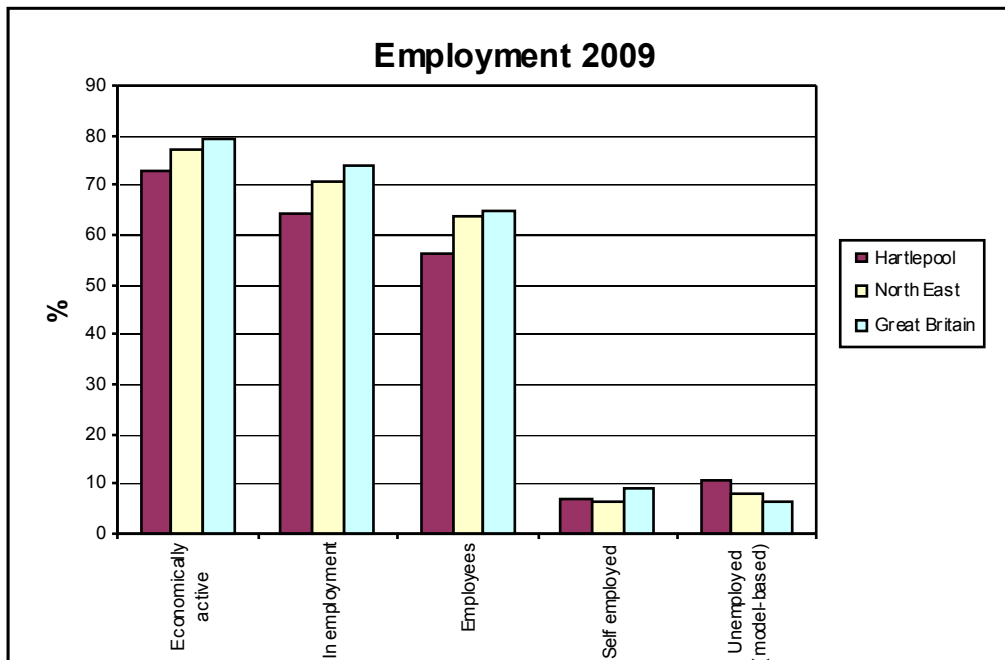
3.12 Jobs and Economy

The tourism economy in Hartlepool has more than doubled since 1997 from £23m to £44m. This growth was principally based around the regeneration of the Marina area. In 2006, Hartlepool won the bid for the town to be the final port in the 2010 Tall Ships' Races. It is estimated that the event will see in the region of 1 million visitors coming to Hartlepool. This will obviously have a major impact on the town's economy and in particular the tourism sector. Over

the coming years the economy of Hartlepool will benefit from the development of Victoria Harbour, a major mixed use development comprising housing, business, leisure and community uses. The estimated end value of Victoria Harbour is nearly £1 billion.

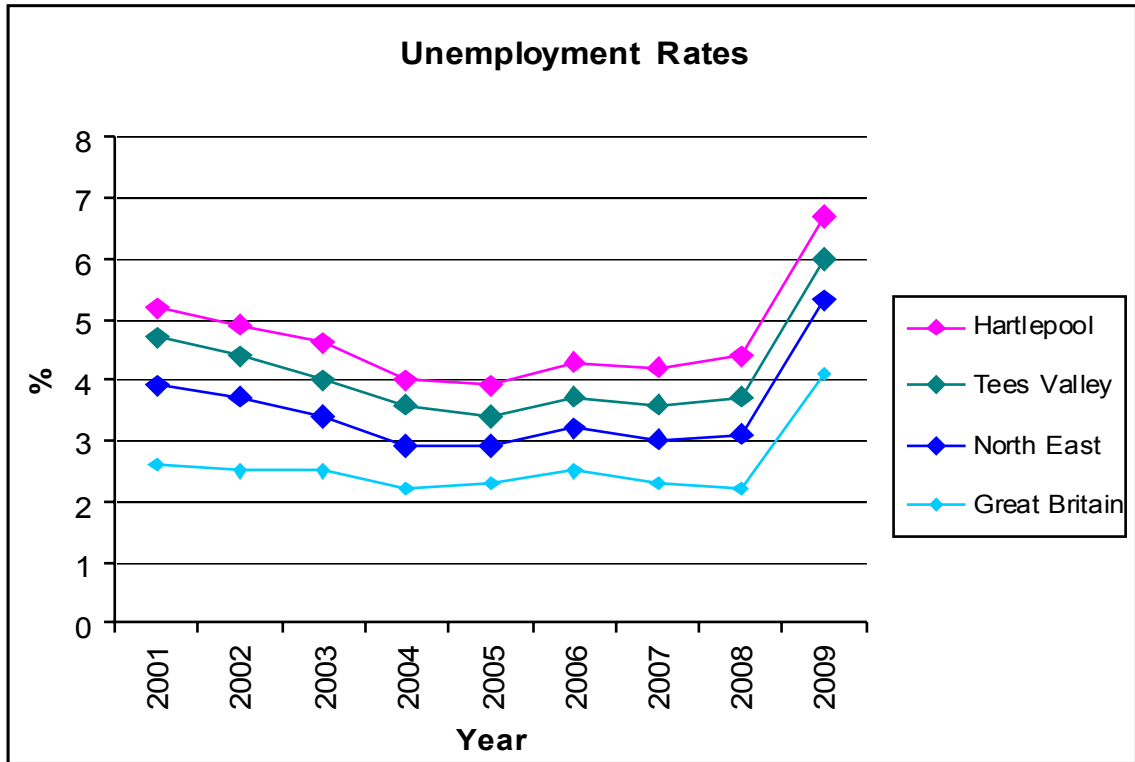
72.4% of the population in Hartlepool is economically active and 63.9% of the working population in Hartlepool is in employment (TVJSU, August 2009). These figures are generally lower than the regional and national figures as shown in the graph below. The graph also shows that at 10.6%, Hartlepool has the highest unemployment rate compared to regional and national figures, 8.2% and 6.2%, respectively.

Employment 2009



Source: NOMIS official labour market 2009

- 3.13 The graph below shows unemployment rates at local, sub-regional, regional and national levels. Unemployment rates have been expressed as the proportion of unemployed working age residents over total number of working age residents covering the period 2000 to June 2009. Generally, the Hartlepool trend has followed similar patterns to those sub-regionally, regionally and nationally. A sharp increase in unemployment rate is noted across the board between 2008 and 2009, with Hartlepool remaining the highest throughout. This sharp increase is a result of the economic downturn or 'credit crunch' which is currently being experienced world-wide. The unemployment gap between Hartlepool and the national average has been steadily reducing between 2001 and 2005; with the widest gap being recorded in 2001 and the lowest in 2005.

Unemployment Rates 2000-2009

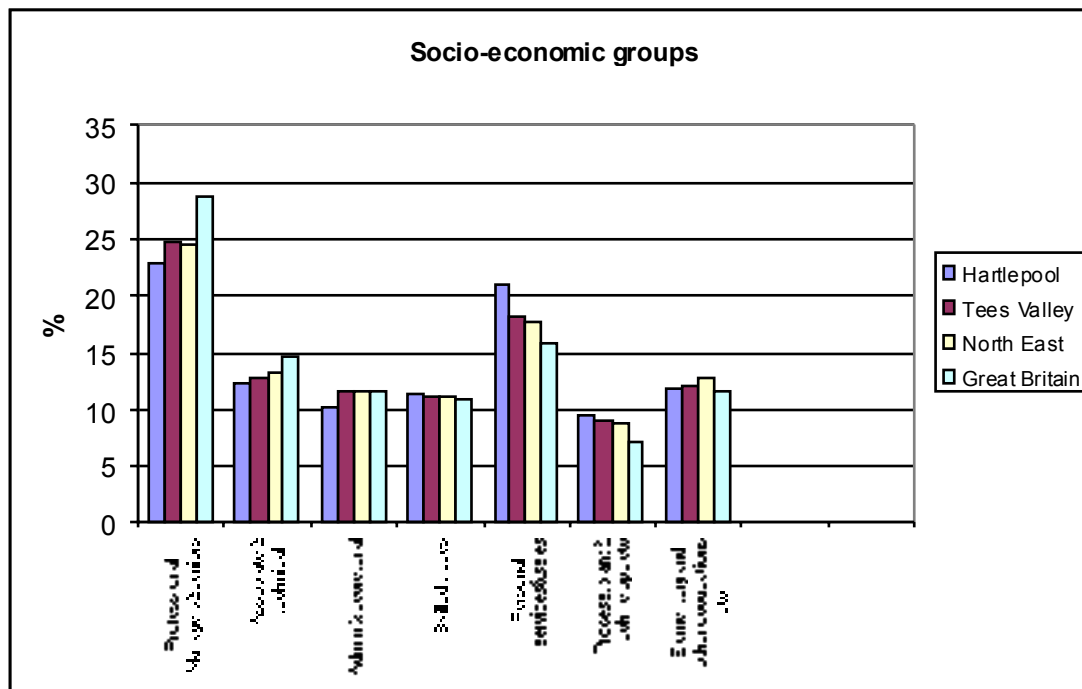
Source: NOMIS official labour market 2009

- 3.14 The unemployment rate graph above can be interpreted in an opposite manner to reveal employment trends. Regards to this, it is evident that Hartlepool employment rate is lower than both the national and regional rates. The graph indicates the trend has remained relatively stable between 2006 and 2008 after which a drop in employment rate is recorded up to present. The employment rate was highest across the board between 2004 and 2005.

Socio-economic groups

3.15 Hartlepool has a lower proportion of the higher socio-economic groups (e.g. professional managers and seniors, associate technical, administration secretarial) than nationally. Conversely, it has a higher proportion of the lower socio-economic groups such as process plant and machine operators, skilled trade. This is illustrated in the chart below.

Socio-economic groups 2009



Source: TVJSU August 2009

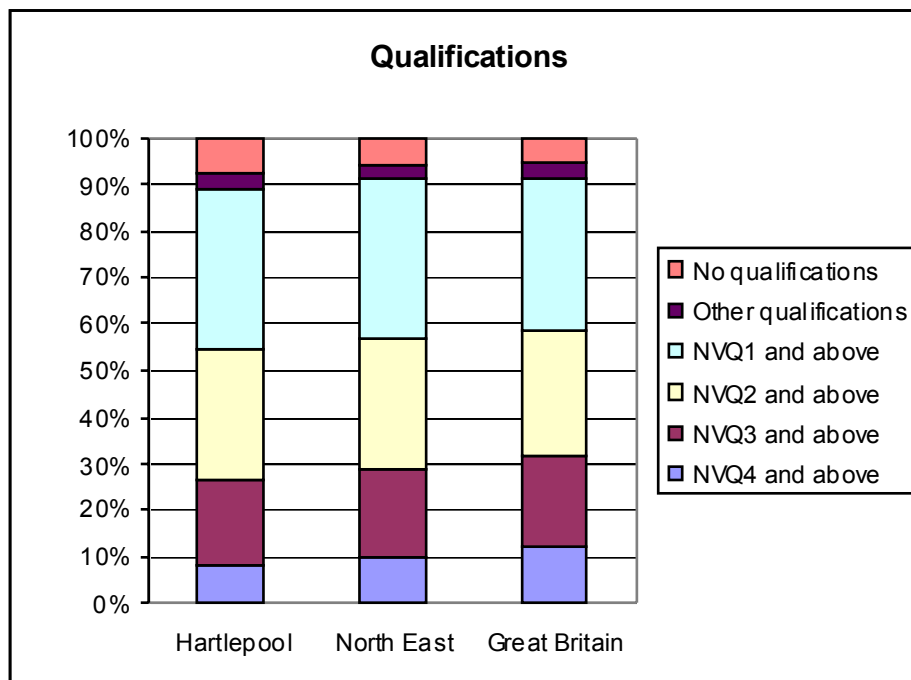
3.16 Health

The latest national statistics (2004) identifies that 24.4% of the population of Hartlepool stated that they had limiting long-term illness compared with 17.9% nationally (England and Wales). Cancer is the largest single cause of death in Hartlepool. Coronary heart disease, strokes, respiratory disease ratios are significantly higher than national ratios.

3.17 Lifelong Learning and Skills

Qualification levels in Hartlepool are slightly lower compared to the sub regional and national levels as illustrated in the graph below.

Qualifications 2009



Source: TVJSU August 2009

3.19 Community Safety

Community safety is one of the key issues being addressed by the Hartlepool Partnership and key community safety initiatives such as the introduction of Neighbourhood Policing and target hardening measures have contributed to the reduction in crime over the years.

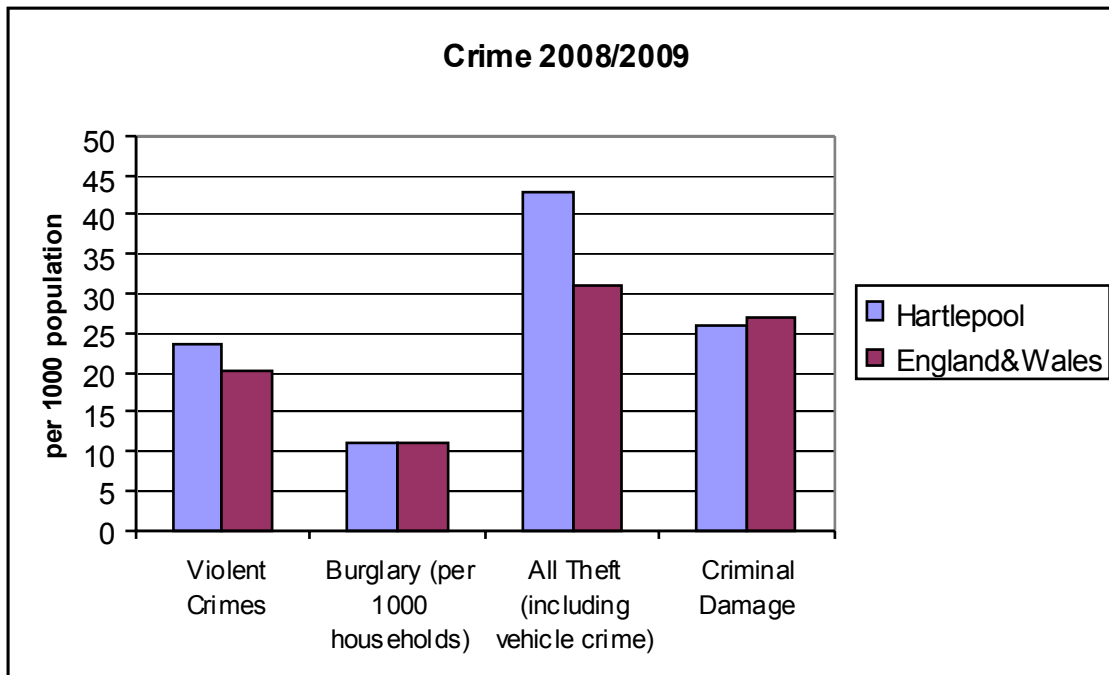
Table 3.1 below gives a breakdown of offences by the crime category under which they were recorded during the period April 2008 to March 2009. Cleveland Police recorded a total of 9006 offences; these figures are based on the date that the crime was recorded not necessarily the date the offence occurred. Violence against the person, criminal damage and theft were the most recorded forms of crime.

Table 3.1: Recorded Crime in Hartlepool 2008/2009

Crime Category Description	Number of Recorded Offences
Burglary Dw elling	504
Burglary Others	451
Criminal Damage	1257
Criminal Damage to a Vehicle	777
Drugs Other – Supplying	148
Drugs Simple Possession	354
Fraud and Forgery	137
Other Crimes	176
Robbery	66
Sexual Offences	101
Theft – Other	1522
Theft from Motor Vehicle	480
Theft from Shops / Stalls	972
Theft of Motor Vehicle	315
Vehicle Interference	93
Violence Against the Person	1653
TOTAL	9006

Source: Safer Hartlepool, 2009

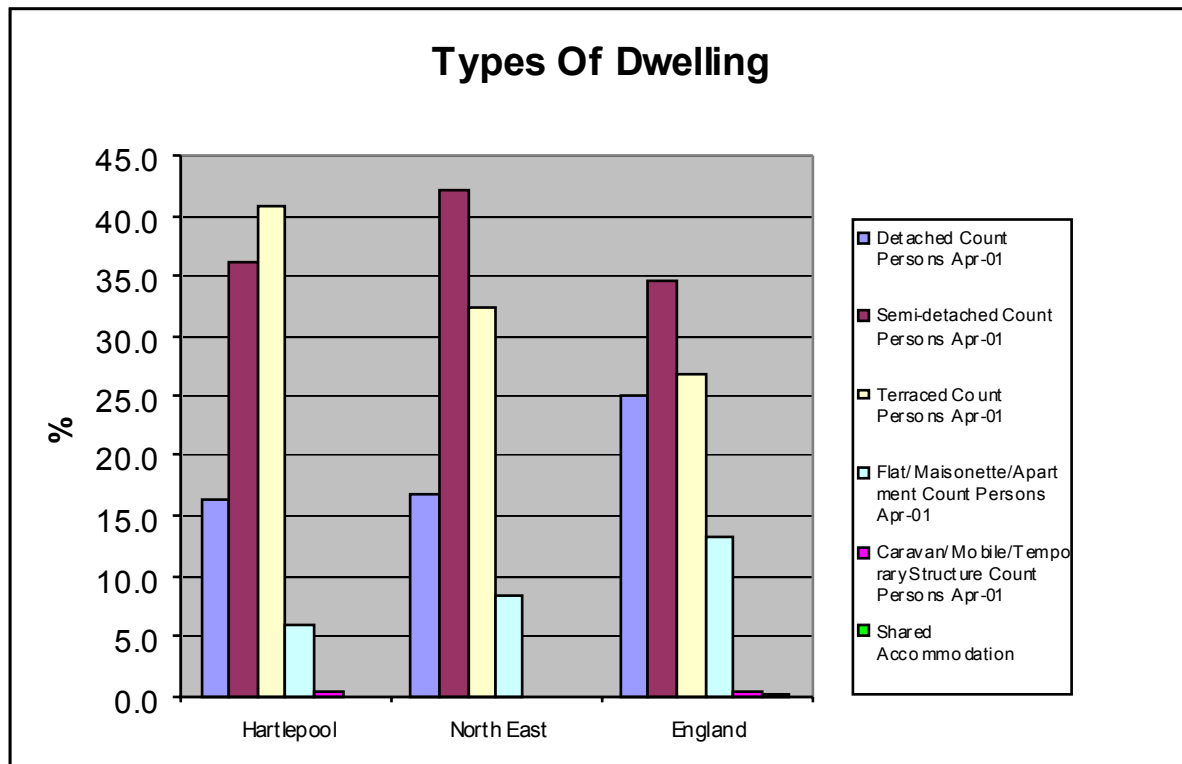
Crime rates in Hartlepool remain relatively high compared to rates recorded for England and Wales. The graph below indicates that theft and violent crime are the most problematic forms of crime, both being higher than national rates. However, criminal damage is only slightly lower than the national rate whereas burglary equals the national rate.

Crime Rate per 1000 population 2008/2009

Source: TVJSU August 2009

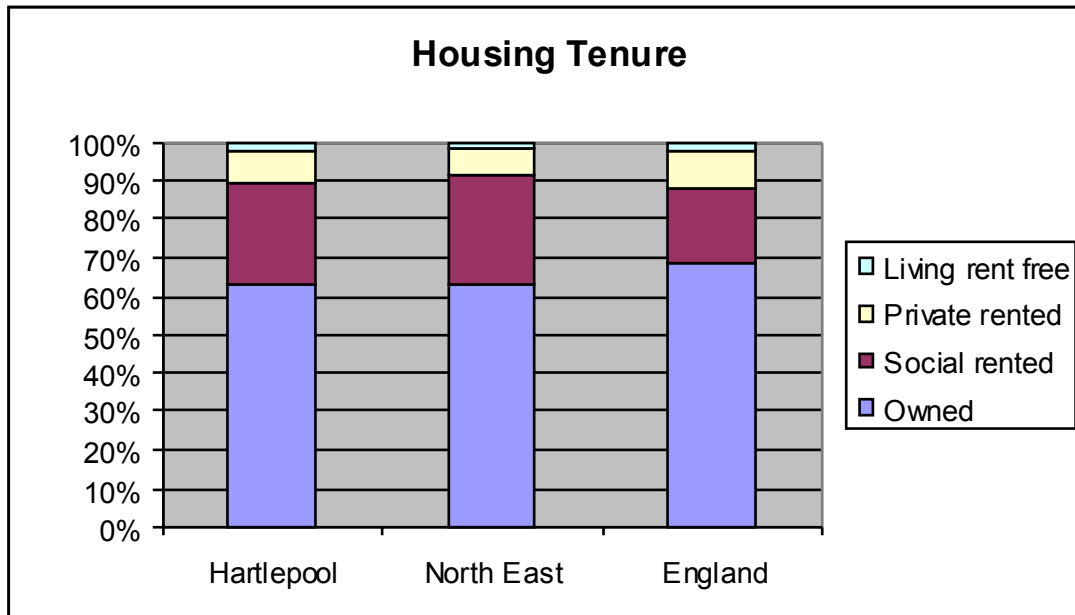
3.20 Housing

Within Hartlepool, housing market failure is evident in some parts of the town. This is due in great part to the fact that Hartlepool contains higher than average levels of terraced housing stock (41% compared to 26.7% nationally in 2004), and that older terraced properties are much less popular than they were. Conversely the proportion of detached dwellings is relatively small (16.5% in 2004 compared to 24.9% nationally). Whilst, as illustrated in the chart below, the intercensal period 1991 to 2001 has seen a decrease in the proportion of terraced dwellings and an increase in the proportion of detached dwellings in Hartlepool, the imbalance in the housing stock is still evident.

Types of Dwelling – 1991 and 2001 census (updated November 2004)

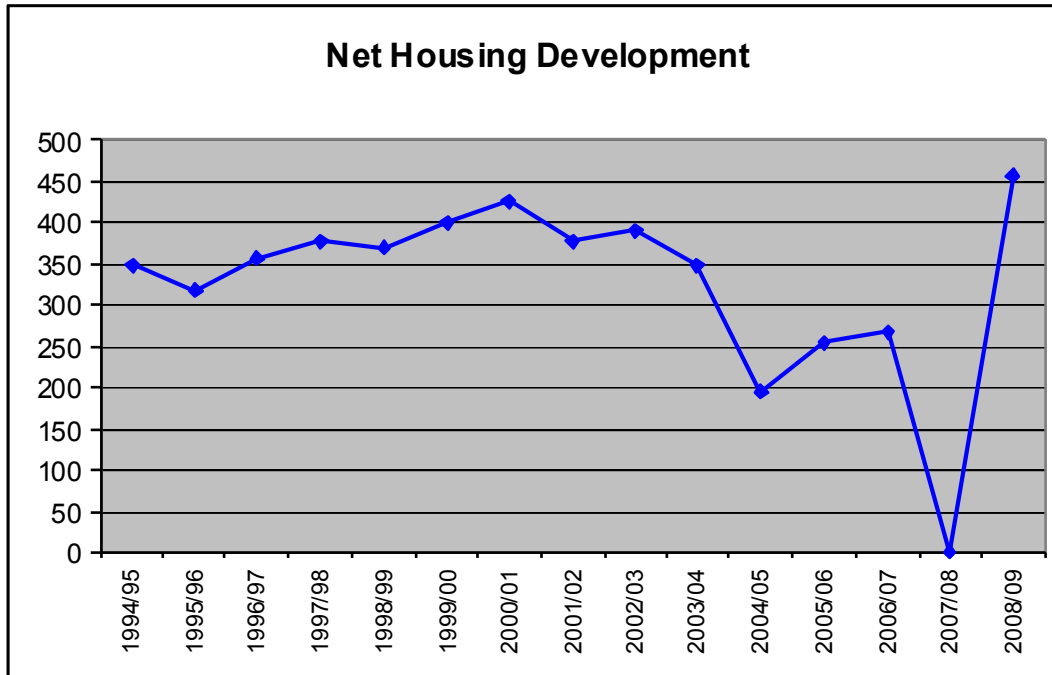
Source: Office for National Statistics 2004

- 3.21 The imbalance in the housing stock is being addressed on a holistic basis. Housing market renewal initiatives for clearance and improvement are seeking to tackle problems associated with the existing housing stock and new housing development is helping to change the overall balance of housing stock and provide greater choice.
- 3.22 In comparison with both regional and national levels, the proportion of owner-occupied dwellings is low in Hartlepool, and consequently the proportion of dwellings rented from the public sector is high as illustrated below. Nevertheless demands on the social rented stock are currently high.

Housing Tenure (2001 Census updated 2004)

Source: Office for National Statistics 2004

3.23 The high rate of new housing provision which has taken place over the last decade has helped to widen housing choice in Hartlepool and this may have had some effect on overall levels of net migration from the Borough as illustrated below. However in view of the number of demolitions in 2007/2008 the increase to the housing stock has ceased, with no net additions to the number of dwellings provided during the year. The slow down in the housing market evident since March 2008 is likely to continue this lower level of housing provision.

Net Housing Development and Net Migration (1994 – 2008)

- 3.24 House prices in the Borough remain the lowest and the weakest in the region. The average price for houses sold in Hartlepool this year is £118,500. This is a 5.6% decrease from the previous years' price of about £125,089. The decrease is mainly due to the slump in housing prices caused by the current recession. Nevertheless, affordability has now become a key issue in Hartlepool as highlighted in the Hartlepool Strategic Housing Market Assessment completed in June 2007.

The Environment

Hartlepool has a rich environmental heritage and very diverse wildlife habitats giving rise to a wide range of buildings, archaeological remains, wildlife habitats, geological and geomorphological features, landscape types and coastal vistas.

3.26 The Built Environment

The town has a long maritime tradition and a strong Christian heritage with the twelfth century St Hilda's church (a Grade 1 Listed Building) built on the site of a seventh century monastery. The medieval parts of town are protected by the Town Wall constructed in 1315, now a Scheduled Monument and Grade 1 Listed Building. There are 8 Conservation Areas. One of the town's Victorian parks is included on the list of Registered Parks & Gardens. There are about

200 Listed Buildings (of which eight are Grade 1 or Grade II* Listed) and eight Scheduled Monuments.

3.27 Geological & Geomorphological Features

The geology of Hartlepool comprises two distinct types:

- The north of the Borough sits on the southern reaches of the Durham Magnesian Limestone Plateau, which is of international geological importance. Although the Magnesian Limestone in Hartlepool is generally too far below the overlying soils to give rise to the characteristic Magnesian Grassland flora found further north, it is exposed in several quarries and road cuttings and forms a spectacular gorge in West Crimdon Dene along the northern boundary of the Borough.
- The southern half of the Borough sits on Sherwood Sandstone from the Triassic period; a rare exposure on the coast at Long Scar & Little Scar Rocks is a Regionally Important Geological Site. Of more recent geological origin is the Submerged Forest SSSI, which underlies Carr House Sands and is intermittently exposed by the tide. This area of waterlogged peat has yielded pollen, mollusc and other remains, which have been used to establish the pattern of sea-level change in Eastern England over the past 5,000 years.

3.28 Wildlife Characteristics

The Borough is bordered on the east by the North Sea and features extensive areas of attractive coastline including beaches, dunes and coastal grassland. Much of the inter-tidal area of the coast is internationally important for its bird species and is protected as a Special Protection Area/Ramsar site. Other areas of the coast are designated as Sites of Special Scientific Interest, including part of the Teesmouth National Nature Reserve, or Sites of Nature Conservation Interest.

- 3.29 The prominent location of the town's Headland, as a first landfall on the east coast, makes it of national significance for the birdwatching community. Inland is an attractive, rolling agricultural landscape including areas of Special Landscape Value. Interspersed in this landscape are a number of fragmented but nevertheless diverse and important wildlife habitats.
- 3.30 Hartlepool only has one inland SSSI, Hart Bog. This is a small area which has four distinct plant communities and is of particular botanical interest.
- 3.31 There are 6 Local Nature Reserves spread across the town and 40 non-statutory geodiversity and biodiversity sites, protected as Sites of Nature Conservation Interest (SNCI) and/or Regionally Important Geological & Geomorphological Sites (RIGGS) have been identified in the Local Plan. A further five sites have been identified by the sub-regional RIGGS group as meriting this designation.
- 3.32 The Borough contains some notable examples of wildlife species: grey and common seals are frequent along the coastline with the latter breeding in Seaton Channel.

- 3.33 The area of sand dunes, grazing marsh and mudflats around the North Gare form the northern section of the Teesmouth National Nature Reserve where there are salt marsh and dune plants with some important species of marsh orchid and other rare species.

3.34 Bathing water

Seaton Beach covers an extensive area and attracts significant numbers of visitors for walking, bathing and windsurfing activities. The central and southern parts of the beach meet both the Bathing Water Directive's imperative standards and the Bathing Water guideline standards. The northern part of Seaton Beach however failed the guidelines standards at the end of the 2004 season.

3.35 Air quality

Air quality in Hartlepool currently meets statutory standards with no requirement to prepare any Air Quality Management Areas.

3.36 Culture and Leisure

Museums associated with Hartlepool's maritime heritage and other important cultural facilities including the art gallery and Town Hall Theatre are located within the central part of the town and comprise a significant focus for Hartlepool's growing tourism economy. In particular, the Historic Quay is a major regional / national visitor attraction. It has recently been remodelled and renamed as the Hartlepool Maritime Experience. As noted in paragraph 3.8, it is likely that Hartlepool's attraction as a tourism destination will be considerably enhanced by Victoria Harbour regeneration scheme and the 2010 Tall Ships' Races.

- 3.37 There are also a number of parks and recreation facilities scattered throughout the town. The three green wedges provide important links between the countryside and the heart of the urban areas. On the fringes of the built up area are three golf courses and the country park at Summerhill developed as part of the Tees Forest initiative.

Future Challenges

3.38 Hartlepool has over recent years seen substantial investment which has completely transformed its environment, overall prosperity and above all its image. Below is an analysis of the main strengths, weaknesses, opportunities and threats facing the Borough.

STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> • compactness of main urban area • sense of community / belonging • partnership working • good track record in delivering physical regeneration • diverse, high quality and accessible natural environment • maritime, industrial and religious heritage • availability of high quality housing • general support for housing renewal • high levels of accessibility by road • good local road communications • active and diverse voluntary and community sector • direct rail link to London 	<ul style="list-style-type: none"> • perceived image • location off main north-south road corridor • high deprivation across large areas of the town • low employment rates and high level of worklessness • legacy of declining heavy industrial base • small service sector • imbalance in the housing stock • shortage of affordable housing • poor health • low level of skills • high crime rates • exposed climate 	<ul style="list-style-type: none"> • relatively young population a possible asset for future economic prosperity • Can improve the economy and the growing house choice thus improving the recent stabilisation of population levels • availability of land to enable diversification of employment opportunities within urban area • potential for development of major research, manufacturing and distribution facilities on A19 corridor • wide potential for further tourism investment • potential for integrated transport links • major physical, economic and social regeneration benefits presented by the Victoria Harbour mixed use regeneration scheme • Hartlepool hosting the 2010 Tall Ships race as finishing port • plans for development of Tees Valley Metro • Established housing market renewal programme • Creation of new state of the art hospital site in Wynyard 	<ul style="list-style-type: none"> • Recession effects- closure of major employers • expansion of area affected by housing market failure • climate change and rising sea levels • constraints of national planning policy • lack of financial resources / budget deficits • increasing traffic congestion • delays in the delivery of Victoria Harbour

3.39 The main challenges are to continue to support the development of the local economy and address the imbalance in the housing stock (including the lack of affordable housing) so as to at least maintain the population at its current level and to ensure that the town remains sustainable and an attractive place to live, work and play. Planning policies enabling an improvement in the range of

housing available in the town (both through demolition and replacement of older terraced housing and provision of a range of new housing), to enable the diversification of the local economy and the growth in tourism, to encourage the provision of improved transport links and to improve the built and natural environment will all assist in achieving this aim and improve the quality of life.

- 3.40 The current Regional Spatial Strategy RSS July 2008, in seeking to increase population growth in the region assumes the achievement of higher economic growth rates in order to bridge the gap between the Northern and other more prosperous regions of the country. The attraction and retention of highly skilled workers is viewed as critical to regional and sub-regional economic success. Both the RSS and the Regional Economic Strategy highlight that a large majority of this increase in population will derive from in-migration of highly skilled households over this period. Hartlepool as part of the Tees Valley city region and through the saved policies of the 2006 Hartlepool Local Plan will seek to ensure the right housing and environmental conditions are available to contribute to population growth and the attraction of key highly skilled workers to the region.



4. ASSESSMENT OF POLICIES

Introduction

- 4.1 This section of the Annual Monitoring Report considers the effectiveness of current planning policies. The current planning policies in terms of the period covered by this report are those of the Hartlepool Local Plan adopted in April 2006 and which were in force 31st March 2009.
- 4.2 It is impractical to assess every policy of the 2006 Hartlepool Local Plan. Data may not be readily available and in any event some policies lend themselves to qualitative rather than quantitative assessment for which 'satisfaction' and other surveys will have to be carried out as part of the process of obtaining the views of the community and others.
- 4.3 Government advice on monitoring in relation to the new Local Development Framework planning system suggests that objectives are established early in the plan preparation process leading to the formulation of policies, and that targets should be set and output indicators established to monitor progress towards achieving the targets.
- 4.4 ***This section therefore considers the objectives of the 2006 Local Plan, the policies relating to these objectives and some related output indicators for judging the effectiveness of the policies.*** The indicators include relevant national core output indicators and a number of local output indicators. Some additional local output indicators relating to the objectives and policies of the plan have been added in this fifth report and further local output indicators will be included in subsequent annual monitoring reports. It should be noted that the Local Plan policies have been automatically saved up for a three-year period up to April 2009. A Schedule of Local Plan policies which the Secretary of State agreed to save beyond April 2009 are set out in Appendix 1. The saved policies are also available online on the council's website.
- 4.5 A limited number of targets are included in the report and in addition reference is made to other local, national or regional targets in the commentary where appropriate.

Hartlepool Local Plan Objectives, Policies and Indicators

- 4.6 The overall aim of the Hartlepool Local Plan is "*to continue to regenerate Hartlepool securing a better future for its people by seeking to meet economic, environmental and social needs in a sustainable manner*". In the context of this aim, the strategy for the Local Plan covers the following four areas:
 - regeneration of Hartlepool
 - provision of community needs
 - conservation and improvement of the environment

- maximisation of accessibility.
- 4.7 The plan sets out specific objectives relating to the above four elements of the strategy, from which the plan's policies have been developed. Many of these policies relate to more than one objective.
- 4.8 The following part of this section sets out for each objective or group of objectives of the Hartlepool Local Plan:
- main policies flowing from the objective(s)
 - output indicator(s)
 - targets (where set)
 - data relating to the indicator(s),
 - some analysis and comment on the data, and where appropriate
 - some commentary on the related local plan policies.
- 4.9 However, indicators have not been established for all objectives, partly because of resource considerations and partly because a new Hartlepool planning system has been installed and is not yet fully operational in respect of the development of monitoring information. Nevertheless, all planning proposals and developments have been examined as part of the monitoring process, although the data provided in this report for completed developments does not include minor extensions to existing premises / uses, but focuses rather on new completed development or significant extensions, permitted through the approval of planning permission i.e. the development management or 'development control (DC) process'.
- 4.10 The updated core output indicators (as of February 2008) are grouped into 5 groups as follows:
- Business development and town centres (BD1, BD2, BD3 and BD4)
 - Housing (H1, H2a, H2b, H2c, H2d, H3, H4, H5 and H6)
 - Environmental quality (E1, E2 and E3)
 - Minerals (M1 and M2)
 - Waste (W1 and W2)

Business Development and Town Centres

Local Plan objectives A1, A2, A3, A4 and A8: to encourage the provision of more and higher quality job opportunities, to ensure that sites are available for the full range of industrial and commercial activities so as to enable the diversification of employment opportunities, to encourage the development of additional office, small business and light industrial uses, [to promote the growth of tourism](#) and to promote mixed use developments where appropriate.

Local Plan objectives B2 and D3: to ensure that Hartlepool Town Centre continues to fulfil its role as a vibrant and viable amenity providing a wide range of attractions and services with convenient access for the whole community and to ensure that developments attracting large numbers of people locate in existing centres which are highly accessible by means other than the private car

Related Policies

- Encouraging the development of the town centre as the main shopping, commercial and social centre of Hartlepool (Com1);
- Protecting the retail character of the primary shopping area (Com2) and allocation of development site within primary shopping area (Com3);
- Identifying the sequential approach for shopping and other main town centre uses (Com8 and Com9);
- Improvement of accessibility to and within town centre by modes other than the car (Tra1, Tra4, Tra5, Tra7);
- Restriction on retail developments in industrial areas and at petrol filling stations (Com10 and Com11);
- Preventing spread of town centre uses to adjoining residential areas (Hsg4);
- Sequential approach for major leisure developments (Rec14);
- Identifying area where late night uses permitted (Rec13).
- Identification and criteria for development on business and other high quality industrial sites at Wynyard Business Park (Ind1), North Burn (Ind2), Queens Meadow (Ind3) and Sovereign Park, Park View West and Golden Flatts (Ind4);
- Identification and allocation of sites for wide range of employment uses including light and general industry (Ind5, PU6), bad neighbour uses (Ind6), port-related development (Ind7) and potentially polluting or hazardous developments (Ind9 – Ind10);
- Identification of sites and areas for retail and other commercial development in primary shopping area (Com3), edge of centre locations (Com4), at Tees Bay (Com7) and west of A179/north of Middleton Road (Com17);
- Identification of areas for mixed use developments at Victoria Harbour (Com15), the Headland (Com16), edge of centre sites (Com4) and Tees Bay (Com7);
- Intention to acquire sites to improve the local economy or general environment (GEP15).

A number of output indicators have been selected to measure the effectiveness of the policies which seek to diversify and improve employment opportunities. These include most of the **national core output indicators** relating to business development and **additional local output indicators** relating to the amount and proportion of developments on prestige, high quality and other sites identified for business uses, and the number of new business start-ups.

Core Output Indicator BD1: Total amount of additional employment floorspace - by type (gross and net)

Core Output Indicator BD2: Total amount of employment floorspace on previously developed land - by type

Core Output Indicator BD3: employment land available

Table 4.1: Employment Floorspace

		Use Class B1a	Use Class B1b	Use Class B1c	Use Class B2	Use Class B8	Total
BD1	gross (m ²)	342	-	1120	-	141.4	1603.4
	Net (m ²)	342	-	1120	-	141.4	1603.4
BD2	gross	342	-	1120	-	141.4	1603.4
	% gross on PDL	100	-	100	-	100	
BD3	hectares	25.4	25.4	25.4	92.05	50.43	218.68

Commentary

A total of 1603.4m² additional floorspace for business was recorded this year and it is all on previously developed sites. This is a decrease from last year's record of 1979.8m². The current situation of an economy in recession could be the reason for the decline in completed additional floorspace this year. The extension of Unit 2 premises in the prestige site Queens Meadow accounted for 1120 m² additional employment floor space in B1c use class whereas JDR Cable Systems on Cleveland Road accounted for 342 m² of additional B1a floorspace. The additional 141.4m² floorspace of B8 use class is accounted for by Former Nobles Transport Yard on Casebourne Road.

Available employment land has decreased this year to 218.68 m² from 315.58 m² last year. This indicates a net take up of about 30% of available employment land and this is a positive development for Hartlepool.

During the year 2007/2008 strategies were undertaken for the Southern Business Zone (SBZ) and also for the Central Area to further employment and economic regeneration of these important employment areas. The SBZ has now been completed (February 2009). Generally, the SBZ consists of 15 separate industrial estates and business parks and covers an area of about 170 hectares to the south of Hartlepool. It is home to approximately 400 companies who between them employ

5,000 people making it a key employment area and a major driver of economic prosperity for the Tees Valley sub-region. The SBZ is generally found to lack the modern, high quality premises and sites that are better able to meet the needs of modern business occupiers, such as those from high growth sectors like knowledge based industries.

The SBZ Action Plan is now in place and its vision is:

'to become a driver of success for the sub-region, ensuring the SBZ captures recognised opportunities for growth for the benefit of local people, business and the environment'.

To achieve this vision the following strategic objectives have been set:

- Close the skills gap so that local people can better benefit from anticipated economic growth.
- Provide better access to job opportunities.
- Enhance support for existing and new businesses.
- Attract new business and inward investment.
- Maximise supply chain opportunities for local firms.
- Improve the environment, appearance and image of the area.
- Rationalise land use.
- Help diversify the economic base

The rest of the report can be viewed on the Council's website using the following link:

Employment land in Hartlepool can generally be categorised as follows:

- i. Sub-regionally important Greenfield Key Employment sites close to the A19 corridor (Wynyard Business Park and North Burn)
- ii. locally important prestige and high quality sites within the town (Queens Meadow Business Park, Sovereign Park, Park View West and Golden Flatts);
- iii. within mixed use regeneration sites (Marina / Victoria Harbour)
- iv. 'general' industrial sites, most of which are substantially developed;
- v. sites retained for port and port-related uses (part Victoria Harbour and North Seaton Channel); and
- vi. site for potentially polluting and hazardous industry (North Graythorp),

About 40% of the employment land available in the Borough comprises the sub-regionally important land at Wynyard some distance from the main urban area of Hartlepool. Within the town itself, much of the available land is on the high quality sites, only one of which (Golden Flatts) remains totally undeveloped. However this site has been recommended for de-allocation by the Employment Land Review (ELR) study. The northern most part of the site is currently being considered for housing. The ELR report is available on the council's website on the following link:

<http://www.hartlepool.gov.uk/site/scripts/downloads.php?categoryID=3384>

Golden Flatts could also be developed for a large single user or ultimately as an extension to Queens Meadow. About 15% of the available employment land is reserved for port and port-related uses or for potentially polluting or hazardous

industries, whilst much of the remaining land comprises often small parcels of land within substantially developed industrial estates.

Core Output Indicator BD4: Total amount of floor space for town centre uses

Table 4.2: Amount of completed floorspace for town centre uses

		A1	A2	B1a	D2	Total
BD4	Gross (m ²)	2004.2	-	342	-	2346.2
	Net (m ²)	1773.2		342		2115.2

Commentary

This year has seen a significant increase (record of 2346.2m²) of floorspace area for town centre uses compared to last year (record of only 19.2m²). Most of this increase (2004.4m²) is attributed to the completion and opening of Lidl store in Jesmond Gardens. 342 m² of additional office space was recorded from JDR Cable Systems on Cleveland Road.

Local Output Indicator: *Vacancy rates in the town centre*)

Table 4.3: Vacancy Rates in the Town Centre

No. of Retail Units	No. of Vacant Units	Total Retail Floorspace (sqm)	Vacant Retail Floorspace (sqm)
383	84 (22%)	179 029	31 852(18%)

Commentary

Information on vacancies can provide a useful indication of the viability of the town centre. The area of the Town Centre was defined in the 2006 Local Plan. This year's records show 22% of the retail units in the town centre are vacant. This is an

increase from last year during which 13.4% of the retail units were vacant. The recession is most likely the main reason why more retail units closed down this year.

Local Plan objective A4: to promote the growth of tourism

Related Policies

- Identification of areas for tourism related developments at the Marina (To1), Headland (To2) and Seaton Carew (To4 – To6);
- Encouragement of green tourism (To7 –To8) and business tourism (To11);
- Encouraging the provision of tourist accommodation (To9) and identifying criteria for touring caravan sites (To10).

Local Output Indicator: ***Planning permissions granted for tourist related developments***

Table 4.4: Planning permissions granted for tourism related developments 2008/09

General Location	Site / Location	Development
Edge of town centre	Premier Inn hotel Maritime Avenue	Erection of a 54 bed floating hotel extension to existing hotel.
Countryside	Ashfield farm Dalton Piercy Road	Variation of planning conditions to allow opening of caravan and camping park and clubhouse between 1st April and 31st January and removal of condition to provide an acoustic fence.

Commentary

Tourism has become very important to the Hartlepool economy, the development at the Marina acting as a catalyst to its success. The Local Plan identifies the Marina, Victoria Harbour, the Headland and Seaton Carew as main tourism destinations and its policies encourage appropriate developments related to the very different character of these areas. The planning permissions granted during the year reflect these characteristics (see Table 4.4)

Hartlepool's success in winning the bid to be the finishing port for the 2010 Tall Ships' Races will have a major impact on the town's attraction as a tourist destination.

Housing

Local Plan objectives A9 and B1: to encourage the provision of high quality housing and to ensure that there is available throughout the plan period an adequate supply of suitable housing land which is capable of offering in different localities, a range of house types to meet all needs.

Local Plan objective A6: to improve the viability and environment of older housing, commercial and industrial areas

Related Policies

- Improvement of existing housing stock and its environment (Hsg1);
- Selective housing clearance and housing market renewal programmes (Hsg2 – Hsg3);
- Seeking contributions from developers for improvements in housing areas (GEP9);
- Encouraging and undertaking environmental and other enhancement schemes in Industrial and Commercial Improvement Areas (Ind8 and Com6).
- Management of housing land supply (Hsg5);
- Provision of housing in mixed use developments at Victoria Harbour and the Headland (Hsg6);
- Setting out the criteria for residential annexes, homes and hostels, residential mobile homes and gypsy sites (Hsg11 – Hsg14);
- Encouraging residential conversions and use of upper floors (Hsg7 – Hsg8);
- Seeking contributions from developers for highway and infrastructure works (GEP9).

Core Output Indicator H1 (a): plan period and housing targets (dwellings in Adopted Local Plan)

Core Output Indicator H1 (b): plan period and housing targets (dwellings in RSS)

Table 4.5: Housing targets 2004-2021

	Start of plan period	End of plan period	Total housing required	Source of plan target
H1(b)	2004	2021	6730	Adopted RSS 2008

Core Output Indicator H2a: Net additional dwellings - in previous years

Core Output Indicator H2b: Net additional dwellings – for the reporting year

Core Output Indicator H2c: Net additional dwellings in future years

Core Output Indicator H2d: Managed delivery target

Table 4.6: Recent housing levels, likely future housing levels and how future housing levels are expected to come forward taking into account the previous years' performance.

Core Output Indicator		2004 /05	2005 /06	2006 /07	2007 /08	2008 /09	2009 /10	2010 /11	2011 /12	2012 /13	2013 /14	2014 /15	2015 /16	2016 /17	2017 /18	2018 /19	2019/20	2020/21
H2a	Net additional dwellings in previous years	206	255	225	0													
H2b	Net additional dwellings for the reporting year					456												
H2c	Net additional dwellings in future years						356	418	408	576	437	730	721	710	679	671	697	697
	Target (RSS)	390	390	390	390	390	390	390	400	400	400	400	400	400	400	400	400	400
H2d	Managed Delivery target	-184	-135	-165	-390	+66	-34	+28	+8	+176	+37	+330	+321	+310	+279	+271	+297	+297
	Cumulative Delivery target	-184	-319	-484	-874	-808	-842	-814	-806	-630	-593	-263	+58	+368	+647	+918	+1215	+1512

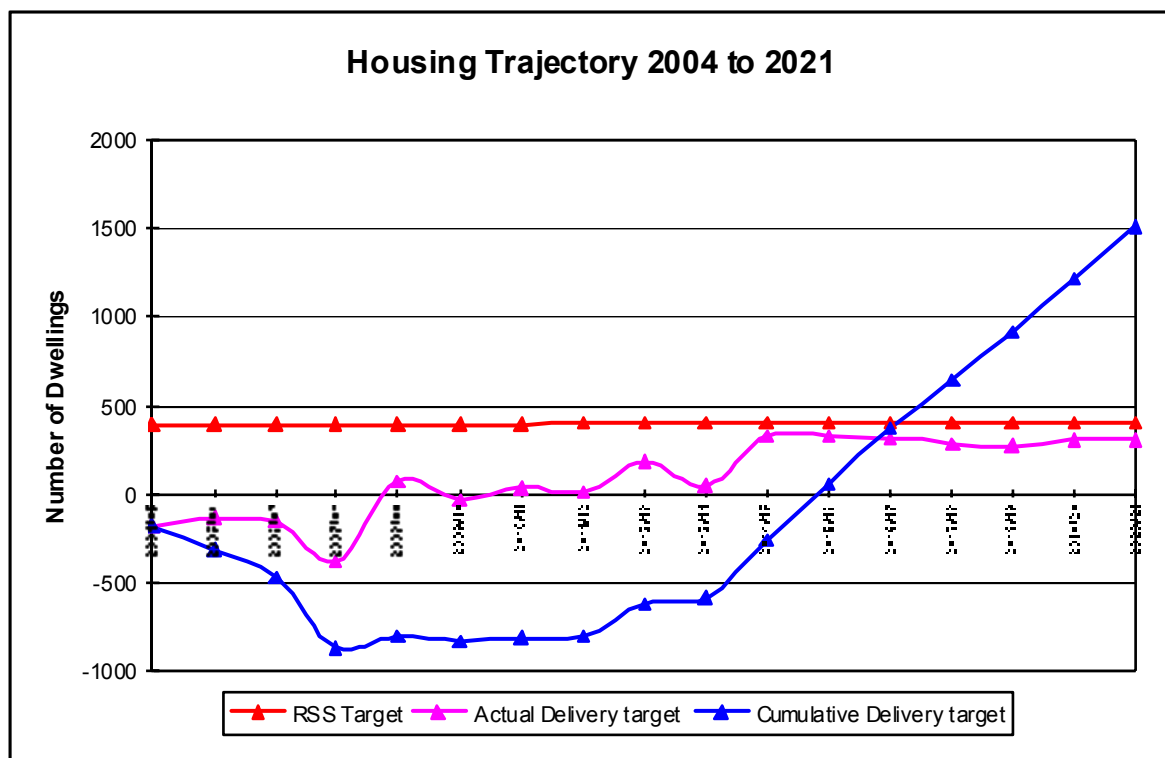
In relation to the RSS target; + denotes over delivery and – (minus) under delivery.

The Housing Trajectory Graph below (Diagram 4.1, drawn from Table 4.6 above) shows the number of net housing completions since 2004 and projected net completions for the period to 2021 in relation to the average annual strategic housing requirements set by the Regional Spatial Strategy⁵.

Future net completions are estimated taking into account:

- anticipated completion rates on committed sites already under construction (including conversions) plus
- anticipated completion rates on most, but not all, sites and conversions with planning permission plus
- anticipated completion rates on major sites for which planning permission is pending, primarily the Victoria Harbour proposal, plus
- Anticipated completions from the SHLAA sites, plus
- anticipated completions on additional sites which it is anticipated are likely to come forward (eg social housing developments and redevelopments on future cleared sites), less
- anticipated demolitions of occupied dwellings (estimated to be 70% of actual demolitions of dwellings in the private sector and 97% of actual demolitions of dwellings in the public sector).

Diagram 4.1: Housing Trajectory 2004 to 2021



⁵ As set out in the Regional Spatial Strategy July 2008

Commentary

This year, net additional dwellings are 456 and this is significant compared to last year which recorded no net additional dwellings. Considering the previous years' delivery which has been far below the RSS requirement, this year's cumulative delivery is 808 dwellings below the RSS target. However, as Victoria Harbour and other brownfield sites come forward the average annual completions is likely to be in line with the RSS requirements. At the end of the plan period 2020/2021 the additional dwellings are predicted to be 1512 above the total RSS requirement of 6730 (see Diagram 4.1)

Hartlepool was included in the Tees Valley Growth Point bid in October 2007 which was subsequently approved in August 2008. It is anticipated that previously unviable sites can be brought forward through infrastructure investment and improvements thereby accelerating housing provision.

Between 1994 and 2007, net completions have averaged 354 dwellings per annum, well over the strategic requirements set by the previous structure plans. This was primarily due to commitments and the start of development on the major site at Middle Warren allocated for development in the Cleveland Structure Plan.

Continuing commitments (at Middle Warren and the Marina) together with the proposed development at Victoria Harbour account for a large proportion of likely future supply.

The housing trajectory (diagram 4.1) shows an overall under supply of housing amounting of about 700 dwellings over the period 2004 to 2021 against the current strategic housing requirement set out in the RSS.

The Housing Allocations Development Plan Document (DPD), on which work commenced in January 2008 will address the site availability to enable the strategic housing requirements in the Regional Spatial Strategy to be met.

Potential sites from the Strategic Housing Land Availability Assessment (SHLAA) have been included in the housing trajectory for this year.

Growth Point Status

This is a government initiative aimed at supporting the work required to meet the Government's aim of delivering 3 million new homes by 2020. The initiative will support local authorities willing to accelerate housing development on existing sites and to bring forward new ones.

Hartlepool was included in the Tees Valley Growth Point bid in October 2007 which was subsequently approved in August 2008.

It is the intention that Growth Point Status and the funding associated with it, will allow previously unviable sites to be considered through realistic and reasonable infrastructure investment and improvement. This investment will help accelerate the

development of existing sites as well as sites not previously considered for residential use. These sites will need to be considered in the context of the Hartlepool Local Development Framework documents including the Core Strategy and Housing Allocations Development Plan Document (DPD).

Local Plan objectives A7 and C10: to promote development on previously used sites where appropriate and to encourage the full use of empty or underused buildings and to ensure the appropriate enhancement of derelict, unused and under-used land and buildings

Related Policies

- Reclamation and re-use of derelict and disused land (GEP17);
- Acquisition of untidy sites (GEP16);
- Encouraging development on contaminated land (GEP18)
- Encouraging residential conversions and the residential re-use of upper floors of properties (Hsg7 – Hsg8).

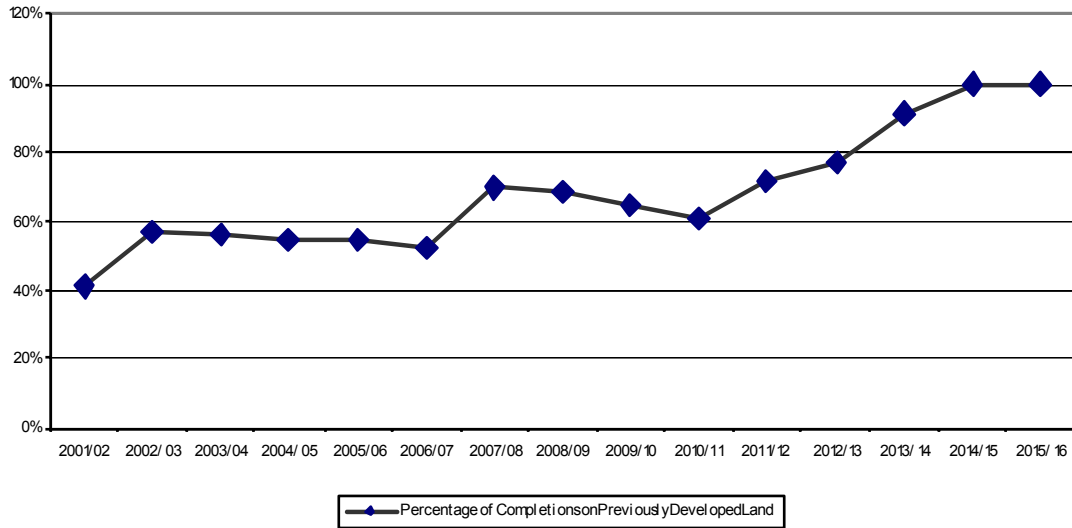
Core Output Indicator H3: New and converted dwellings – on previously developed land (PDL)

Targets: The Local Plan targets for the proportion of housing development to be provided on previously developed land and through conversions of existing buildings to be 75% by 2016. This year it is 36.2%.

Table 4.7: The number of gross new dwellings being built upon previously developed land.

		Total
H3	Gross	530
	% Gross on PDL	36.2

Diagram 4.2: Previously Developed Land Trajectory 2000-2016 Percentage of Housing Completions on Previously Developed Land

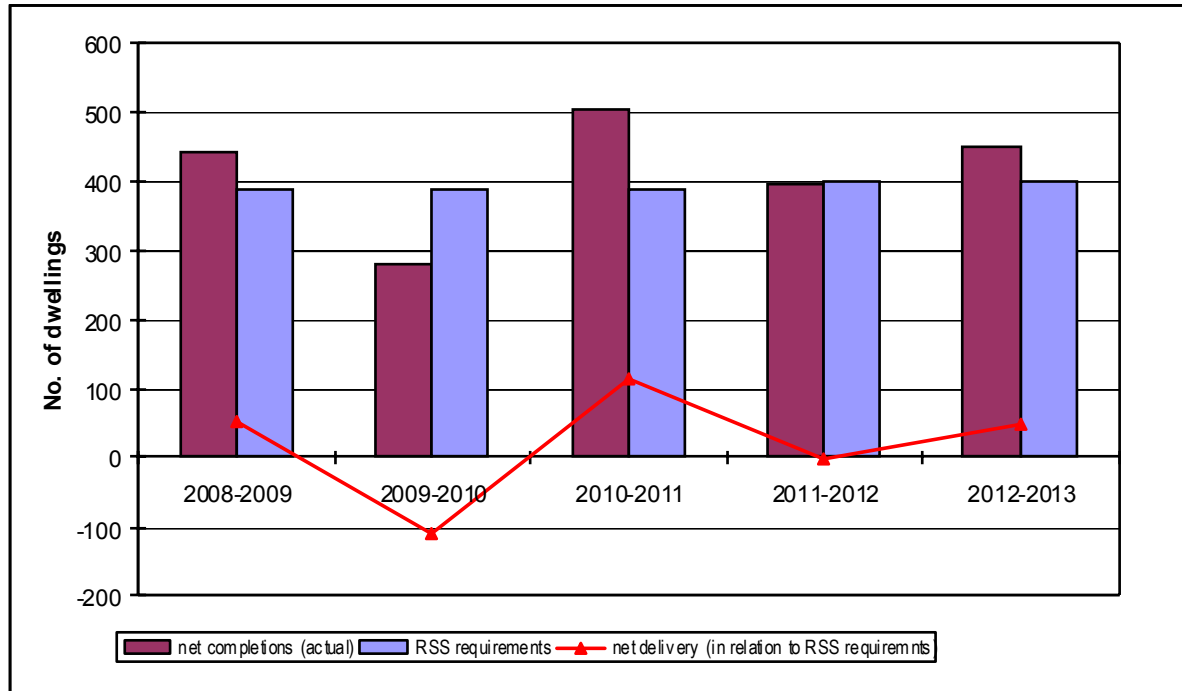


Commentary

The percentage of development on previously developed land this year has fallen to 36.2% from the previous year's 64.4%. This fall is due to the majority of completed dwellings this year coming forward from the Greenfield site of Middle Warren, which is now on its last phase.

Although the Local plan target is 75% by 2016, it is important to note that the level of Brownfield completions is affected by existing commitments on greenfield sites particularly Middle Warren which is continuing to come forward. The previously developed land trajectory illustrated in Diagram 4.2 above shows that the proportion of completions on previously developed land is generally anticipated to rise, particularly as the Victoria Harbour site comes forward.

Diagram 4.3: Five Year Supply from April 2008 in relation to the Regional Spatial Strategy Housing Requirements



Commentary

Diagrams 4.1 and 4.3 show that, despite the low level of net completions expected over the first year due to the large number of demolitions, by the end of the five year period, net housing completions over the five years will be generally in line with the RSS. Delivery in the latter part of the five year period will, however, be affected if there is further delay in the Victoria Harbour development.

Local Output Indicator: Types of housing completed**Table 4.4: Types of Houses completed (gross): 2008/2009**

Type		subtotal	total
Whole houses or bungalows	1 bedroom	0	251
	2 bedrooms	88	
	3 bedrooms	111	
	4 or more bedrooms	52	
Flats, Maisonettes or Apartments	1 bedroom	35	279
	2 bedrooms	244	
	3 bedrooms	0	
	4 or more bedrooms	0	

Commentary

High number of flats / apartments are currently being provided (over 26% of all completions in 2004/05, over 23% in 2005/06, over 36% in 2006/07, 31% in 2007/2008 and 52.6% in 2008/2009). It has become evident that there has been a recent trend the overall proportion of detached dwellings has decreased. This is due to the completion of most of the sites allocated for low density housing in the 1994 Local Plan.

The Borough Council commissioned a Strategic Housing Market Assessment (completed in July 2007) which examined in detail the existing housing stock and existing permissions and how this relates to the needs and aspirations of the community. It found that in terms of the general housing market, overall market demand exceeds supply in most areas. Across Hartlepool, demand for 3 and 4 bedroom houses was strongest equating to 65.6% of the general requirements from the survey and demand for bungalows exceeds supply. However, bungalows have only accounted for an average of 1.8% completions over the last 4 years. Market demand for flats was also apparent from the survey, but given the potential scale of new build apartments with planning permission, new development will easily offset the shortfalls evidenced and future excess supply could result in under-occupation and market distortions.

Core Output Indicator H5: Gross affordable housing completions**Table 4.5: Affordable housing completions**

	Social rent homes provided	Intermediate homes Provided	Affordable homes total
H5	98	58	156

Commentary

The Local Plan does not include a specific policy requiring the provision for affordable housing. The Hartlepool Housing Market Dynamics Study prepared in 1999 in part to inform the emerging housing policies of the Local Plan together with some subsequent studies identified that there was no denial of market access to housing for households earning average or below average incomes.

The general trend of rising house prices in recent years and a new demand for RSL stock⁶ has altered the position in respect of affordability. The Strategic Housing Market Assessment completed in June 2007 for the Borough Council provided a comprehensive analysis of the housing market covering issues of housing need including supported housing requirements, housing aspirations and a detailed affordability analysis. The assessment highlights that there is a degree of pressure in the current market evidenced by market demand exceeding supply in most areas, considerable uplift in house prices in the past 5 years, strong demand for private rented accommodation and limited capacity of the social rented sector with long waiting lists and low vacancy rates.

The assessment includes a detailed analysis of affordable housing requirements using a methodology advocated in the government guidance and identifies a gross shortfall of 393 affordable dwellings per annum across Hartlepool Borough (1965 over the period April 2007 to March 2012). Meeting the need for affordable housing has therefore become a major issue for the Council and a good balance of small and larger general needs stock needs to be delivered along with some older persons' affordable accommodation. In January 2008 the Council commenced consideration of affordable housing through its Scrutiny process. It has identified a range of positive actions including the assessment of council owned land that are suitable for housing development; the development of the Affordable Housing DPD, and ongoing work in partnership with local RSL's to bring forward development proposals.

⁶ Registered Social Landlords including Housing Hartlepool and other Housing Associations such as Three Rivers and Endeavour.

The Tees Valley Sub Regional Strategic Market Assessment prepared in Autumn 2008 has subsequently updated the overall requirements for affordable housing.

As the Local Plan does not cover the need to provide affordable housing, a new DPD concerned only with matters relating to the provision of affordable housing is being prepared to provide the appropriate statutory policies to address this issue. This DPD (Affordable Housing DPD) is currently at the Preferred Options Stage and is available for public consultation until the 4th January 2010.

During the year 2007/ 2008 negotiations commenced under Section 106 legal agreements for the provision of affordable housing as a requirement of the development. The use of S106 agreements requiring affordable housing provision has taken over from the previous has negotiations for housing regeneration as the place of previous need

During the year 2007 / 2008 the Council successfully achieved agreement for contributions towards housing regeneration in relation to a number of proposed housing developments. However the emphasis has now changed to address the need for affordable housing so that the negotiations for legal agreements to secure affordable housing are now being negotiated in preference to those for housing regeneration.

Commentary on Related Planning Policies

The housing market renewal programme has continued during 2008/2009. This year there has been 74 demolitions. The Housing Market Renewal has also acquired for demolition the site on Easington road 2.9 hectares, and also the Belle Vue site 2.6 hectares. Demolition works have already begun on both sites and this is anticipated to have a significant effect on the housing trajectory next year.

Redevelopment has taken place on some previously cleared areas including bungalows and houses at Trinity Square in the Hart Lane area and houses at Headway (Chatham Road, North Central Hartlepool).

Core Output Indicator H4: Net additional pitches (Gypsy and Traveller)

Table 4.6: Number of gypsy and traveller pitches delivered.

	Permanent	Transit	Total
H4	nil	nil	nil

Hartlepool currently has no identified sites for pitches for Gypsies and Travelers. However Policy Hsg14 of the 2006 Local Plan sets out criteria on which to assess any application for planning permission for a gypsy and traveler sites.

The Council, together with other Tees Valley Authorities is in the process of producing a Tees Valley Gypsy and Travellers Accommodation Needs Assessment (GTAA). This will identify the required number of pitches that will be needed to 2021. The findings of the report will form part of the evidence base which is used to produce the Local Development Framework and will be considered when producing the Local Development Framework for the Borough. In time this Local Development Framework will replace Local Plan policy Hsg14.

Core Output H6: Housing quality – Building for Life Assessments

Table 4.7: The level of quality in new housing development

	No. of sites with a building for life assessment of 16 or more	No. of dwellings on those sites	% of dwellings of 16 or more	No. of sites with a building for life assessment of 14 to 15	No. of dwellings on those sites	% of dwellings of 14 to 15	No. of sites with a building for life assessment of 10 to 14	No. of dwellings on those sites	% of dwellings of 10 to 14	No. of sites with a building for life assessment of less than 10	No. of dwellings on those sites	% of dwellings of less than 10	Total No. of housing sites (or phases of housing) sites	No. of dwellings of 10 to 14
H6	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil

For the year 2008/2009, none of the housing associations have started rating the new build completions against the Building for life criteria.

Environmental Quality

Local Plan objective A5: to ensure that there is an adequate infrastructure to serve new and existing development

Related Policies

- Allocation of site for sewage treatment works and criteria for improvements to existing plants (PU3);
- Requirement for adequate drainage and encouragement of sustainable drainage systems (PU1 - PU2);
- Safeguarding of road corridors (Tra11 – Tra13);
- Identification of access points for major development sites (Tra14).
- Identification of land for power generation (PU6)
- Criteria for renewable energy developments (PU7)
- Seeking contributions from developers for highway and infrastructure works (GEP9)

Core Output Indicator E1: Number of planning permissions granted contrary to Environment Agency advice on flooding and water quality grounds

Table 4.8: Number of planning permissions granted contrary to Environment Agency advice on flooding and water quality grounds.

	Flooding	Quality	Total
E1	Nil	Nil	Nil

No planning permissions were granted contrary to the advice of the Environment Agency during the year 2008/2009.

Commentary on other Related Planning Policies

Although the full sewage treatment works has been developed on the allocated site at Brenda Road, policy PU3 remains relevant in respect of other existing sewage works.

Local Plan objective C9: to protect and enhance the biodiversity and geodiversity of the natural environment and ensure the careful use of natural resources

Related Policies

- Protection and enhancement of national and local sites of nature conservation and geological importance (WL1, WL2, WL3, WL5, WL7);
- Protection of species protected by law (WL4) and biodiversity generally (WL8);
- Seeking contributions from developers for works to enhance nature conservation features (GEP9);
- Seeking energy efficiency measures in new developments (GEP6)
- Safeguarding of Mineral resources (Min1);
- Encouraging use of secondary/recycled aggregates (Min2).

Core Output Indicator E2: Change in places of biodiversity importance

Table 4.9: Losses or additions to biodiversity habitat

	Loss	Addition	Total
E2 (ha)	NIL	Nil	NIL

Commentary

There has been no change to the areas of designated international or national sites, or of priority habitats or number of designated local nature reserves during 2008/09.

No priority species were affected by planning decisions during the year. Planning permission was granted in November 2007 for the storage of pipes on vacant brownfield land West of Brenda Road. The use of the site may result in the loss of some biodiversity.

Core Output Indicator E3: Renewable energy generation

Table 4.10: The amount of renewable energy generation by installed capacity and type

E3	Wind onshore	Solar photovoltaics	Hydro	Biomass						Total
				Landfill gas	Sewage sludge	Municipal (& industrial) solid waste combustion	Co-firing of biomass with fossil fuel	Animal biomass	Plant biomass	
Permitted installed capacity in MW	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
Completed installed capacity in MW	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil

E3 is not applicable; there are no stand alone renewable energy schemes

Commentary

Queens Meadow has been granted planning permission this year for 3 free-standing wind turbines each with a capacity of 10kw. This is in addition to the wind turbines at Elwick, which were developed in 2004.

Minerals and Waste

Local Plan objective C11: to ensure that industrial and other potentially polluting or hazardous activities do not have a significant detrimental effect on the adjacent population or workforce and do not have a damaging effect on the environment.

Local Plan objective C12: to minimise the adverse environmental effects of mineral workings and waste disposal operations and ensure the appropriate restoration and after use of land.

Related Policies

- Control of pollution (GEP4);
- Criteria to be considered in relation to the development of new mineral extraction sites, including the after use of sites and transportation of minerals (Min3 – Min5);
- Policies for waste recovery (Was2 and Was3);
- Criteria relating to proposals for waste disposal (Was4-Was6).
- Control of pollution (GEP4);
- Control of developments involving the use or storage of hazardous substances (Ind11);
- Protection of the aquifer (PU4);
- Control of electricity transmission facilities (PU5);
- Control on developments on or near landfill sites (Dco1);
- Control on development near intensive livestock units (Ru6);
- Identifying where is need for an environmental impact assessment (GEP5);
- Need for waste minimisation plans (Was1).

Core Output Indicator M1: Production of primary land won aggregates by mineral planning authority

Table 4.11: The amount of land won aggregate being produced

	Crushed rock	Sand and gravel
M1	Nil	Nil

Commentary

This information is not publicly available in respect of data for Hartlepool because of issues of business confidentiality.

Core Output Indicator M1: Production of secondary and recycled aggregates by mineral planning authority

Table 4.12: the amount of secondary and recycled aggregates being produced in addition to primary won sources in M1 above

	Secondary	Recycled
M2	Nil	Nil

Commentary

None recorded - although there is a waste transfer operation in the town which does produce some recycled aggregates as part of the operation. In this respect issues of business confidentiality prevent the publication of detailed figures

Core Output Indicator W1: Capacity of new waste management facilities by waste planning authorities

Table 4.13: The capacity and operational throughput of new waste management facilities as applicable

W1	The total capacity (m ³ , tonnes or litres)		
		Maximum annual operational throughput (tonnes or litres if liquid waste)	
	nil	nil	Inert landfill
	nil	nil	Non-hazardous landfill
	nil	nil	Hazardous landfill
	nil	nil	Energy from waste incineration
	nil	nil	Other incineration
	nil	nil	Landfill gas generation plant
	nil	nil	Pyrolysis /gasification
	nil	nil	Metal recycling site
	nil	nil	Transfer stations
	nil	nil	Material recovery/recycling facilities
	nil	nil	Household civic amenity sites
	nil	nil	Open windrow composting
	nil	nil	In-vessel composting
	nil	nil	Anaerobic digestion
	nil	nil	Any combined mechanical, biological, and/thermal treatment (MBT)
	nil	nil	Sewage treatment works
	nil	nil	Other treatment
	nil	nil	Recycling facilities construction, demolition and excavation waste
	nil	nil	Storage of waste
	nil	nil	Other waste management
	nil	nil	Other developments
	Nil	nil	total

There were no new waste management facilities provided during the year.

Core Output Indicator W2: Amount of municipal waste arising, and managed by management type by waste planning authority

Table 4.14: The amount of household municipal waste arising and how that is being managed by type.

W2	Landfill	Incineration with EfW	Incineration without EfW	Recycled/ composted	Other	Total waste arisings
Amount of waste arisings in tonnes	4499.49	29058.77	0	19829.03	nil	53387.29

Commentary

The introduction of Alternate Weekly Collection of recyclable / compostable and residual waste throughout most of the Borough has increased the tonnage of recyclable materials and the percentage and tonnage of compostable materials collected. Although total waste arisings this year are higher than last year's (by about 6000 tonnes), there is a notable reduction in the amount of landfill waste and a rise in the amount of recycled/composted waste. This shows that the Borough's waste policies aiming at reduction of landfill waste in order to 'save' the environment and in order to ensure the appropriate restoration and after use of land are actually effective.

QUALITY OF LIFE

Local Plan objective C1: to ensure that developments do not have an adverse impact on the quality of life of the population of Hartlepool

Related Policies

- Setting out general principles for all new development (GEP1);
- Provision for access for all (GEP2);
- Encouraging crime prevention by planning and design (GEP3);
- Control on the location of food and drink developments (Com12) and on the location of late night uses (Rec13);
- Controlling other new developments to protect the amenities of residents (eg Com13 and Com14 - developments in residential areas, Hosg9 - residential developments, Rec11 - noisy outdoor sports and leisure activities, PU8 – telecommunications etc.);
- Controlling development in areas of flood risk (Dco2).

DEVELOPMENT IN THE RURAL AREA

Local Plan objectives C2 and C7: to retain the compact form of the main urban area by preventing urban development extending into the countryside and to protect and enhance the character of the existing villages.

Related Policies

- Definition of Urban Fence and Village Envelopes (Rur1 – Rur3);
- Developments to accord with Village Design Statements (Rur4);
- Protection of rural services (Rur6).

Local Output Indicator: Planning decisions on proposals for development outside urban fence and village envelopes

Table 4.17: Developments approved outside Limits to Development 2004-2009

Developments Approved	2004 /2005	2005 /2006	2006 /2007	2007 /2008	2008/2 009
Agricultural buildings	3	4	0	1	1
New dwellings – no agricultural justification	0	0	0	0	
New dwellings associated with agricultural existing developments	1	0	0	0	1
Temporary residence in connection with rural business	0	3	0	1	1
Replacement dwellings	1	0	0	0	0
Residential conversions of rural buildings	1	0	0	0	0
Extensions of gardens	3	1	0	0	0
Recreational and leisure uses	1	0	4	1	2
Farm diversification schemes	0	0	0	1	0
Extensions and other works relating to existing businesses	2	2	1	0	1
Telecommunications developments	2	1	0	0	0
Other	0	0	2	0	1

Table 4.18: Developments refused outside Limits to Development 2004-2007

Developments Refused	2004 /2005	2005 /2006	2006 /2007	2007 /2008	2008 /2009
Agricultural buildings	2	0	1	0	
New dwellings – no agricultural justification	0	1	0	0	1
New dwellings associated with agricultural existing developments	0	0	0	0	0
Temporary residence in connection with rural business	0	0	0	0	0
Replacement dwellings	0	0	0	0	1
Residential conversions of rural buildings	0	0	0	0	1
Residential alterations and extensions	0	1	1	0	0
Extensions of gardens	0	1	0	0	0
Recreational and leisure uses	0	0	1	1	0
Farm diversification schemes	0	0	0	0	0
Extensions and other works relating to existing businesses	0	0	0	0	0
Telecommunications developments	0	1	0	0	0
Other		1	1	0	0

Commentary

The information provided above relates to planning applications determined since 2004 for development on land outside the limits to development (urban fence and village envelopes).

The policies defining limits to development therefore continue to protect the open countryside from inappropriate development.

CONSERVATION & DESIGN

Local Plan objective C3: to preserve and enhance the quality, character and setting of Conservation Areas, Listed Buildings and areas of archaeological and historic interest

Related Policies

- Protection and enhancement of conservation areas (HE1 – HE4 and supplementary note 5);
- Review of Conservation Areas (HE5), review of Listed Buildings (HE11);
- Protection of Listed Buildings (HE7 – HE10) and locally important buildings (HE12);
- Withdrawal of PD rights (GEP11);
- Protection and enhancement of Registered Parks and Gardens (HE6);
- Protection of Scheduled Monuments, areas of historic landscape and other archaeological sites (HE13 – HE15).

Local Output Indicator 18: *Number of buildings at risk*

Table 4.19: Numbers of Buildings at Risk 2004-2007

Type of building at risk	2004/05	2005/06	2006/07	2007/2008	2008/2009
Grade 1 and Grade II* Listed Buildings	0	0	0	0	0
Grade II Listed Buildings	8	9	10	11	10
Non Listed Buildings in Conservation Areas	2	3	3	3	3

Commentary

The national Buildings at Risk Register does not include any buildings in Hartlepool. However, the Register only relates to grade I and grade II* Listed Buildings. Hartlepool Council conducts its own survey of other important buildings in the Borough, and currently identifies that 13 of these are at some risk through neglect and decay. Within the Park Conservation Area two unlisted buildings give rise to concern.

11 of the 13 buildings at risk have planning permission, but the existence of planning permissions does not necessarily mean that the buildings will cease to be at risk, as permissions may not always be implemented.

Local Output Indicator 19: Conservation Area Appraisals undertaken**Table 4.20: Targets**

Year	Appraisals
2006/07	1
2007/08	1
2008/09	1
2009/10	1

Commentary

One Conservation Area appraisal – for the Park Area – was undertaken during the year in line with the local target. Work has commenced on an appraisal for the Church Street Area.

Local Plan objective C4: to encourage a high standard of design and the provision of high quality environment in all developments and particularly those on prominent sites, along the main road and rail corridors, and along the coast

Related Policies

- Setting out general principles for all new development (GEP1);
- Setting out design guidelines for new housing developments and for house extensions (Hsg9, Hsg10 and supplementary note4);
- Providing for high quality of design and landscaping along main approaches to Hartlepool and on the main frontages within industrial estates (GEP7, GN4);
- Encouraging the provision of public art (GEP10);
- Control on advertisements (GEP8);
- Intention to acquire sites to improve the local economy or general environment (GEP15).

Local Output Indicator 20: Satisfaction with design of residential extensions

No data for 2008/09

Commentary

Whilst there is no data available for the current year, data is collected every few years on perceptions of how well residential extensions fit in with existing buildings.

In 2003, the last year this question was asked in the annual Viewpoint questionnaire, 73% of residents considered that in most cases this was so, 21% considered that this was not so in all cases and 1% considered that it was never the case (the remaining 6% with no view or no response). The question will be asked again in a future Viewpoint questionnaire and the responses compared with the 2003 results in a future annual monitoring report.

Access to the Countryside

Local Plan objective C8: to protect and enhance the countryside and coastal areas and to make them more accessible for the benefit of the residents of, and visitors to, the Borough

Related Policies

- Criteria for outdoor recreational developments in coastal areas (Rec1) and in the countryside (Rur16);
- Protection of agricultural land (Rur9);
- Protection of Special Landscape Areas (Rur20);
- Controls on housing in the open countryside (Rur12);
- Criteria for other development in the countryside including the re-use of rural buildings and farm diversification (Rur7 – Rur8 and Rur9 – Rur11),
- Provision for tree planting and other improvements in the area of the Tees Forest (Rur14);
- Identification of small Community Forest Gateway sites (Rur15);
- Provision of network of leisure walkways including the coastal walkway and other strategic recreational routes (Rur17 – Rur18)

Local Output Indicator 22: Improvements to rights of way / leisure walkways

Table 4.22: Walkways created, diverted, extinguished or improved

Walkways: (km)	2004/2005		2005/06		2006/07		2007/2008		2008/2009	
	Public Rights of Way	Permissive Paths	Public Rights of Way	Permissive Paths	Public Rights of Way	Permissive Paths	Public Rights of Way	Permissive Paths	Public Rights of Way	Permissive Paths
Created	0.32	0	0	0	0.43	0	0.57	0	1	0
Diverted	0	0	0.52	0	0	0	0	0	0	0
Extinguished	0.19	0	0	0	0	0	0	0	0.27	0
Improved	1.53	1.61	2.59	0.54	0	0	9	0	5.25	0

Commentary

The percentage of rights of way open and easy to use was a National Best Value Performance Indicator (BVPI 178) and was useful in identifying how the rights of way network has been improving, although the figures do vary from year to year and reflect the position on the days when the network was surveyed.

Since the beginning of 2008, BVPI 178 has been removed from the list of National Indicators. To reflect the importance of the indicator, it is still being used by the Council as an internal performance indicator, measuring the same information (ACS PI 012). The only difference to the PI is its regularity of data collection. The survey is now carried out every month so that an up to date picture is available to interrogate and act on.

Continuous work is being carried out to improve the network of paths so that a more inclusive network will be available to a broader user base. Self Closing gates and Kissing gates have been installed as replacements to the stile. These gates as well as 'A' Frames are used to assist in the reduction of illegal motorbike use and are used sparingly and only where necessary.

The network is being improved and extended, and a new length of public footpath was created near North Hart Farm during the year. In addition, approval was given to alterations and extension of a public right of way to provide a footpath/cycleway in association with a development to convert farm buildings to studio dwellings. This approval included works to facilitate access onto the Hart- Haswell walkway (part of the Sustrans national route).

Further work has been carried out to promote the footpaths and bridleways north of Hart village. A promoted route - North Hart Circular (2.33 km) – has been devised and developed in partnership with Hart Primary School.

The next report will look to provide information on further diversions, extinguishments as well as creations. A further Legal Event Order will be looked to be completed so that the Definitive Map is brought up to date with regards to the recent Public Path Orders and Definitive Map Orders that have been confirmed since the Map's last legal update in January 2001.

Local Output Indicator 29: *Length of cycleways completed* (local output indicator)

2004/2005:	2km
2005/2006:	50m
2006/2007:	0
2007/2008:	2.33km
2008/2009:	1.1km (North Hart Farm to Middlethorpe Farm)

Commentary

Policy Tra5 of the Local Plan makes provision for the continued development of a comprehensive network of cycle routes linking the main areas of the Borough. A promoted route the North Hart Farm to Middlethorpe Farm (1.1km) has been devised as part of the cycleway network.

5. Endnote

- 5.1 Hartlepool has been transformed over the last ten to fifteen years with major changes to the built environment, reduction in unemployment and diversification of the town's economic base. The Improvement of outcomes such as these needs to continue as the spatial planning function progresses in support of sustainable development objectives expressed for Hartlepool through the Local Area Agreement established by the Council and the Local Strategic Partnership with other key agencies.
- 5.2 The planning policies originally set out in the 1994 Hartlepool Local Plan provided a strong land use policy context for enabling this transformation. Issues which have arisen since the 1994 Local Plan was adopted, such as housing market failure, and new opportunities to be grasped such as the regeneration of Victoria Harbour, were addressed in the 2006 Local Plan. The policies of the 2006 Local Plan have been robust and as a direct consequence have led to initiatives such as Housing Market Renewal which continues to be implemented.
- 5.3 Work in developing the evidence base for the documents to be prepared under the new Local Development Framework spatial planning system has confirmed that affordable housing has now become an issue in Hartlepool and because of the lack of an appropriate policy in the Local Plan; this issue is currently being addressed by the preparation of the Affordable Housing DPD which is currently at the preferred options stage.

Appendix 1: Saved Policies from 13th April 2009

SCHEDULE

POLICIES CONTAINED IN HARTLEPOOL LOCAL PLAN (2006)

GEP1	General Environmental Principles
GEP2	Access for all
GEP3	Prevention by Planning and Design
GEP7	Frontage of Main Approaches
GEP9	Developers' Contributions
GEP10	Provision of Public Art
GEP12	Trees, Hedgerows and Development
GEP16	Untidy Sites
GEP17	Derelict Land Reclamation
GEP18	Development on Contaminated Land
Ind1	Wynyard Business Park
Ind2	North Burn Electronics Components Park
Ind3	Queens Meadow Business Park
Ind4	Higher Quality Industrial Estates
Ind5	Industrial Areas
Ind6	Bad Neighbour Uses
Ind7	Port-Related Development
Ind8	Industrial Improvement Areas
Ind9	Potentially Polluting or Hazardous Developments
Ind10	Underground Storage
Ind11	Hazardous Substances
Com1	Development of the Town Centre
Com2	Primary Shopping Area
Com3	Primary Shopping Area – Opportunity site
Com4	Edge of Town Centre Areas
Com5	Local Centres
Com6	Commercial Improvement Areas
Com7	Tees Bay Mixed Use Site
Com8	Shopping Development
Com9	Main Town Centre Uses
Com10	Retailing in Industrial Areas
Com12	Food and Drink
Com13	Commercial Uses in Residential Areas
Com14	Business Uses in the Home
Com15	Victoria Harbour/North Docks Mixed Use Site
Com16	Headland – Mixed Use
To1	Tourism Development in the Marina
To2	Tourism at the Headland
To3	Core Area of Seaton Carew
To4	Commercial Development Sites at Seaton Carew
To6	Seaton Park
To8	Teesmouth National Nature Reserve
To9	Tourist Accommodation
To10	Touring Caravan Sites
To11	Business Tourism and Conferencing

Rec13	Late Night Uses
Rec14	Major Leisure Developments
GN1	Enhancement of the Green Network
GN2	Protection of the Green Wedges
GN3	Protection of Key Green Space Areas
GN4	Landscaping of Main Approaches
GN5	Tree Planting
GN6	Protection of Incidental Open Space
WL2	Protection of Nationally Important Nature Cons
WL3	Enhancement of Sites of Special Scientific Inte
WL5	Protection of Local Nature Reserves
WL7	Protection of SNCIs, RIGSs and Ancient Semi
HE1	Protection and Enhancement of Conservation
HE2	Environmental Improvements in Conservation
HE3	Developments in the Vicinity of Conservation /
HE6	Protection and Enhancement of Registered Pa
HE8	Works to Listed Buildings (Including Partial De
HE12	Protection of Locally Important Buildings
HE15	Areas of Historic Landscape
Rur1	Urban Fence
Rur2	Wynyard Limits to Development
Rur3	Village Envelopes
Rur4	Village Design Statements
Rur5	Development at Newton Bewley
Rur7	Development in the Countryside
Rur12	New Housing in the Countryside
Rur14	The Tees Forest
Rur15	Small Gateway Sites
Rur16	Recreation in the Countryside
Rur17	Strategic Recreational Routes
Rur18	Rights of Way
Rur19	Summerhill- Newton Bewley Greenway
Rur20	Special Landscape Areas
Min1	Safeguarding of Mineral Resources
Min2	Use of Secondary Aggregates
Min3	Mineral Extraction
Min4	Transport of Minerals
Min5	Restoration of Mineral Sites
Was1	Major Waste Producing Developments
Was2	Provision of 'Bring' Recycling Facilities
Was3	Composting
Was4	Landfill Developments
Was5	Landraising
Was6	Incineration

HARTLEPOOL LDF ANNUAL MONITORING REPORT 2008/2009

Hsg1	Housing Improvements
Hsg2	Selective Housing Clearance
Hsg3	Housing Market Renewal
Hsg 4	Central Area Housing
Hsg5	Management of Housing Land Supply
Hsg6	Mixed Use Areas
Hsg7	Conversions for Residential Uses
Hsg9	New Residential Layout – Design and Other Requirements
Hsg10	Residential Extensions
Hsg11	Residential Annexes
Hsg12	Homes and Hostels
Hsg13	Residential Mobile Homes
Hsg14	Gypsy Site
Tra1	Bus Priority Routes
Tra2	Railway Line Extensions
Tra3	Rail Halts
Tra4	Public Transport Interchange
Tra5	Cycle Networks
Tra7	Pedestrian Linkages: Town Centre/Headland/Seaton Car
Tra9	Traffic Management in the Town Centre
Tra10	Road Junction Improvements
Tra11	Strategic Road Schemes
Tra12	Road Scheme: North Graythorp
Tra13	Road Schemes: Development Sites
Tra14	Access to Development Sites
Tra15	Restriction on Access to Major Roads
Tra16	Car Parking Standards
Tra17	Railway Sidings
Tra18	Rail Freight Facilities
Tra20	Travel Plans
PU3	Sewage Treatment Works
PU6	Nuclear Power Station Site
PU7	Renewable Energy Developments
PU10	Primary School Location
PU11	Primary School Site
Dco1	Landfill Sites
Rec1	Coastal Recreation
Rec2	Provision for Play in New Housing Areas
Rec3	Neighbourhood Parks
Rec4	Protection of Outdoor Playing Space
Rec5	Development of Sports Pitches
Rec6	Dual Use of School Facilities
Rec7	Outdoor Recreational Sites
Rec8	Areas of Quiet Recreation
Rec9	Recreational Routes
Rec10	Summerhill
Rec12	Land West of Brenda Road

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CABINET REPORT

14th December 2009



Report of: Chief Executive

Subject: TEES VALLEY REGENERATION LTD

SUMMARY

1. PURPOSE OF REPORT

On 19 October 2009 Cabinet received a report concerning Tees Valley Regeneration (TVR) being wound up as a company by the end of March 2010. Whilst endorsement the new arrangements for taking forward the work on inward investment and regeneration currently undertaken by TVR post March 2010, Cabinet requested a further report to identify aspects of TVR's performance since its inception in April 2002.

2. SUMMARY OF CONTENTS

Urban Regeneration Companies, such as TVR, are limited-life organisations expected to make a discernable difference to an area within a few years. Government usually requires a mid term review after five or six years but in the case of TVR the review was instigated by its shareholders (the five Tees Valley local authorities, ONE North East and English Partnerships – now the Homes and Communities Agency).

The mid term review of TVR was undertaken by the European Institute for Urban Affairs, and a copy of their report, completed in June 2009, is attached for members' information (**Appendix A**).

3. RELEVANCE TO CABINET

Response to a request from Cabinet.

4. TYPE OF DECISION

Non key decision

5. DECISION MAKING ROUTE

Report for information only.

6. DECISION(S) REQUIRED

To note the report.

Report of: The Chief Executive

Subject: TEES VALLEY REGENERATION Ltd

1. PURPOSE OF REPORT

1.1 On 19 October 2009 Cabinet received a report concerning Tees Valley Regeneration (TVR) being wound up as a company by the end of March 2010. Whilst endorsing the new arrangements for taking forward the work on inward investment and regeneration currently undertaken by TVR post March 2010, Cabinet requested a further report to identify aspects of TVR's performance since its inception in April 2002.

2. BACKGROUND

- 2.1 TVR was set up as a limited-life company in 2002, to carry out specific tasks. Its main role initially was to progress major regeneration projects: Central Park, Darlington, North Shore, Stockton, Middlehaven, Middlesbrough, Victoria Harbour, Hartlepool, development around Durham Tees Valley Airport, and the Tees Valley Metro. After its establishment, the Tees Valley Inward Investment Team was transferred to be part of TVR.
- 2.2 The shareholders in TVR are the five Tees Valley Borough Councils, the Homes and Communities Agency (HCA) (formerly English Partnerships) and One NorthEast (ONE).
- 2.3 Government usually requires a mid term review after five or six years but in the case of TVR the review was instigated by its shareholders. It was undertaken by the European Institute for Urban Affairs, and a copy of their report, completed in June 2009, is attached for members' information.

3. DECISION REQUIRED

- 3.1 To note this report.

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CONTENTS

Chapter 1:	Tees Valley Regeneration: What Is It And What Is This Review About?	1
Chapter 2:	How Well Is TVR Doing Overall? Expenditure, Funding and Outputs	7
Chapter 3:	What Value Did The Projects Add Overall?	16
Chapter 4:	How Well Has TVR Done And What Lessons For The Future?	20

CHAPTER 1:

THE VOUCHER REPORT:

WHAT ARE THE THEMATIC REVENUE QUESTIONS?

What are RUs?

- 1.1 Urban Regeneration Companies (URCs) were proposed by Lord Roger's Urban Task Force in 2000 on the grounds that the deep-seated problems of English cities could only be solved if public and private sectors jointly undertook a co-ordinated investment and development programme with clear and deliverable performance targets. URCs are companies limited by guarantee formed by local authorities, Regional Development Agencies and usually English Partnerships (now Homes and Communities Agency). Their primary role is to unlock the latent development potential of underperforming areas by working up a Masterplan in conjunction with key stakeholders and then co-ordinating implementation of its proposals. They are intended to provide focus and dedicated resource where existing agencies would not be able to achieve the same effect. Although they have a similar philosophy to earlier Urban Development Corporations in this sense, they differ in two important ways. First URCs are only created where there is local support and consent and are not imposed by Government. Second, they do not possess separate powers and resources. Instead they must rely on marshalling those of partners in such a way as to achieve synergy and seek to influence and cajole partners to raise their game by working in partnership and changing practices. This clearly requires long-term strategic, financial and political commitment from those organisations.
- 1.2 Although URCs are a national initiative and brand, Government has always viewed them as essentially local vehicles designed to address local needs which must adapt to local circumstances if they are to work well. However, Government has identified some fundamental requirements of a URC:
 - A majority private sector Board and Chair.
 - Local authority and RDA membership.
 - High recognition of the URC in the RDA's Regional Economic Strategy.
 - Clear boundaries and goals.
 - A focus upon physical delivery of development.
 - A clear view of how such development will assist deprived areas and relate to wider central government, regional, sub-regional and local initiatives.
 - An identifiable critical mass of development opportunities with potential to exert a wider catalytic effect.
 - Evidence of market and/or institutional operational failure.
 - A clear idea of how it would add value.
 - A vision for the area and understanding of barriers to achieving it.
 - A 10-15 year regeneration framework.

Why did Tees Valley need a RU?

- 1.3 Tees Valley Regeneration, was established in April 2002 in response to the continued economic decline of the Tees Valley sub-region. Heavy job losses at Corus steel plants had prompted the establishment of a high level Task Force in 2001 which

subsequently undertook studies on key local initiatives, helped to secure funding for regeneration projects and also provided the platform for a URC proposal which was jointly supported by the regional development agency, One North East (ONE), English Partnerships (EP) and the five Tees Valley local authorities. Government responded positively to the proposal but requested that the submission be placed within the wider social, economic and regeneration context. The URC therefore became an integral part of an ambitious wider programme (set out in the Tees Valley Vision Strategic Framework) designed to achieve comprehensive economic, social and community regeneration and ultimately improve the sub-region's economic performance and quality of life.

- 1.4 Tees Valley Regeneration (TVR) was one of the first wave of Urban Regeneration Companies (URCs) to be designated following the pilot phase of the initiative. It is one of two URCs in the north east region, the other being Sunderland **URC**. Unlike Sunderland **URC** and indeed most other URCs, Tees Valley Regeneration operates in the five Tees Valley local authorities and in a number of regeneration areas. It was set up to provide a dynamic new delivery vehicle dedicated to leading the delivery of a series of key physical regeneration projects in the Tees Valley. TVR not only operates in an extensive area. It is also distinctive in that it has a wider remit than most. In 2004, it merged with the Tees Valley Development Company, the sub-regional inward investment agency, funded by the five Tees Valley authorities. This offered scope for linking physical regeneration with securing end-users and other forms of synergy.

What challenges did TVR face?

Economic challenges

- 1.5 Tees Valley Regeneration and its partners faced a series of major socio-economic, physical and institutional challenges when it was established. While some of Tees Valley's key industries were internationally competitive such as chemicals, advanced engineering, transport and logistics and energy suppliers, others such as iron and steel, textiles and food and drink had declined considerably in recent decades. In key respects, the sub-regional economy was underperforming. There was an under-representation of high tech firms, GDP per capita was relatively low, the business start up rate was low and there were relatively few companies per capita. Unemployment was relatively high by national standards. Many of the new service sector firms and jobs in the north east region were opting to locate in Newcastle, the major regional centre, which exerted a shadow effect on the rest of the region. Firm closures had left a legacy of dereliction and underused land and a weak land and property market. Good business accommodation in core areas was in short supply and many of the new business locations with extensive land supply were situated on the periphery. Core areas contained extensive swathes of derelict or underused land, and were suffering sustained population loss due mainly to out-migration but also a falling birth rate and an ageing population.

Physical challenges

- 1.6 Physically, the sub-region contained great contrasts. Much of its core comprised vast industrial areas, epitomised by the huge petrochemical complexes of Wilton, Billingham and North Tees/Seal Sands. Towards its fringes, there are attractive stretches of coastline and open countryside, though in some cases urban communities in these areas were suffering from peripherality and remoteness. Echoing this, there was marked social polarisation. The core areas tended to suffer from relatively high levels of deprivation, crime, poor health, educational under-attainment and benefit dependency. Much housing in the core urban areas comprised

terraces, social housing or dilapidated private housing stock. The suburbs and rural and semi-rural areas, on the other hand, were relatively prosperous and many of their inhabitants commuted to the better paid jobs in the sub-region. The River Tees is potentially one of the sub-region's greatest assets but too often it has been associated with concentrations of dereliction and environmental problems. Heavy industrialisation along its banks has frequently disconnected the river from surrounding communities. The urban landscape was dominated by industrial and transportation structures and had few iconic buildings. The sub-region has also unfortunately attracted negative media publicity as a place to live and its poor image together with other problems has affected local mood and self-confidence. For all these reasons, Tees Valley presented a challenging environment in which to exercise the art of regeneration and place making.

Institutional challenges

- 1.7 Lastly, TVR and partners faced significant institutional challenges. Tees Valley's previous experience of special urban regeneration vehicles had been mixed. During the period 1987-98, Teesside Development Corporation had been charged with spearheading regeneration activity in Teesside. Although it achieved some successes such as constructing the Tees Barrage, regenerating Victoria Marina and Quays in Hartlepool, paving the way for the building of the Middlesbrough FC's Riverside Stadium in Middlesbrough and creating a new office and University campus at Teesdale, Stockton, some of its actions proved highly controversial. These included its development of peripheral sites which subsequently undermined town centre locations, go-it alone approach, loose governance and handling of negotiations with developers and wind-up arrangements. Some of the local authorities were philosophically opposed to the TDC on the grounds that it had been imposed by government and because of its lack of accountability. In the case of TVR, local authority's motives for backing it were mixed. All took the pragmatic line that it was the only way to secure preferential access to ONE and EP resources and hoped too that its Board members could use their influence to garner additional private investment. A couple recognised that they lacked the capacity to tackle complex regeneration schemes.
- 1.8 Since TVR operated in five, to some extent competing, local authorities, it faced a major task building the necessary trust with each of them and also with ONE and EP and keeping each constituency happy and on board. Tees Valley is a poly-centric sub-region, governed by comparatively small local authorities. Since URCs are also overseen by private sector-led Boards, it is important to stress that there had traditionally been a relatively large gulf between public and private sectors on Teesside for a mixture of political, cultural and economic reasons. The regional economy had in the past been dominated by a limited number of externally controlled corporations some of which had decided to exit the region or markedly contract operations. This meant that some public servants and politicians had a rather unreconstructed view of the private sector and saw it as the source rather than the solution to the sub-region's problems.

What strengths and assets?

- 1.9 Despite these many challenges, TVR was, on the other hand, able to draw upon considerable strengths and assets. Key sectors of the Tees Valley economy such as petrochemicals, logistics, high value added engineering were witnessing considerable investment. Teesport, the UK's second port in terms of volume, was thriving. Further and Higher Educational Institutions in Tees Valley were expanding. Many parts of the Tees Valley were considered attractive places to live. Local, sub-regional, regional and national agencies had for some time been working in partnership to address

strategic economic, transport and tourism issues facing the Tees Valley. Credible Tees Valley-wide organisations were already in existence. The Tees Valley Joint Strategy Unit had an excellent reputation for its strategy work and intelligence function. Also, the Tees Valley Development Company had built up a solid record in attracting inward investment owing to the area's loyal, committed and productive workforce, its utilities, communications, effective promotion and customer care. Two of TVR's key regeneration sites, Middlehaven and North Shore were already in public ownership (EP).

What is the scope of TVR?

- 1.10 TVR's designated area is about 80,000 hectares in extent and includes a population of 650,000 and 248,800 employees. Its objectives, set out in its Memorandum of Association, are to assist, promote, encourage, develop and secure the regeneration in the social, physical and economic environment of the URC area and to re-establish it as a premier location for business and increase job and training opportunities for Tees Valley residents. TVR was formally registered as a company limited by guarantee under the 1985 Companies Act in April 2002. The founding members (ONE, EP and Stockton Borough Council on behalf of the five Tees Valley LAs) signed a Members Agreement which committed the members to each making an £250k contribution (with each local authority supplying £50k) prior to the Company's incorporation which would be subsequently reviewed annually to cover TVR's operating costs. (Members later agreed to fund TVR to the same extent for the first three financial years). The Member's Agreement committed TVR to preparing a Business Plan by October 2003 and stipulated that Middlesbrough Borough Council would be the accountable body (and therefore supply financial reports and an internal audit service) and that Stockton Borough Council would act on behalf of the local authorities and appoint two local authority directors to the Board.
- 1.11 TVR's activities are overseen by a private sector dominated Board of 10 members. This was later expanded to 15 to allow all local authorities' representation. The Board are supported by an Audit Committee, a Nominations and a Remuneration Committee. TVR's Executive Team has changed in size and nature over time. The Chief Executive was appointed in July 2002 and he was later joined by a Development Director and a project delivery team to deliver the key projects. As already noted, TVDC staff joined the organisation in 2004 when TVR moved from temporary to permanent premises. The Team is currently at full strength and comprises 24 staff: a Chief Executive, a Director of Development heading up a team of seven project directors and managers, a Strategic Investment and Marketing Director supported by five business and inward investment staff and two public relations and marketing posts, a Director of Corporate Services, a Finance Manager, a Management Assistant, two Personal Assistants and two Administrators. A secondeed from EP and three consultants also form part of the Team structure.

Why the Interim Review?

- 1.12 Typically, Government calls for a review of individual URC's performance after five years of operation. URCs are limited-life organisations and there is an expectation that they make a discernable difference within three to four years of inception. In this instance, ONE, Department of Communities and Local Government, EP, and the five Tees Valley Local Authorities (Darlington, Hartlepool, Middlesbrough, Redcar and Cleveland and Stockton) have instigated an interim review of TVR to establish its performance and added value to date and lessons for future institutional arrangements. Partners agreed in March 2008 to wind up TVR in March 2010 since it was felt that projects would by then be sufficiently advanced to allow them to be

handed over safely to other parties to pursue and are currently finalising succession arrangements.

- 1.13 The tender brief in essence calls for an assessment of Tees Valley Regeneration's:
- operation and partnership relationships in order to advise stakeholders of progress and identify barriers and opportunities to improve the delivery of future strategies, outputs, outcomes and the pace of change;
 - impact and added value, together with that of its partners;
 - accountability in the community and relationship with local governance arrangements;
 - a set of lessons both to inform future delivery of physical and economic regeneration programmes in Tees Valley and the attraction and retention of inward investment.
- 1.14 Since URCs have both national and local policy significance, they need to be judged against both national criteria and also in relation to their specific local circumstances, challenges, constraints and ambitions. The mission and objectives of Tees Valley Regeneration are set out in its The Tees Valley Vision Strategic Regeneration Framework (which was commissioned by EP, ONE and the five TVLAs to set the policy context and framework within which Tees Valley Regeneration has operated), its Business Plans and also the Masterplans relating to its key regeneration sites.
- 1.15 The Strategic Regeneration Framework stressed the primacy of:
- transforming the economy and creating sustainable jobs by enhancing the competitiveness of key economic sectors and clusters;
 - creating attractive places with a good range of quality housing, leisure, cultural, learning and retail facilities;
 - creating confident communities by raising aspirations and promoting social and community renewal.
- 1.16 Tees Valley Regeneration's activities cover all three themes but particularly relate to the first two. Its inward investment function serves the first purpose and its remaining projects relate mainly to the second. The Strategic Framework defined a series of key actions for making attractive places:
- focusing investment in the River Tees corridor, the Coastal Arc and the Western Corridor (extending from Darlington and the airport to Stockton and Middlesbrough);
 - addressing housing market failure;
 - building a light rapid transit system at the heart of an integrated public transport system to improve links between communities and access to jobs and learning opportunities;
 - improving the road network serving the Tees Valley;
 - providing broadband services to all communities;
 - continuing to upgrade air and seaport facilities;
 - promoting better buildings and public realm;
 - undertaking a comprehensive programme of derelict land reclamation.

- 1.17 Tees Valley Regeneration sees its purpose as fourfold:
- deliver development opportunities through effective co-ordination and partnership;
 - restore private investor confidence in the opportunities in the area;
 - build on previous investment by public and private sectors;
 - work with other agencies to integrate physical and social renewal and achieve the comprehensive regeneration of the Tees Valley area.
- 1.18 Tees Valley Regeneration has chosen to focus on three themes:
- delivering maximum private-sector investment into the Tees Valley through effective promotion and management of physical and economic regeneration programmes;
 - bringing forward key and strategic investment priorities in accordance with the Tees Valley development framework;
 - accelerating the economic revival of the Tees Valley through the integration of major physical development projects with the other strategic themes of the Tees Valley Vision.
- 1.19 The URC has championed a limited number of key regeneration projects to achieve its overall mission and objectives. It has concentrated its efforts in seven projects/programme areas - Central Park, Durham Tees Airport, Middlehaven, North Shore, Victoria Harbour, Tees Valley Metro and Business Investment. Assessing progress on each of these is a central part of the review.
- 1.20 Tees Valley Regeneration is also part of a much wider institutional scene and works to a wide range of related goals, objectives, programme priorities and principles. In part, TVR's effectiveness will have hinged on the extent to which it has embedded its actions in wider strategies and programmes, forged links with relevant partners and reached a clear understanding of respective roles. Evaluating the effectiveness of stakeholder relationships and strategies relating to TVR therefore forms another key strand of the review.

What kind of methodology and report?

- 1.21 The evaluation uses a variety of different methods and sources. We have examined primary and secondary documents, conducted extended interviews with 85 key public and private sector partners, undertaken detailed analysis of the six projects in which TVR has played a significant role, assessed the impact and effectiveness of its Business Investment Team. We have also analysed TVR expenditure and output data and also socio-economic baseline and programme monitoring data to gauge the extent of change on the ground.
- 1.22 Chapter 2 looks at the overall performance of TVR in terms of expenditure incurred, direct and indirect outputs achieved so far set against the targets that TVR was set. Chapter 3 provides an overall assessment of TVR's effectiveness in terms of impact and added value, operations, relationships, community dialogue, accountability and governance. Chapter 4 identifies outstanding challenges, lessons and policy implications for TVR regeneration projects and other major schemes.

CHAPTER 2:

HOW DOES TVR FUND ITS REGENERATION? THE REVENUE FUNDING REGENERATION

Introduction

2.1 This chapter presents information on TVR's expenditure, running costs, project funding, and outputs. It answers five questions:

1. Who funds TVR?
2. How has TVR's funding been spent?
3. How much has been spent on projects?
4. Who has funded the projects?
5. What have the projects delivered?

Who funds TVR?

TVR's regeneration role

2.2 TVR has received £6.7 million revenue funding for its regeneration role between 2002/3 and 2007/8, an average of £1.1 million per annum. TVR's three main funders are One North East (contribution of £2.4 million or 35%), English Partnerships (£2.3 million or 34%), and Local Authority sources (£2.0 million or 30%). 2007/8 saw the highest amount of funding provided for a single year at £1.35 million.

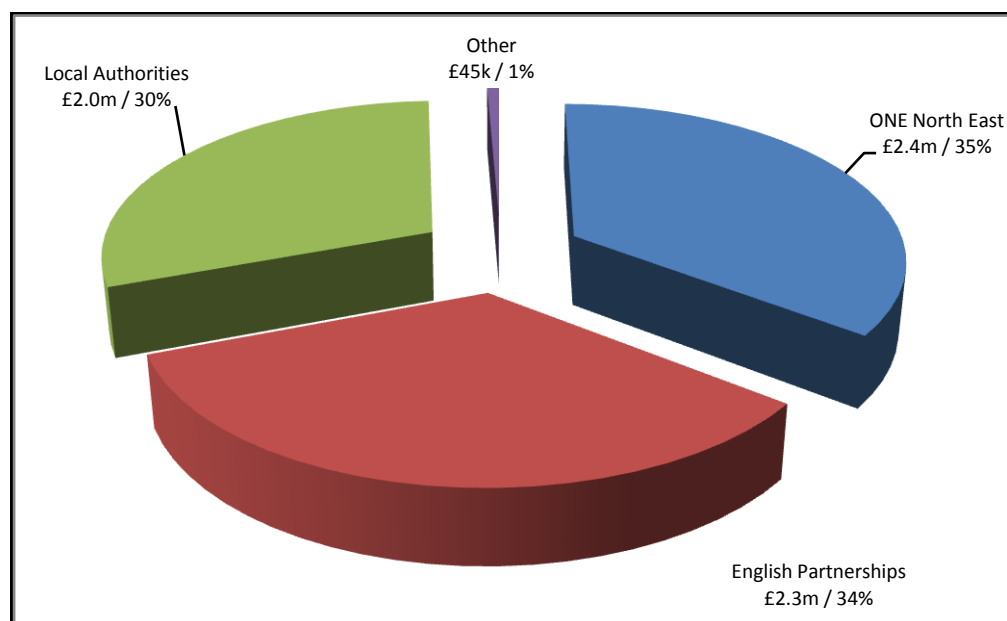
Table 2.1: TVR's regeneration role – funding sources, £000

Funding sources:	2002/3	2003/4	2004/5	2005/6	2006/7	2007/8	Total to 07/08	Share of total
One North East	300	489	355	360	420	450	2,374	35.4
English Partnerships	480	355	270	360	360	450	2,275	33.9
Local Authorities (Regeneration)	250	330	250	360	420	406	2,016	30.0
Other	-	-	-	-	-	45	45	0.7
Total Funding	1,030	1,174	875	1,080	1,200	1,351	6,710	100.0

Source: TVR

2.3 Forecast funding for TVR's regeneration role is £1.35m in 2008/9 and £1.33m in 2009/10.

Figure 2.1: TVR's regeneration role – funding sources, split, 2002/2003



Source: TVR

Inward investment role

- 2.4 TVR has received £2.5 million for its inward investment role 2004/5-2007/8, an average of £629k per annum. Local Authorities have contributed the bulk of this funding (£1.8 million or 73%); One North East has contributed £576k or 23% (mostly from its Single Programme, with a smaller contribution from its Strategic Accounts Programme in 2007/8). A small proportion of funding has come from 'other' sources in 2004/5.

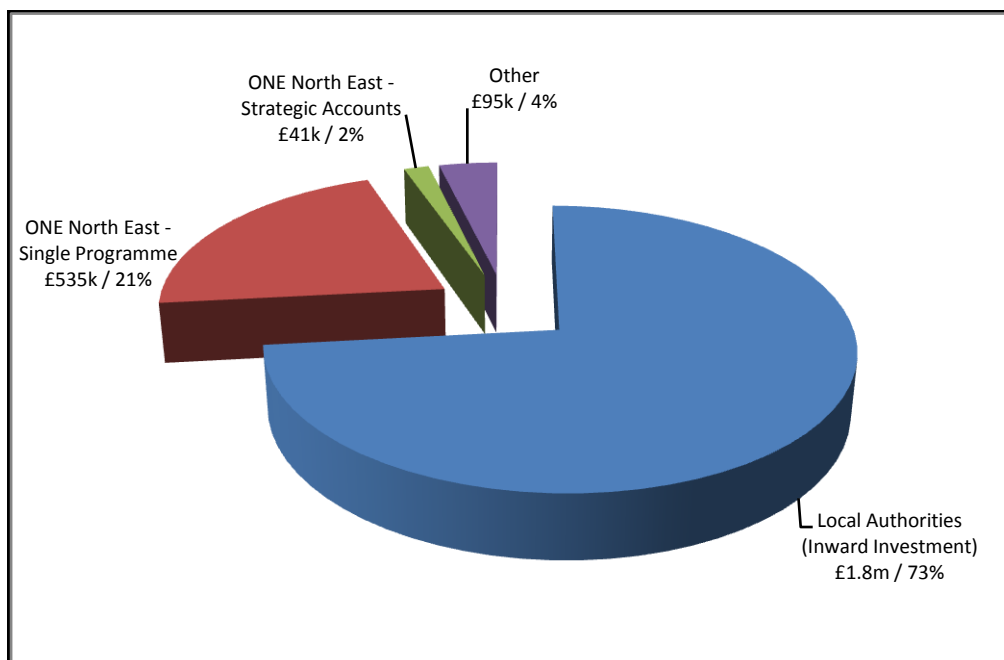
Table 2.2: TVR's inward investment role – funding sources, 000

Funding sources:	2004	2005	2006	2007	Total	share of total
Local Authorities (Inward Investment)	444	455	467	478	1,844	73.3
One North East - Single Programme	82	107	146	200	535	21.3
One North East - Strategic Accounts	-	-	-	41	41	1.6
Other	95	-	-	-	95	3.8
Total Funding	621	562	613	719	2,515	100.0

Source: TVR

- 2.5 Forecast funding for TVR's inward investment role is set to rise from £719k in 2007/8 to £782k in 2008/9 and reduce to £721k in 2009/10.

Figure 2.2: TVR's inward investment role – funding sources, 2004/2005



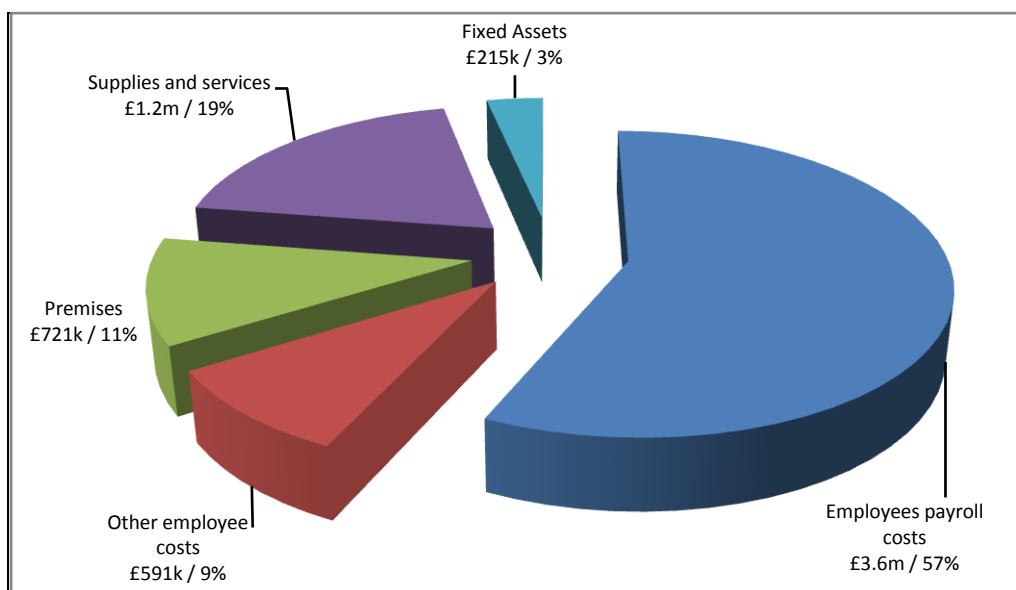
Source: TVR

How has TVR's funding been spent?

Regeneration role

- 2.6 TVR's has spent £4.2 million or 66% of its regeneration role revenue funding on employee costs (payroll and other); £1.2 million or 19% on supplies and services; £721k or 11% on premises; and £215k or 3% on fixed assets.

Figure 2.3: TVR's regeneration role expenditure categories, 2002/2003



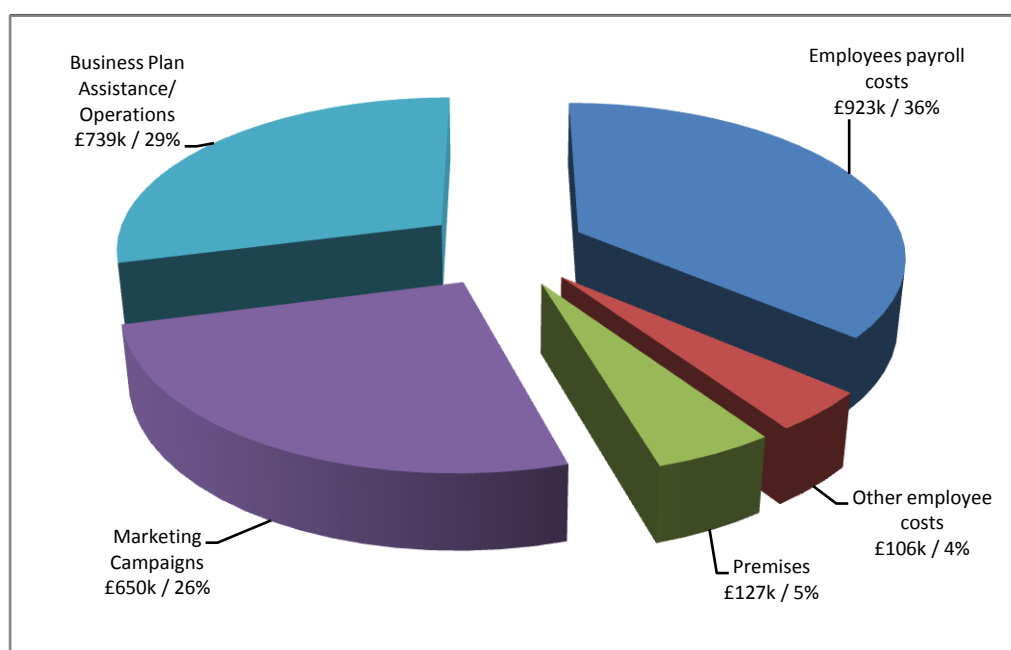
Source: TVR

- 2.7 Expenditure is forecast to rise from £1.30m in 2007/8 to £1.36m in 2008/9 and to £1.48m in 2009/10.

Inward investment

- 2.8 TVR's inward investment funding has been spent in the following way: just over £1.0 million or 40% has been spent on employee costs (payroll and other); £739k or 29% has been spent on 'business plan assistance/operations'; £650k or 26% has been spent on marketing campaigns; and £127k or 5% has been spent on premises.

Figure 2.4: TVR's inward investment role expenditure categories, 2004/05/06



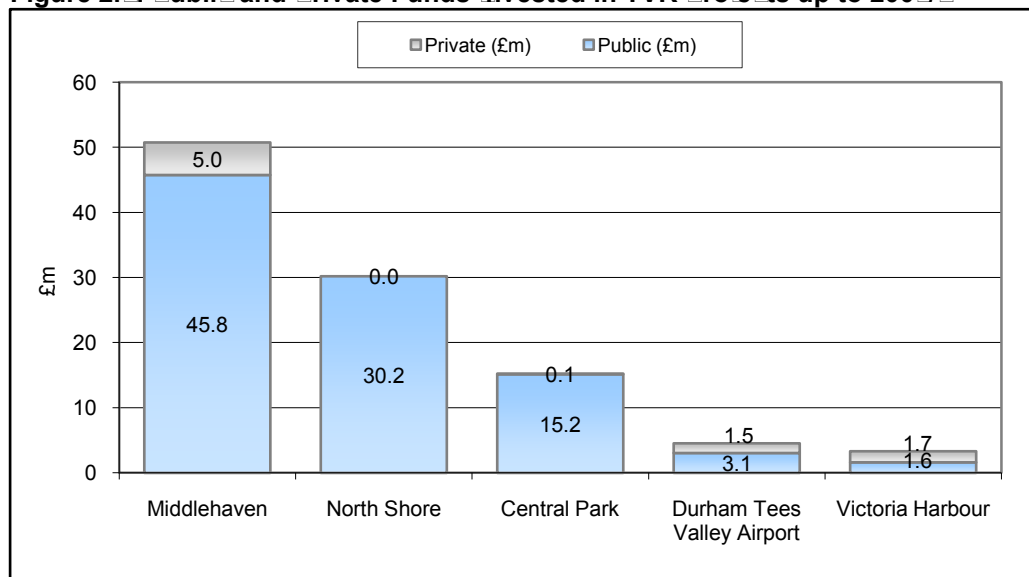
- 2.9 Expenditure is forecast to rise from £750k in 2007/8 to £778k in 2008/9 and reduce to £744k in 2009/10.

Project Funding

How much has been spent on TVR's five projects?

- 2.10 £104.1 million was invested in TVR's five projects up to 2007/8: £50.8 million in Middlehaven; £30.2 million in North Shore; £15.3 million in Central Park; £4.5 million in Durham Tees Valley Airport; and £3.3 million in Victoria Harbour, see figure 2.5. £95.8 million has come from the public sector and £8.3 million from the private sector.
- 2.11 A further £125.2m is forecast for the current and next financial years with £37.1m forecast in 2008/9 and £88.1m in 2009/10. The £125.2m is split as follows: £73.5m for Middlehaven; £21.7m for North Shore; £15.6m for Durham Tees Valley Airport; £13.5m for Central Park; and £0.8m for Victoria Harbour.

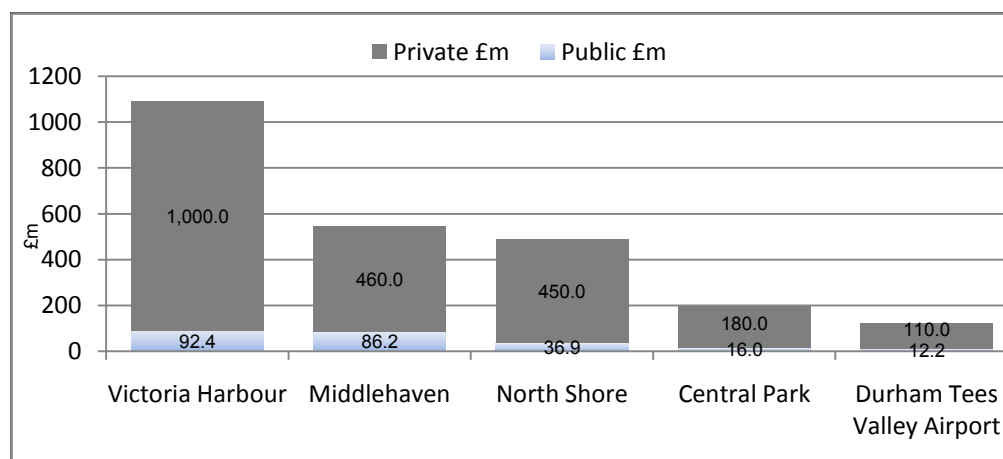
Figure 2.1: Public and Private Funds invested in TVR projects up to 2007/8



Source: TVR

- 2.12 Over their total lifespan financial investment in the projects is expected to reach £2,444 million, more than 23 times the amount invested so far. Victoria Harbour anticipates £1,092 million; Middlehaven £546 million; North Shore £487 million; Central Park £196 million; and Durham Tees Valley Airport £122 million (see Figure 2.6). Four of the five projects anticipate that over 90% of investment will come from the private sector. One of the five projects, Middlehaven, anticipates a private sector contribution of 84%.

Figure 2.2: Total anticipated project spend, public and private (£m)



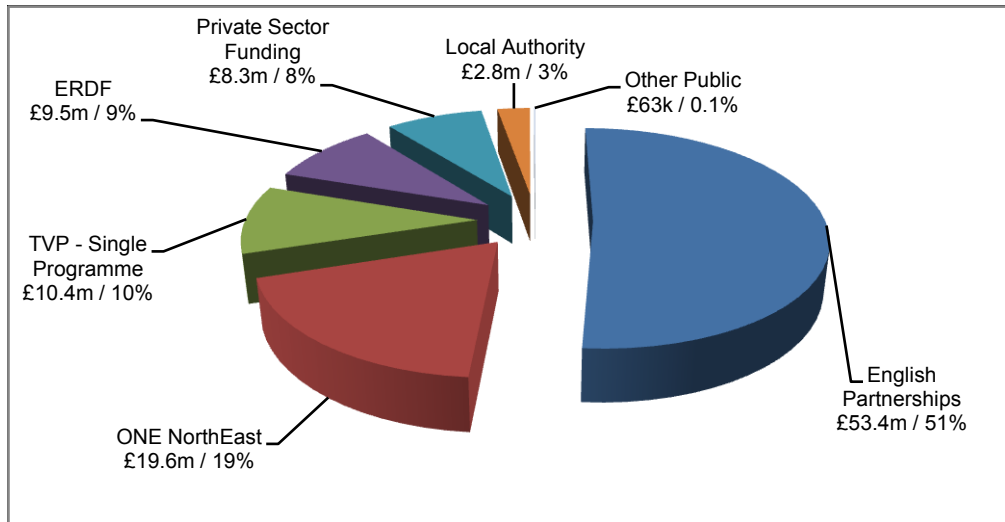
Source: TVR

Who's contributed what?

- 2.13 Of the £104.1 million financial contribution made to the five projects by partners up to 2007/8, more than half has come from English Partnerships who have contributed £53.4 million or 51%. One North East has contributed £19.6 million or 19%; TVP Single Programme has contributed £10.4 million or 10%; ERDF has contributed £9.5 million or 9%; the private sector has contributed £8.3 million or 8%; Local Authorities

have contributed £2.8 million or 3%; Other public funds have contributed £63k or 0.1%. In total, the public sector has contributed £95.8 million or 92%.

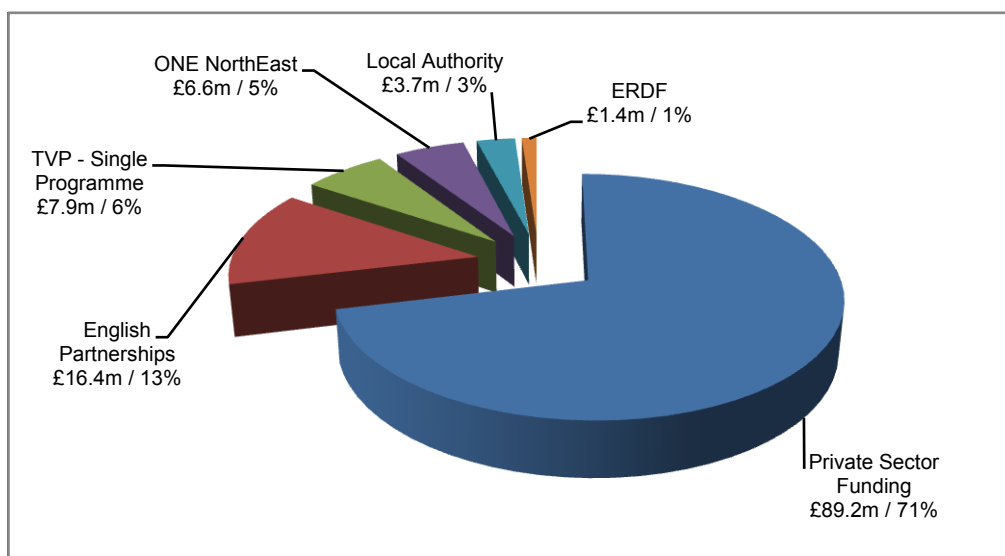
Figure 2.1: Percentage split of amounts of funds invested in projects by partners up to 2007/8



Source: TVR

- 2.14 The figure below shows the split between the estimated £125.2m forecast for project investment in the current and next financial year, 2008/9 and 2009/10. The expectation is that private sector funding will make up 71% of all funding or £89.2 million. Public funding will total £36.0 million or 29%, with £16.4 million or 13% from EP; £7.9 million or 6% from TVP Single Programme; £6.6 million or 5% from One North East; £3.7 million or 3% from Local Authority sources; and £1.4 million or 1% from ERDF.

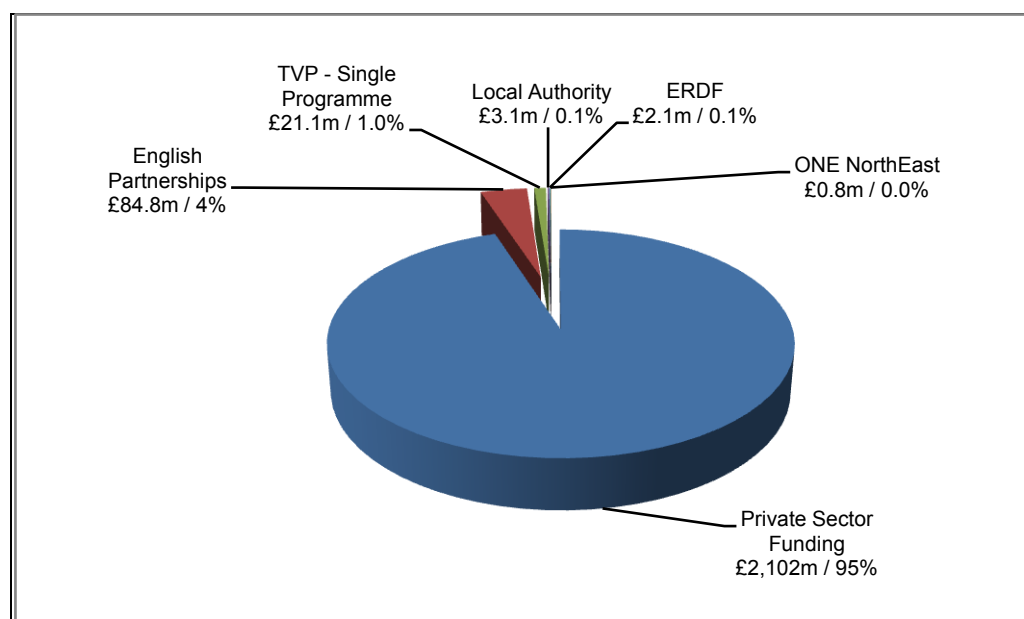
Figure 2.2: Percentage split and amounts of forecast investment by source for 2008/9 and 2009/10



Source: TVR

- 2.15 Figure 2.9 shows estimated amounts forecast for project investment for 'future years' (post 2009/10). Over £2,214 million is envisaged, with the bulk coming from the private sector (95% or £2,102 million); and the remainder from the public sector (5% or £112 million).

Figure 2.9: Percentage split and amounts of forecast investment by source for 'future years' post 2009/10



Source: TVR

What have the projects delivered?

- 2.16 The outputs delivered by the TVR projects up to 2007/8 are shown below, alongside the outputs forecast for the current and next financial years (2008/9 and 2009/10), and those forecast for future years. Three of the five TVR projects have delivered outputs, those of Middlehaven, North Shore and Central Park. Durham Tees Valley Airport and Victoria Harbour had yet to deliver outputs at the end of 2007/8.
- 2.17 Up to 2007/8 the TVR projects had collectively delivered 2,780 m² of employment floorspace, 150 jobs created or safeguarded, 43.3 hectares of brownfield land reclaimed, and 15,000 m² of education facilities. In the current financial year, an additional 33,000 m² of education facility floorspace and a further 3 hectares of brownfield land reclaimed are anticipated. In 2009/10, 16,000 m² of employment floorspace, 464 jobs created or safeguarded, 54 hectares of brownfield land reclaimed, and 80 market value housing units, are forecast. In 'future years' large amounts of each output are also envisaged (see Table 2.3).

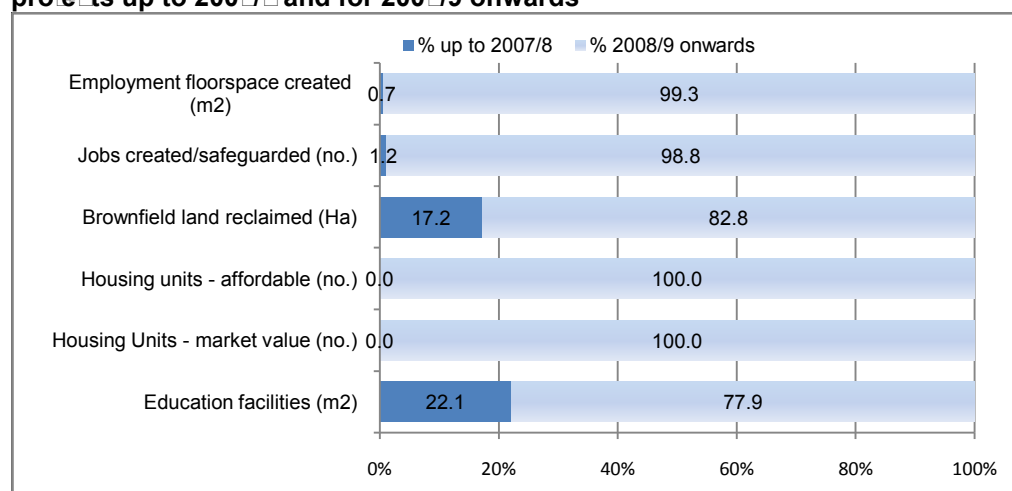
Table 2. Outputs from the five TVR projects

Project	Up to 2007/8	2007/8	2008/9	Future years	Total
Employment floorspace created (m ²)	2,780	0	16,000	379,174	397,954
Jobs created/safeguarded (no.)	150	0	464	12,395	13,009
Brownfield land reclaimed (Ha)	43.3	3	54	151.3	251.6
Housing units - affordable (no.)	0	0	0	570	570
Housing Units - market value (no.)	0	0	80	5,821	5,901
Education facilities (m ²)	15,000	33,000	0	20,000	68,000

Source: TVR

- 2.18 Figure 2.10 presents the percentage of total envisaged outputs achieved up to 2007/8 and the percentage of total envisaged outputs forecast for 2008/9 onwards. Significant proportions of the education facilities (22.1%) and brownfield land reclaimed (17.2%) targets have been delivered. Only small proportions of jobs created or safeguarded (1.2%) and employment floorspace (0.7%) targets have been achieved thus far. To date, no housing units (either affordable or market value) have been delivered.

Figure 2.10: Percentage of envisaged outputs delivered by the five TVR projects up to 2007/8 and for 2008/9 onwards



Source: TVR

- 2.19 The 33,000m² of education facilities and 3 hectares of brownfield land reclaimed forecast for the current year 2008/9 will increase the total proportion of lifetime outputs delivered.

Summary

- 2.20 Over £104m has been invested in projects up to 2007/8. A further £125m is forecast for the current and next financial year, and much larger amounts for future years.
- 2.21 The five projects have received differing amounts of investment, with Middlehaven receiving the most, followed by North Shore and Central Park, while Victoria Harbour and Durham Tees Valley Airport have received the smallest amounts of funding.
- 2.22 Middlehaven, North Shore and Central Park have each delivered some of their outputs. However, Victoria Harbour and Durham Tees Valley Airport had yet to deliver any outputs at the end of 2007/8. The bulk of outputs are anticipated for future years.

THE TVR:

THE TVR: THE REVIEW OF THE TVR?

- 3.1 TVR has prioritised and targeted partners' investment at five transformative regeneration projects. It has led the **Middlehaven** project, which seeks to transform land surrounding the former Middlesbrough Dock and bordering the River Tees into an exciting new mixed use development comprising a new college campus, superior apartments and family housing, offices, hotels and leisure attractions which is intended to achieve a step change in Middlesbrough's profile and prospects. In its **North Shore** project, TVR and partners are aiming to extend Stockton town centre and build on the success of the Teesdale Office Park by creating a mixed use development along the northern bank of the River Tees, which will include waterfront homes, a research-based business and education park, hotels restaurants and by further developing watersports. At **Victoria Harbour**, TVR, PD Ports and partners have sought to exploit the regeneration potential of an extensive area of underutilised port land between the successful marina and historic headland area by developing a new mixed use community there comprising high quality homes, new commercial and retail space. In its **Central Park** project, TVR and partners are seeking to take advantage of the site's strategic location adjacent to the main East Coast rail line and near Darlington station and town centre by providing much needed modern offices, apartments and town houses, hotel and conference centre. Finally, TVR has sought to enable commercial development to take place on land on the southern side of the hitherto rapidly expanding **Durham Tees Valley Airport** by carrying out masterplanning and necessary infrastructural and enabling work. TVR has also lobbied hard for the construction of a rapid transit system, the **Metro**, linking all the physical regeneration projects together and led feasibility work to help realise that goal. All these projects are continuing. For reasons of commercial confidentiality, we do not discuss them in specific detail but give our overall assessment of performance.
- 3.2 The quantum is certainly impressive. TVR and its partners have signed deals with well-regarded developers worth over £1bn. If everything goes to plan, those agreements will altogether yield over 800 acres of development, over 2m sq ft office floorspace, about 8,000 homes, 1m sq ft educational facilities, 12,000 jobs, £220m investment from public sector partners and over £2bn private sector investment. This represents a considerable step change compared with the situation in 2002 when the sub-region was suffering from industrial decline and was witnessing precious little regeneration activity. It has therefore provided a way forward and a vision of what Tees Valley might become. As one senior civil servant put it: 'It arrived at the right time. We were coming out of recession. Land values were rising. It captured the moment well.' It also raised sights and aspirations. The same civil servant felt that: 'It earned investment and was pretty inspirational. It showed Tees Valley was not simply the deserving poor but represented opportunities.' By articulating the Tees Valley vision in further detail in masterplans, development deals and various marketing initiatives 'it changed public perceptions both within the region and externally' according to one public sector board member.
- 3.3 However, the jury is still out to a considerable extent on TVR because only a comparatively small proportion of what has been promised in terms of either private investment or bricks and mortar has thus far materialised. Much more can be said about process than implementation.

Did they pick the right projects?

- 3.4 Since TVR was working to quite general sub-regional goals, one of its first tasks was to decide where it should concentrate its efforts. It decided to invite the five TV authorities to submit a shortlist of potential projects in which it might take a lead. Candidates were assessed against four criteria:
- project delivery was likely to have a Tees Valley impact;
 - TVR was hard wired into the leadership of the project;
 - TVR would not duplicate the activity of any other party;
 - the project was deliverable within a realistic time frame.
- 3.5 This approach possessed considerable merit. It meant that TVR focussed its efforts on major schemes of strategic significance with immediate development prospects and with the potential to transform the sub-region. TVR has also been in a position to perform a leading, distinctive role in driving them forward. On the other hand, we would question some aspects of this process and its outcome. The criteria do not sufficiently address the rationale for TVR involvement since they fail to mention its potential to add value, which was fundamental to URC's philosophy. It may also have helped if TVR had defined exactly what was meant by a 'realistic' timescale, given DCLG's injunction that URCs make a discernible impact within the relatively short period of 5 years.
- 3.6 Rather than staging a selection process, arguably it may have been better to work up projects on the basis of joint discussion of need for intervention, their intrinsic merit and TVR's added value given the possibility that the way projects were presented might influence the outcome. This appears to have happened in the case of Redcar and Cleveland Council who presented a long list of possibilities rather than a shortlist of possible candidates. None proved successful. This meant that one of the funders of TVR was supporting a suite of projects located in other parts of the Tees Valley. It could be argued that Redcar and Cleveland had as strong a case for a project as the other boroughs for three reasons. It had especially suffered from the decline of the steel industry which was one of the main reasons why TVR was set up. There was a case for TVR heading up one of the local authorities' strategic projects such as the Greater Eston, Coatham or Grangetown schemes, provided they had been suitably refined and worked up. Regeneration capacity in the authority at the time was limited which made the case for TVR involvement even more compelling. The decision not to select a project in Redcar and Cleveland subsequently led to tensions on the Board and after a while the borough decided to stop making a contribution to TVR's revenue costs. It did, however, continue to support the Business Investment Team.
- 3.7 Perhaps TVR should also have regularly reviewed projects and considered whether some no longer required its backing or alternatively whether there was a case for it to assume responsibility for leading other projects. Once Peel Holdings acquired the airport, for example, some degree of deadweight and duplication was well nigh inevitable given Peel's strong track record in carrying out major development schemes as well as running airports. The case for TVR continuing to lead the project consequently became much less strong.
- 3.8 Although TVR made it clear at the outset that it would consider supporting other non-core projects on a bespoke basis, this does not appear to have happened. This has mainly been because districts have since assembled their own project teams in other such instances. More recently, the decision to close down TVR may have limited such possibilities.

- 3.9 TVR has, nevertheless, demonstrated added value in the way it has led its key projects. While this has taken varying forms in the different projects, there are recurring themes. TVR commissioned a suite of masterplans which raised hopes and ambitions and provided the foundation stone for effective marketing, attraction of a range of good developers and procuring additional funds from ONE and EP.
- 3.10 TVR also grasped the importance of iconic structures to place making and projecting a different image of the sub-region to the one which existed in the popular mind. In this respect, the BIT and its predecessor the TVDC, have performed a complementary role by stressing Tees Valley's unique strengths (lead sectors, water supply etc.). The evidence also suggests that the URC has in some instances expedited progress, either by championing, lobbying and commissioning relevant studies (Metro), removing development constraints such as fragmented land ownership and service requirements (Central Park) and planning/policy constraints (Durham Tees Valley Airport) and more generally by focusing and co-ordinating partners' inputs. While the Credit Crunch has hit hard, TVR has managed to attract Further Education Colleges to locate their new campuses on two of its schemes which have so far been less prone to the effects of the downturn.
- 3.11 The table below summarises the different forms of added value TVR brought. They are considerable.

Table 9.1 Role of TVR in added value – Case study findings

Middlesbrough	<ul style="list-style-type: none"> revisiting the previous Masterplan and commissioning Alsops to produce a radically different vision for the area; rigorous market testing of Alsops' proposals; using the Alsops plan to secure £29m additional Treasury funding approval; effectively marketing the scheme and signing up a highly-regarded developer, Bio Regional Quintain, committed to zero carbon development; persuading Middlesbrough College to locate its new campus on site, providing an anchor for the scheme; devising an ambitious public art project 'Temenos', involving Anish Kapoor and Cecil Bauman, which if it receives the go-ahead, will raise the site's profile.
North Shore	<ul style="list-style-type: none"> commissioning a new Masterplan which placed greater premium on good design and made fuller use of site's potential than its predecessor; effectively marketing the site and procuring a well regarded developer consortium – MUSE/Urban Splash; staging a design competition for the bridge, which provides an attractive addition to the riverscene and should add to the scheme's appeal; showing commercial acumen in re-negotiating the development agreement in order to secure development.
Central Park	<ul style="list-style-type: none"> expediting the project by land assembly, servicing, access improvements; designation as TVR priority project helped persuade Darlington College to locate new campus on site; commissioning a good Masterplan incorporating high standards of design and best practice in environmental sustainability; effective marketing of suite attracted a developer consortia committed to raising the bar in terms of build quality and environmental responsibility; TVR showed flexibility in re-shuffling and re-phasing project components in light of Credit Crunch and changes in legislation; valued by developers for providing a single point of contact with public sector partners and for trouble shooting role.
Durham Tees Valley Airport	<ul style="list-style-type: none"> ring-leader, co-ordinator role concerning public sector and private sector inputs; procuring funding for Masterplan, market positioning, planning framework and economic appraisal; TVR commissioned Masterplan and studies which helped secure ONE/EP

	<p>resources for Skylink International Business Park and access improvements;</p> <ul style="list-style-type: none"> secured backing for project by making successful representations for revisions to be made to Regional Spatial Strategy and consequent changes to planning consent to permit non-airport uses.
Victoria Harbour	<ul style="list-style-type: none"> TVR took lead on project when Hartlepool BC was pressed with wider responsibilities; TVR commissioned good quality Masterplan; Masterplan/supporting studies helped secure provisional planning approval for scheme and averted the need for call in, hence expediting progress; commissioning of exciting preliminary proposals for moveable bridge.
Tees Valley Metro	<ul style="list-style-type: none"> championing the project; developing the regeneration case for the project to bolster orthodox transport-based arguments; expediting progress and greatly improving likelihood of implementation; procuring substantial funding for necessary consultancy and project management work; securing the support of regional and national politicians and local and sub-regional partners.

- 3.12 Besides picking a generally good set of projects and doing a good job in marketing them and attracting quality developers, another key aspect of TVR value added evident in recent months has been the commercial acumen it has shown in re-defining development agreements in the light of the Credit Crunch.

CHAPTER 4:

HOW WELL HAS TVR DONE AGAINST ITS OVERALL OBJECTIVES? HOW WELL HAS TVR DONE AGAINST ITS OVERALL OBJECTIVES?

Introduction

- 4.1 This final chapter does two things. First, it pulls together the different strands of the evaluation and gives an overall assessment of TVR's performance so far in terms of achievement of objectives, fulfilment of intended role, the extent of added value. It also assesses its effectiveness in terms of partnership working, leadership, governance and operations. Second, it addresses outstanding challenges, summarises the strengths and weaknesses of the TVR/URC model and offers some policy lessons for future regeneration delivery.

How well has TVR done against its overall objectives?

- 4.2 TVR has been charged with meeting the three key objectives of the Tees Valley Vision Strategic Regeneration Framework in conjunction with other public sector organisations. These are, essentially:

- enhancing the competitiveness of key economic sectors and clusters;
- creating attractive places with a good range of facilities;
- raising aspirations and promoting social and community renewal.

Customarily, success in such terms is gauged using a combination of stakeholder views, output returns and analysis of change on the ground using relevant socio-economic indicators. In this instance, we have had to rely heavily on the first source of intelligence for two main reasons. TVR output attainment has been limited since its projects have been subject to significant slippage. Second, hardly any socio-economic indicators (save for planning applications and approvals) are available at a sufficiently disaggregated level to be able to detect TVR-induced change. In any case, one would not expect to find much evidence of such change given that project implementation is at an early stage.

Enhancing competitiveness

- 4.3 Most stakeholders felt that TVR's Business Investment Team has indirectly contributed to improving the economic competitiveness of key sectors. Both public sector partners and the private sector rated BIT's performance consistently highly for its role in promoting inward investment and also, more recently, re-investment by existing firms. It has specialised in supporting sectors where Tees Valley has a comparative advantage such as oil, gas and chemicals, call centres and advanced engineering and in recent years concentrated on providing more intensive support to medium to larger companies rather than attempting to support firms of all sizes. Since TVR incorporated an inward investment function in 2005, it has been associated with most of the major inward investment decisions. To date, it has supplied around 50 major companies with a mixture of grant advice, information on available property, skills/training provision, sector intelligence, signposting services, appropriate to each client's needs. BIT staff are seen as pro-active, responsive and commercial in their outlook and have often been able to promote inter-firm networking because of their extensive knowledge of local businesses.

- 4.4 It is too soon to tell whether TVR's physical regeneration activities will make a significant impact on Tees Valley's economic competitiveness as implementation is at an early stage. However, the indications are promising. The way TVR has packaged and marketed development opportunities has raised Tees Valley region's profile amongst well known national developers, some of whom have subsequently entered and won developer competitions. Should their plans materialise and reality match intentions, the quality of business environments on Tees Valley in core urban areas will improve dramatically. Assuming the space is taken up, the economic competitiveness of such locales would in turn improve. So far, the most notable success in terms of economic development and job creation has been in Middlehaven (Hertel, Crown Prosecution Service), but it is important to note that the Manhattan Gate scheme was already in the pipeline when TVR was established and also that the CSP has relocated from Middlesbrough town centre.
- 4.5 TVR could register a greater overall impact on urban and sub-regional economic competitiveness if there was closer joint working between its Business Investment Team and physical regeneration arms. We will elaborate on this point later.

Place making

- 4.6 Creating attractive places with a good range of quality housing, leisure, cultural, learning and retail facilities has been a thread running through all TVR's physical regeneration projects. TVR has achieved partial success on this count. It has commissioned a suite of Masterplans which has placed a premium on quality of design, mixed use development, environmental sustainability and each has sought to maximise the potential of the site. Analysis of planning applications suggests that all these locations have witnessed an upsurge in development activity since they became TVR regeneration projects. This is all welcome as there is a pressing need to improve the liveability of core urban areas in the sub-region to arrest the steady flight of the more wealthy and mobile to suburban and more outlying rural areas. As was made clear in chapter 3, TVR's record in securing the delivery of the Masterplans has been more mixed. Good progress has been made in developing learning facilities as Middlesbrough College and Darlington College (and potentially Teesside University) have located their new campuses in Middlehaven and Central Park, respectively. This has helped anchor both schemes, especially since the education sector has not hitherto been significantly affected by the Credit Crunch and also boosted in situ activity and usage of local facilities. From both Colleges' perspective, these schemes have helped to increase the popularity of courses and student numbers. TVR has also achieved a significant amount in using iconic architecture and public art to help create a sense of place. The new North Shore bridge is an elegant addition to the riverscape. Besides linking Durham University's existing campus on the south bank of the Tees and its proposed extension on the northern bank, it should enhance the outlook and hence appeal of the planned riverside developments. The Temenos project is poised to go ahead. Even though Kapoor and Bauman's creation has divided local opinion, it should, if appropriately sited, raise Middlehaven's profile and widen its appeal.
- 4.7 TVR has made limited progress in realising other elements of its schemes. A key question is whether this has been because of the Credit Crunch or due to flaws in its approach. Many regeneration projects nationally in recent years have been residential- or office-led. This is true of Middlehaven, Victoria Quays, North Shore and Central Park in TVR's case. These schemes rested on rising values and availability of finance, which no longer applies. It is no surprise that such development has not materialised. However, it could legitimately be argued that TVR plans often have a

similar complexion to them and that it should have gone for a more differentiated product. We will explore this further in the next section.

Community renewal

- 4.8 It is also too soon to say whether TVR's activities have created confident communities by raising aspirations and promoting social and community renewal. Certainly the Masterplans have raised sights and ambitions and helped dispel notions that 'any development must be good development.' But much remains to be done to see them through if they are truly to capture the popular imagination.
- 4.9 TVR remains committed to maximising local jobs and training opportunities, particularly in areas adjacent to the regeneration schemes that suffer from relatively high levels of deprivation and unemployment. However, opportunities to fulfil such intentions have so far been limited. The area where TVR has had most impact is in helping Middlesbrough and Darlington Colleges to boost enrolment and promote take up of training opportunities in hitherto underrepresented and underserved communities.

Has TVR fulfilled its intended role?

- 4.10 TVR has pursued four roles:
- delivering development opportunities;
 - restoring private investor confidence in the area;
 - building on previous investments; and
 - integrating its physical development projects with wider strategies and investment programmes.
- 4.11 TVR has done a lot in attempting to fulfil its first role. Through commissioning Masterplans, effective marketing, effectively running development competitions, removing constraints and negotiation with developers, all in conjunction with partners, TVR has managed to sign development agreements with well-known national and regional developers in the case of Middlehaven, North Shore and Central Park. It has worked closely with Peel and PD Ports in trying to deliver such opportunities at Durham Tees Valley and Victoria Harbour through joint venture arrangements. The only major disappointment has been the failure to sign a deal with PD Ports when circumstances were more favourable than they are now. Earlier comments about the nature of the schemes and actual delivery also apply here.
- 4.12 TVR has also made good progress in fulfilling its second role. BIT marketing campaigns have changed some erroneous external perceptions of the region. Both BIT and physical regeneration project staff are valued by the private sector for providing a one-stop service in terms of business support, funding, de-risking development and removal of barriers and liaison with other public sector organisations. The ultimate litmus test for the regeneration projects is what proportion of the £2bn private investment promised eventually materialises.
- 4.13 TVR's projects have all built on previous investment and regeneration efforts. EP, together with partners had already carried out important groundwork on Middlehaven and North Shore sites, both of which it owned. Both were key opportunities on the fringes of Middlesbrough and Stockton town centres. The Victoria Harbour project presented a logical next step given TDC's prior regeneration of the adjacent Victoria Quays area and previous SRB and other regeneration programmes on the town's historic headland. ONE was already committed to supporting access and

infrastructural improvements to the airport and government aviation policy at the time was in favour of the growth of regional airports. Central Park was the most embryonic scheme, given that the land there was in multiple ownership, but was an obvious choice since it contained the largest concentration of underused land near to Darlington town centre which was also the scene of renewal schemes. The Metro project had the virtue of not only promising to link together the five regeneration projects but also connecting them to the key sub-regional centres.

- 4.14 TVR's plans align well with previous plans and strategic and local economic development and planning policies. It thoroughly proofed its proposals against regional, sub-regional and local policy documents in its project business plans at the outset. Although TVR has focussed on physical regeneration, it has sought to gain a wider regeneration perspective in two ways. TVR staff sit on bodies with a wider remit including Tees Valley Living and Tees Valley Unlimited. Local Authority staff serve on Project Boards and also Directors of Regeneration meet on BIT. This gives an opportunity for them to raise related agendas and issues with TVR. TVR staff have a good awareness of related regeneration programmes and activities. This has helped TVR to contribute indirectly to wider social and economic renewal.

Has TVR pursued the right strategy?

- 4.15 TVR has in our view pursued a good set of projects which have the potential to transform the sub-region's profile and prospects in regeneration terms. TVR cleverly gave longstanding proposals to develop a light transit system a fillip by proposing a route linking its five physical regeneration schemes. This bolstered the Metro's case for DfT funding. If the project receives funding and goes ahead, it will yield environmental benefits and synergies between the projects.
- 4.16 However, the individual projects have been pursued semi-independently rather than being viewed as a package. Although there has been some evidence recently of shared learning, coupled with the fact that some TVR staff have worked on more than one project, rarely did we come across explicit consideration of the interactions between them and timing issues surrounding release of residential and commercial floorspace onto the market, especially given sub-regional circumstances. Some projects have been more rigorously market tested with developers than others. This means that some are more prone to optimism bias and lack of realism than others.
- 4.17 Also the physical regeneration project staff have not worked that closely with the Business Investment Team, given its extensive knowledge of the local economy. Partly this has been for reasons of protocol since the BIT has a duty to its five TV LA funders to market all investment sites with the sub-region and not to favour TVR projects. However, there was more scope for the BIT to supply valuable advice and research to the TVR regeneration team and scheme developers, as with the markets study they are currently undertaking on the airport. Also, the lack of a strong relationship between the BIT extensive inward investment activities and the regeneration projects is a potential missed opportunity since everyone recognises their strategic importance.
- 4.18 The approach adopted in the Boho Zone where regeneration plans key into indigenous potential in digital and media industries could have been pursued to a greater extent in TVR's projects. As TVR has recognised, the sub-regional property market suffers from too much land availability, too little demand and poor transport links. This further highlights the need for careful positioning and targeting of proposals. Such realities also suggest that Masterplans should aim high but at the same time prove achievable. The lack of development on the ground suggests that in some respects they may have been overambitious.

Has TVR delivered strategic added value?

4.19 In strategic terms, TVR has provided added value by:

- demonstrating leadership in setting and maintaining high standards of urban design, marketing its projects and the wider sub-region, enhancing regeneration capacity in the region and focusing it on strategic projects and utilising and orchestrating partners' resources and expertise;
- playing an influencing role by persuading nationally well-known developers and designers to implement projects, keeping the media well informed of its plans and activities and encouraging LAs to adopt and mainstream the design and environmental standards set out in the Masterplans;
- leveraging additional resources from partners for its projects;
- achieving synergy by promoting the Metro to link together the five physical regeneration projects, bringing together relevant stakeholders and expertise in project groupings and encouraging developers to enter into consortia arrangements;
- engaging key stakeholders in various ways (via project groupings, Masterplanning, design competitions, market testing).

Table 4.1 The strategic added value of TVR

strategic leadership and catalyst	<ul style="list-style-type: none"> • stressed importance of designing buildings and public realm to a high standard and place making; • championed environmentally sustainable development; • commitment to in-depth, high quality, Masterplanning; • raised the bar in terms of hopes and expectations; • involvement of high profile Masterplanners, developers and designers has put sub-region on the map to greater extent; • increased external awareness of development opportunities, potential in Tees Valley; • integrating public art into regeneration schemes; • orchestration/networking role on major inward investment projects; • TVR has sought to adapt to tougher market conditions by re-negotiating development agreements and planning consents; • TVR has not caved in to short-term pressure to achieve development at any price, in the face of the Credit Crunch; • providing greater regeneration capacity within the region; • maintaining focus on progressing potentially transformative projects.
strategic influence	<ul style="list-style-type: none"> • TVR has persuaded national developers with no prior experience of working in Tees Valley to become involved in its priority projects; • TVR also persuaded well known designers to become involved in its public art projects; • some local authorities have adopted design and environmental standards set out in Masterplans and supporting documents; • TVR has worked well with the media and trumpeted successes which has boosted the sub-region's profile, image and confidence.
leverage	<ul style="list-style-type: none"> • procurement of additional resources for priority projects; • TVR lobbied for partners to make contributions to higher design standards; • persuading partners to generously fund project management and consultancy support to Metro project; • persuading the North East Arts Council and other public funders to support the Tees Valley Giants public art programme.
synergy	<ul style="list-style-type: none"> • Metro and five regeneration projects form integrated package which offers

	<p>synergies in terms of bidding for funding and outcomes;</p> <ul style="list-style-type: none"> • Project groupings have brought together relevant stakeholders at both strategic and operational levels and also involved political representatives; • TVR has encouraged certain developers to link up with one another to achieve this; • Some evidence of synergy by basing inward investment and physical regeneration functions within same organisation.
Engagement	<ul style="list-style-type: none"> • project management arrangements have generally worked well in terms of engaging key partners; • Masterplans have featured extensive stakeholder consultation; • TVR has sought public views on particular proposals; • TVR has involved a panel of developers in market testing some of its proposals.

Has the partnership worked well?

- 4.20 Because of URC's lack of direct powers, good partnership working is fundamental to their success. There are two aspects to this. How well has TVR worked with partners? Has it received the necessary support from its core partners? To answer these two questions fully, it is necessary to go back to the very beginning. Stakeholders revealed that there were differences of view as to whether the URC was really wanted at the outset. EP, ONE and some local authorities took the view that Tees Valley needed a dedicated regeneration vehicle to achieve a step change in the sub-region's fortunes, champion and drive forward projects and strengthen local capacity to deliver
- 4.21 But TVR had its sceptics, even opponents. Some local authority politicians and officers were ideologically opposed to private sector-led solutions given the sub-region's rapid recent industrial decline and would have preferred to have been in charge.
- 4.22 A third camp, which included some sceptics, took the pragmatic line that the URC was the best model on offer and worth giving a go. Together with the URCs' advocates, they formed the majority which meant that TVR commanded the support of most but not all parties at the outset.
- 4.23 So what has happened since? TVR has enjoyed good relations with its regional partners, EP and ONE, throughout its existence. Both have provided generous levels of revenue funding for the team and financially backed the individual projects in roughly equal measure. Latterly, both have played their part in helping TVR and its preferred development partners to find ways of responding to the challenges posed by the Credit Crunch. At times, issues have arisen concerning, for example, TVR's frequency of reporting, project phasing, cost overruns and scale of outlay on acquisitions but these have been resolved amicably. Both organisations have also backed TVR because they find it a cost effective, sub-regionally based, means of delivering their respective agendas. Co-location of ONE's sub-regional office and TVR within the same building has assisted partnership working and EP has seconded a member of staff to TVR to work on projects in which they have a shared interest.
- 4.24 Relations between TVR and its local authority partners have been more mixed. In the early stages, they were generally favourable, born on a wave of local authority enthusiasm about TVR's exciting plans for the projects. Redcar and Cleveland soon, however, became unhappy when it found that it was the only borough not to contain a physical regeneration project. Non-inclusion also had funding implications for its other regeneration projects since only TVR projects could access ONE's Single Pot. TVR

also received top-sliced ONE funds and the borough had to find funding for feasibility studies from other sources.

- 4.25 Such high level tensions do not, however, seem to have impeded progress on the ground. Relations between TVR and local authority operational staff have generally been good and both parties have worked hard to translate project plans into reality.

Has the Board worked well?

- 4.26 Has the Board functioned well and exercised effective oversight of the TVR? Originally the Board consisted of 10 Non-Executive Directors, made up of an even numbers of public and private sector representatives, chaired by a private sector representative. Two seats were allotted to Local Authorities. A Stockton BC representative attended as of right since it was the nominated Local Authority shareholder and the other four authorities agreed to rotate. After a couple of years, the Local Authorities lobbied for full representation and the decision was taken to expand the Board. Since that time, the Board has comprised 15 Non-Executive Directors. It includes senior personnel from ONE and EP, the five LA Chief Executives and private sector representatives constitute the balance and majority.
- 4.27 The Board has carried out its duties reasonably effectively. However, most stakeholders conceded that the Board has struggled from the outset with questions of TVR's legitimacy and accountability. And there have been enduring tensions between public and private sectors about style, priorities, culture and the way business has been conducted.
- 4.28 TVR has since settled down in organisational terms, much owing to the appointment of a Corporate Services Director who introduced better protocols, governance and systems of financial control. Other issues have, however, surfaced during TVR's lifetime which have caused tensions between members. In the early stages, Redcar and Cleveland's lack of a project together with the fact that it and three of the other local authorities had only periodic representation on the Board despite contributing to TVR's revenue costs caused resentment. TVR's prominence in the media, chafed Council leaders who have never been represented on the Board. The Chief Executive's regular one-to-one liaison meetings with each LA Leader helped to some extent but this was to prove a fragile solution to TVR's democratic deficit.

Have the staff worked well?

- 4.29 TVR has 9 regeneration staff and 8 support staff, excluding the BIT, consultants and secondees. So it has a relatively large staff complement compared with some URCs. For the most part, the Team are well regarded and viewed as having done a competent job. Those development staff (e.g. Director of Development) and BIT staff with prior private sector experience and commercial outlook were particularly valued by partners and seen as bringing added value. Given that the majority of staff had a local authority or public sector background and in some cases were comparatively junior, it could be argued that TVR would have benefited from recruiting fewer, more senior, personnel with private sector expertise.

What about community engagement and local governance?

- 4.30 TVR's community engagement activities have had a number of different strands. Key stakeholders in the projects have been involved on Project Steering and Working Groups. All the Masterplan teams have, at TVR's behest, conducted major community consultation exercises. A poll was staged to gauge public opinion of the shortlisted designs in the North Shore bridge architectural competition. Local

authorities have conducted consultation exercises concerning related planning applications and policy documents.

- 4.31 TVR has communicated what it does in various ways. Two full time marketing staff service both arms of the organisation in order to market the Tees Valley, individual projects and help deliver TVR's PR strategy. They support BIT inward investment marketing campaigns, maintain the TVR website which keeps users informed of latest developments and allows feedback and also publish an e newsletter. TVR has employed Cool Blue as their public relations consultants. TVR and Cool Blue have worked with developers concerning the design and content of promotional websites and site hoardings. From our soundings, it is clear that TVR has consistently enjoyed a good relationship with the local and sub-regional press. It was praised for the way it trailed key developments, prepared press releases and showed a general willingness to keep the media and public informed about its activities.
- 4.32 TVR has not provoked concerns about community engagement apart from in one regard. The URC has consciously sought to attract a wider range of developers to work on Tees Valley since it perceived that local developers had rarely produced innovative, high quality development and that the sub-region deserved better than second-best. Also, TVR has made arrangements to market test developers proposals using various consultants. However, evidence from the case studies suggests that on occasions, TVR could have sounded out locally based developers to a greater extent in order to solicit their views on scheme viability and obtain details of other emerging local developments of potential relevance. Local market knowledge can be invaluable in tempering the grandiose visions and plans of externally based developers. The type of approach adopted at Middlehaven would have formed a good model for all the other projects.
- 4.33 On the question of local governance, the main issues have concerned TVR's lack of formal accountability, the composition of the Board and its conduct and dynamics. In other respects, governance arrangements have worked relatively smoothly. The project boards and working groups have operated well and fully involved stakeholders, though in the more complex schemes it has been difficult to avoid the attendant bureaucracy. Senior TVR staff have sought to develop links with other key organisations either through regular dialogue or representation on key groupings. They sit on, for example, University of Durham Council, Tees Valley Living Board, Tees Valley Unlimited working groups, North-South Tees Study Board and working groups and BIT staff have been involved in many other groups. And although TVR has a physical regeneration remit, it does gain a broader view through stakeholder representation and involvement and cross-representation on key groupings.

How good was TVR's financial and project management?

- 4.34 It did take time initially to put operational and financial management systems in place but these are now perceived to be in good order. Interviewees did not raise any major concerns on this score.
- 4.35 Unlike some URCs, TVR has not produced any formal annual reviews of its progress to let the public know how its plans have been progressing. But it has produced occasional newsletters and web bulletins about its projects for popular consumption and kept core partners informed of its activities to date in Business Plans and Board reports.
- 4.36 TVR has chosen to use either its own staff or recruit consultants in order to carry out project management rather than rely on partners, such as local authority staff, principally for reasons of ownership and control. This arrangement has worked well

except in three respects. Some project timetables drawn up at an early stage by TVR staff now seem excessively optimistic and it may have been worth getting external project management consultants to perform a reality check. Certain projects (e.g. new pedestrian bridge, Central Park) seem to have experienced more than the usual problems in terms of cost overruns and contractual difficulties and it might be worth checking if the project management arrangements have been partly responsible for this. Finally, some stakeholders felt that TVR could have taken a different, less expensive, approach to project management in the case of the Metro project. They argue that the lead consultant should have been employed for more finite periods rather than on a clock-ticking basis and that more attention should have been given to transferring responsibility to those implementing the project.

What next?

4.37 This final section:

- outlines the future challenges facing TVR and its successor organisations;
- summarises the strengths and weaknesses of TVR and the URC model generally;
- identifies policy messages for future delivery.

What are the remaining challenges?

4.38 TVR has only a year to go before it is wound up. This poses a key set of challenges:

- maintaining collective momentum and morale;
- avoiding a hiatus;
- retaining valuable expertise and capacity;
- exiting in good order.

4.39 It is vitally important that decisions relating to wind up and succession are taken promptly and communicated effectively to stakeholders. Clearly setting out why TVR is being wound up and what precisely will take its place is crucial to maintaining public confidence, particularly that of the private sector. This report has conclusively shown that:

- TVR's job is far from done;
- it has performed reasonably well and demonstrated added value;
- it has had some shortcomings but not lost the confidence of most of its partners.

4.40 The obvious line to adopt is that both time and place have moved on and that this requires a different delivery model. The Credit Crunch has caused significant slippage in TVR's schemes. Many in the regeneration world are now questioning whether old delivery models such as residential-led mixed use development will be fit for purpose in future. Now is an opportune time to draw breath, take stock and agree future priorities.

4.41 The institutional context has also markedly shifted. The landscape of urban regeneration and economic development policy in the UK is changing rapidly in response to a range of government reports and initiatives, most importantly the government's Sub National Review and its recent response to the public consultation on it. RDAs are changing their roles and concentrating on strategy and relying more on Local Authorities and other bodies to deliver. English Partnerships and the Housing Corporation have formed the Homes and Communities Agency which has recently been preoccupied with drawing up new Corporate Plans and the mechanics of merger and integration. Local authorities have greater economic development

responsibilities. They are also differently placed in terms of regeneration capacity than when TVR was set up. Joint working between districts has continued apace. Tees Valley was among the first sub-regions to sign a Multi-Area Agreement. It is in the process of submitting a proposal to become a Sub-regional Forerunner Pilot to allow further progress on local decision making and forward planning. Public resources will, however, be scarcer in the immediate future - which will require hard choices are made.

What are the strengths and weaknesses of TVR and the UR model?

- 4.42 TVR has done a lot. Many lessons can be learnt. It broke the mould and introduced fresh thinking to regeneration projects in Tees Valley. It brought a more external perspective on a rather inward looking sub-region. Its vision was big, bold and compelling. This was needed in an area still suffering from fragmented governance and lowest common denominator problems despite a history of local authority collaboration. TVR put its message across well. It was influential and well connected in national regeneration circles. Its success in persuading well known and regarded external developers and designers to take forward its key projects was evidence of this. It raised sights and ambitions. It provided focus, property development expertise and acted as ring leader and co-ordinator in driving the projects forward. It made the case for investment well and attracted substantial funds into the sub-region.
- 4.43 But it also had significant drawbacks. Some, but by no means all, are intrinsic to the UR model. In some respects TVR did not learn the lesson of history. It adopted a similar style to the unpopular TDC but lacked its direct powers to get things done without local authority support. It lacked democratic legitimacy and the lack of local politicians on its Board exacerbated this. Despite TVR and other URs' lofty ambitions of achieving a step change in delivery, in practice the model is quite bureaucratic since URs need EP, ONE and HMT funding approvals. And the key legal and contractual agreements always involve the other core partners. The downside of aiming high in urban areas with weak property markets was that TVR could be accused of optimism bias. Some of TVR's schemes such as Victoria Harbour should have been more rigorously market tested and checked out with locally based developers. For a while, some staff seemed to mistake signing up developers for development itself. TVR's policy of selecting projects on their strategic significance and merit did not sit easily with a funding model which suggested that each district should be host to at least one regeneration project. Since TVR's makeup in many respects resembles a prototype Economic Development Company, more could have been made of opportunities to link together physical regeneration and economic development projects.

What are the lessons for future delivery?

- 4.44 Partners are currently working on the detail of TVR succession arrangements. We underline the important lessons for that process which have emerged from TVR.
- 4.45 Momentum must be sustained not lost in the handover. Tees Valley sub-region has significant economic strengths but its performance continues to lag that of the region. The challenge of regenerating declining core areas will become progressively more difficult if outmigration and loss of local services continues. Many of the challenges facing TVR and partners at day one still persist. Local authorities may now be better placed in terms of regeneration capacity but there is a need for objectivity, honesty and realism. Every effort must be made to ensure that TVR expertise and in-depth knowledge of the regeneration projects is retained to encourage continuity. The size of local authorities in Tees Valley is quite small. Some sort of collective arrangements may be needed to retain and attract specialist development expertise. In our view, the

local authorities would have struggled to re-engineer the terms of the development agreements as well as TVR has done. The economies of scale argument also applies here.

- 4.46 The interface with the private sector is also critical. Developers appreciated having a single point of contact and one troubleshooting/co-ordinating body with whom to deal rather than numerous local authority departments and other stakeholders. Entrepreneurial authorities such as Manchester City Council have found that setting up arm's length bodies with a strong delivery focus has often proved effective in this respect.
- 4.47 Leadership is an absolutely crucial issue in any regeneration initiative. For the executive, getting the balance right between driving through fresh approaches and engaging partners and taking them along is never easy. TVR's experience has shown that private sector development expertise is at a premium in the Tees Valley and that it should be highly valued. However, more thought should have been given to comparative pay issues. Board chemistry and dynamics is also crucial. In TVR's case, some private sector Board members have had insufficient relevant or local experience to command the respect of some public partners, especially the local authorities.
- 4.48 Partners currently appear to be allocating projects to successor bodies according to who has the lead role. This makes sense. But there is still a need to deal with the sub-regional agenda. Since 2002, TVR has pursued the same projects. Others have emerged in the meantime (e.g. SMi, Redcar and Cleveland projects). There is a need to discuss how they all link together and also whether others should be developed. TVU and JSU are strategy rather than delivery bodies at present. In our view, sub-regional partners should actively consider whether some sort of sub-regional delivery arrangement is necessary to deliver the sub-regional agenda. They should also remain vigilant about the dangers of fragmentation and lowest common denominator problems, given local government arrangements. The Multi-Area Agreement offers the prospect of a joined-up approach to regeneration covering transport, housing and place-making but there may still be a need to do more to will the means than currently is the case.

Endpoint what are the key action points?

- 4.49 TVR has achieved a significant amount by creating arrangements with developers and partners for to achieve securing development of its key sites. As with many URCs, though, delivery on the ground has taken a good deal longer than anticipated for a variety of reasons. Some are down to TVR. But many are not, including not least the Credit Crunch as well as some inherent weaknesses with the URC model. A good start has been made. TVR and partners deserve a lot of credit for re-engineering development agreements to improve prospects for delivery in the much tougher current market conditions. But there is still a long way to go. So where next?
- 4.50 Partners must:
- ensure they do not lose momentum, capacity, credibility and the confidence of public and private sectors during the transition to a world after TVR;
 - ensure the new arrangements are communicated well and explain why they are needed and how they will take the regeneration plans forward;
 - accept and build upon TVR's achievements and strengths including its vision, wider perspective, ambition, marketing and development expertise;

- acknowledge and address TVR's weaknesses by improving partnership working and public-private sector relations and more fully integrating physical regeneration and economic development initiatives;
- consider the creation of a sub-regional delivery arm under TVU which could: retain and attract specialist development expertise; achieve economies of scale; create synergy with its tourism and inward investment functions; attract private sector involvement and develop sub-regional projects in a complementary fashion.



Report of: Assistant Chief Executive

Subject: QUARTERLY REVIEW OF STRATEGIC RISK REGISTER

SUMMARY

1.0 PURPOSE OF REPORT

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

2.0 SUMMARY OF CONTENTS

- 2.1 The report describes the current position with regard to the Council's Strategic Risk Register following a review by Corporate Risk Management Group (CRMG) and Corporate Management Team Support Group (CMTSG). The review involves examining risk ratings of existing risks in terms of impact and likelihood and effectiveness of control measures in place to mitigate the risk in conjunction and the identification of any new risks.

3.0 RELEVANCE TO CABINET

- 3.1 The Executive has responsibility for risk management issues relating to their functions. In addition the Finance and Performance Portfolio Holder has responsibility for the Council overall approach to risk management.

4.0 TYPE OF DECISION

- 4.1 Non- key.

5.0 DECISION MAKING ROUTE

- 5.1 Cabinet meeting 14 December 2009.

6.0 DECISION (S) REQUIRED

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

Report of: Assistant Chief Executive

Subject: QUARTERLY REVIEW OF STRATEGIC RISK REGISTER

1. PURPOSE OF REPORT

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

2. BACKGROUND

- 2.1 In accordance with the Council's Risk Management Strategy the Corporate Risk Management Group (CRMG) has reviewed and updated the Strategic Risk Register. The review has been considered by the Corporate Management Team and the changes reported to Cabinet for consideration.

3. REVIEW OF STRATEGIC RISK REGISTER

- 3.1 A review of the Strategic Risk Register took place at the end of 2008/09. Today there are currently 34 risks on the Strategic Risks Register. The full register is attached as **Appendix 1**.
- 3.2 The table below summarises the current rating of strategic risks. A description of the risk ratings is provided at **Appendix 2**.

Strategic Risk Ratings	Dec 2008 (Q3)	Mar 2009 (Q4)	Sept 2009 (Q2)
Red	4	6	6
Amber	24	23	22
Green	6	6	6
Total	34	35	34

Red risks

- 3.3 The following 6 risks (see table below) are identified as being category red. These are of particular importance for the Council given their combination of impact and likelihood. The Council is constantly striving to seek improvements in the control measures of these risks.

3.4 The six Red risks are:

Resp. Officer	Risk Ref/Risk Description	Action(s)/Planned action(s) to reduce impact and likelihood of risk
Joanne Machers	STR R021 -Future equal Pay Claims	To help mitigate this risk there has been the removal of craftworker bonus scheme as well as the continued maintenance of robust job evaluation scheme
Joanne Machers	STR R022 - Current Equal Pay Claims including settlement of, or adverse findings of ET of existing equal pay claims	Action used to help control this risk included a Joint Chief Officer approach to monitor and agree strategy – Chief Personnel Officer, Chief Solicitor, Chief Financial Officer, joint authority working to share risk and costs and the assessment of out of court settlements undertaken to minimise legal costs.
Denis Hampson	STR R010 – Flu Pandemic	Swine flu pandemic currently affecting the area and is still considered the number one national risk. Large vaccination programme has commenced nationally with high priority groups including care workers being offered the vaccination. Rest of population will be offered vaccination in early 2010. CEPO and representative from Children and Adults Services attend weekly meetings with PCT to discuss current issues.
Peter Scott	STR R041 – Failure to realise plans for Victoria Harbour regeneration scheme	No change since last assessment on risk rating or controls. Discussions on precise form and details of delivery vehicle are dependent on outcome of present broader discussions about the overall form of development, involving landowners, Tees Valley Regeneration, Homes and Communities Agency, One NorthEast and Council
Nicola Bailey	STR R045 - Demographic changes to population causing increased demand for adult care services	We continue to report any issues on demand through portfolio and cabinet, but other issues related to increase in demand are linked to budget pressures – this information is continuously monitored and the resulting activity will continue to be managed tightly to encourage best possible performance.

Resp. Officer	Risk Ref/Risk Description	Action(s)/Planned action(s) to reduce impact and likelihood of risk
Mike Ward	STR R046 - The effects and unpredictability of the current economic downturn and global recession on the local economy jobs and residents and on the ability of HBC to deliver the Council Plan and Strategy	<p>Mitigations put in place:</p> <ul style="list-style-type: none"> - Additional staffing resources in Benefits to deal with an increase in the number of claimants arising from the recession; - Additional support for Business regarding National Non Domestic Rates - including additional advertisement of rate relief and revised policy on Hardship relief; - Contingency planning for Council Tax collection although current in year collection is better than expected and so is currently not needed; - Earmarked reserve to fund shortfall in income budgets because of the downturn being used in 2010/11 and now likely to extend into 2011/12. - Use of Area Based Grant to boost training in the local economy for when firms begin to emerge from recession. <p>In short these will be in place until they are no longer needed and the economy is recovering under its own steam.</p>

Deleted Risks

- 3.5 One risk has been deleted from the Strategic Risks Register STR R020 - 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. The contract was due for renewal in 2011 however and extension has been agreed until 2013 so the risk is no longer valid at this time.

Other Significant Risk Issues

- 3.6 Corporate Risk Management Group also discussed a number of issues and these are summarised below for information with an indication of measures being taken.
- The continuing restructure of the authority was discussed and the risks associated with such a process. There are currently two risks within the Strategic Risk Register which are helping, with their control measures, to mitigate the risks during the restructure:

STR R035 – Change Programme/Restructuring of the Authority

STR R043 – Failure to maximise benefits of implementing Business Transformation Programme. Measures in place include project management arrangements and communications to help ensure staff are appropriately informed throughout the process.

- Senior Managers across the Council have recently attended a seminar explaining further the implications of the Health and Safety Offences Act 2008 and Corporate Manslaughter Act 2007. The latest Act became effective in January 2009 and while not introducing new offences, raised the maximum financial penalties and made imprisonment more widely available as a punishment for health and safety offences. In response to the legislation the Council is implementing a revised approach to health and safety. This includes further briefings for managers, ensuring health and safety is appropriately addressed in the workforce Competency and Management Frameworks and improving systems for risk assessment and management. A similar seminar for elected members is currently being planned.

Next Review

- 3.7 The Strategic Risk Register is reviewed quarterly by the Corporate Risk Management Group.

4. RECOMMENDATION

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

Appendix 1

Status Report for SRR

This report shows the status of all risk in all departmental registers and risks within the strategic risk register

Report Type: Risks Report

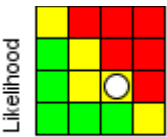
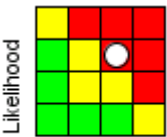
Author: Kerry Trenchard_admin

Generated on: 02 December 2009


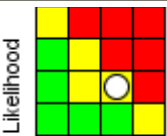
Rows are sorted by Risk Score

Code & Title **STR Strategic Risk Register**
Administered By **Adult and Community Services Super User; Dobby, Alan**

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R042	Tall Ships races - Hartlepool 2010 (ACS R016)		John Mennear	John Mennear	23 Oct 2009
STR R030	Failure to work in effective partnerships with Health Services		Nicola Bailey	Nicola Bailey	17 Nov 2009

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R031	Potential for cost shunting between NHS and HBC re CHC		Nicola Bailey	Nicola Bailey	17 Nov 2009
STR R045	Demographic changes to population causing increased demand		Nicola Bailey	Nicola Bailey	17 Sep 2009

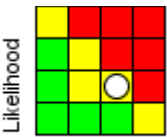
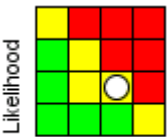
Code & Title **STR Strategic Risk Register**
Administered By **Childrens Services Super User; Smith, Anne**

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R001	Failure to plan school provision appropriately		Nicola Bailey; Adrienne Simcock	Nicola Bailey; Adrienne Simcock	17 Nov 2009
STR R002	Failure to appropriately safeguard children		Nicola Bailey; Adrienne Simcock	Nicola Bailey; Adrienne Simcock	17 Nov 2009

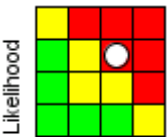
Code & Title **STR Strategic Risk Register**
Administered By **Corporate Strategy Super User**

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
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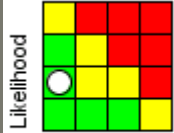
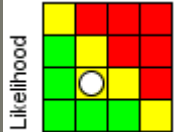
Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R043	Fail to maximise benefits of implementing the Business Transformation Programme		Andrew Atkin		05 Oct 2009
STR R008	Loss of Council reputation due to both internal and external factors		Andrew Atkin		05 Oct 2009
STR R033	National & regional needs imposed which may not reflect Hartlepool needs		Andrew Atkin	Paul Walker	13 Nov 2009
STR R044	Failure to mitigate the effects of a malicious attack		Andrew Atkin	Paul Walker	05 Oct 2009
STR R007	Experiencing failure or lack of access to Critical ICT systems		Andrew Atkin		05 Oct 2009
STR R034	Maintaining the 4* rating of the Council will provide opportunities to influence and positively reflect the achievements of the council		Andrew Atkin	Paul Walker	05 Oct 2009

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R035	Change programme / Restructuring of the Authority		Andrew Atkin	Paul Walker	05 Oct 2009
STR R036	Loss of focus on strategic direction and key priorities (political direction)		Andrew Atkin	Paul Walker	05 Oct 2009

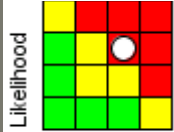
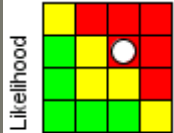
Code & Title **STR Strategic Risk Register**
Administered By **Corporate Strategy Super User; Finance Division (CED) Super User; Human Resources Super User; Legal Services Super User; Trenchard_admin, Kerry**

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R046	The effects and unpredictability of the current economic downturn and global recession on the local economy jobs and residents and on the ability of HBC to deliver the Council Plan and Strategy		Finance Division (CED) Super User; Mike Ward	Mike Ward	23 Nov 2009

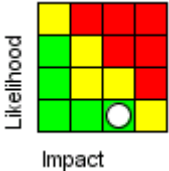
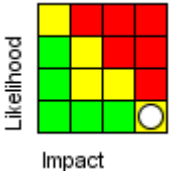
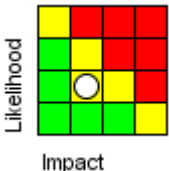
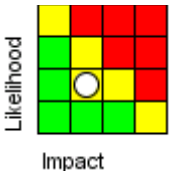
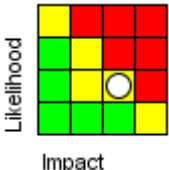
Code & Title **STR Strategic Risk Register**
Administered By **Finance Division (CED) Super User**

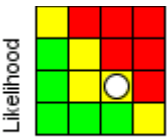
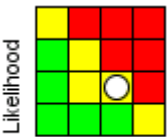

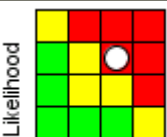
Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R025	Absence of robust documentation that sets out the roles and responsibilities of each partner could lead to HBC baring unnecessary responsibility should the partnership fail to deliver	 <p>Likelihood</p> <p>Impact</p>	Mike Ward	Mike Ward	23 Nov 2009
STR R026	Sustainability of grant funded services / projects	 <p>Likelihood</p> <p>Impact</p>	Mike Ward		23 Nov 2009

Code & Title **STR Strategic Risk Register**
Administered By **Human Resources Super User**

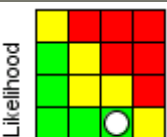
Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R021	Future Equal pay claims	 <p>Likelihood</p> <p>Impact</p>	Joanne Machers	Joanne Machers	30 Sep 2009
STR R022	Current Equal Pay Claims including settlement of, or adverse findings in ET of existing equal pay claims	 <p>Likelihood</p> <p>Impact</p>	Joanne Machers	Joanne Machers	30 Sep 2009

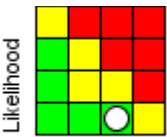
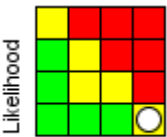
Code & Title **STR Strategic Risk Register**
 Administered By **Neighbourhood Services Departmental Super User; Smith, Alastair**

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R024	Failure to maintain trading activity		Keith Smith	Keith Smith	13 Nov 2009
STR R009	Failure to provide council services during emergency conditions		Denis Hampson	Denis Hampson	13 Oct 2009
STR R016	Failure to deliver efficiency savings through procurement		Graham Frankland	Graham Frankland	08 Oct 2009
STR R017	Financial Viability and capacity of Building Consultancy services		Graham Frankland	Graham Frankland	08 Oct 2009
STR R012	Lack of resources to maintain building stock		Graham Frankland	Graham Frankland	08 Oct 2009

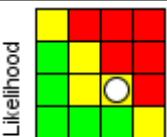
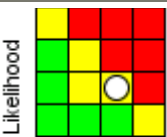

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R013	Failure in asset management planning to make best use of assets in terms of acquisition, disposal and occupation		Graham Frankland	Graham Frankland	08 Oct 2009
STR R014	Loss of Civic Centre as key building.		Graham Frankland	Graham Frankland	08 Oct 2009
STR R015	Environmental and financial consequences of climate change		Graham Frankland	Graham Frankland	08 Oct 2009
STR R010	Flu pandemic		Denis Hampson	Denis Hampson	18 Nov 2009

Code & Title **STR Strategic Risk Register**
Administered By **Neighbourhood Services Departmental Super User; Smith, Alastair; Young_admin, Ralph**

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R006	Contaminated Land		Alan Coulson	Alastair Smith	06 Oct 2009

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R018	Failure to operate vehicles safely		Jayne Brown; Paul Robson	Alastair Smith	06 Oct 2009
STR R019	Loss of O License		Paul Dawson; Dave Morton; John Quinn; Paul Robson; Liam Wilkinson	Alastair Smith	09 Oct 2009

Code & Title **STR Strategic Risk Register**
Administered By **Regeneration and Planning Services Super User**

Risk Code	Risk Title	Current Risk Matrix	Assigned To	Managed By	Last Review Date
STR R039	Effective delivery of housing market renewal affected by external decisions and funding		Jeff Mason	Peter Scott	17 Nov 2009
STR R040	Failure to facilitate the redevelopment of HCFE		Jeff Mason	Peter Scott	17 Nov 2009
STR R041	Failure to realise plans for Victoria Harbour regeneration scheme		Jeff Mason	Peter Scott	25 Nov 2009

Appendix 2 – Risk Register Ratings

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

- Political
- Financial
- Social
- Environmental
- Personnel
- Physical assets
- Information and technology
- Contractors/partners/suppliers
- Reputation

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

		IMPACT			
LIKELIHOOD		1	2	3	4
		Low	Medium	High	Extreme
Almost certain	4	AMBER 4	RED 8	RED 12	RED 16
Likely	3	GREEN 3	AMBER 6	RED 9	RED 12
Possible	2	GREEN 2	AMBER 4	AMBER 6	RED 8
Unlikely	1	GREEN 1	GREEN 2	GREEN 3	AMBER 4

IMPACT

Extreme	Total service disruption / very significant financial impact / Government intervention / sustained adverse national media coverage / multiple fatalities.
High	Significant service disruption/ significant financial impact / significant adverse Government, Audit Commission etc report / adverse national media coverage / fatalities or serious disabling injuries.
Medium	Service disruption / noticeable financial impact / service user complaints or adverse local media coverage / major injuries
Low	Minor service disruption / low level financial loss / isolated complaints / minor injuries

LIKELIHOOD

Expectation of occurrence *within the next 12 months* -

- Almost certain
- Likely
- Possible
- Unlikely

CABINET REPORT

14th December 2009



Report of: Director of Regeneration and Neighbourhoods

Subject: DRUG NEEDS ASSESSMENT – EMERGING ISSUES

SUMMARY

1. PURPOSE OF REPORT

This report provides an update on the findings of the local drug needs assessment which in turn informs the development of the Adult Drug Treatment Plan 2010/11

2. SUMMARY OF CONTENTS

The report outlines the requirements to produce the needs assessment and Adult Drug Treatment Plan, the findings of the assessment and initial strategic priorities for 2010/11 to deliver an effective treatment service.

3. RELEVANCE TO CABINET

Drug treatment plan is a community safety and health issue.

4. TYPE OF DECISION

Non-key

5. DECISION MAKING ROUTE

Cabinet 14th December 2009

6. DECISION(S) REQUIRED

To receive and comment on the findings and priorities for future drug treatment services that will inform Hartlepool Adult Drug Treatment Plan for 2010/11.

Report of: Director of Regenerations and Neighbourhoods

Subject: DRUG NEEDS ASSESSMENT – EMERGING ISSUES

1. PURPOSE OF REPORT

- 1.1 This report provides an update on the findings of the local drug needs assessment which in turn informs the development of the Adult Drug Treatment Plan 2010/11.

2. BACKGROUND

- 2.1 Safer Hartlepool Partnership is responsible for the implementation of the national drug strategy. The Government's 10 year drugs strategy – Drugs: Protecting Families and Communities (February 2008) requires local activity to ensure fewer people use illegal substances, those that are using drugs are encouraged to lead alternative healthy lifestyles and those affected by drug misuse such as children, families and the wider community also receive support and reassurance.
- 2.2 Locally this is achieved by a number of initiatives including the Drug Intervention Programme (DIP) and more recently the Reduction of Reoffending Team (RoRT) working with drug using offenders ; in partnership with Hartlepool Primary Care Trust there is the provision of comprehensive treatment services ; increasingly joint work with Children and Adult services for family support and addressing the Hidden Harm agenda and in conjunction with Community Safety colleagues projects that tackle community issues often linked to drug related anti-social behaviour.
- 2.3 Finance is provided annually from the Government with a requirement to produce an Adult Treatment Plan that confirms local activity, targets around specific initiatives and key performance indicators. Performance monitoring is undertaken by the Home Office Drug Directorate, the National Treatment Agency (NTA) and Government Office North East (GONE) who require regular reporting on the different aspects of the plans.
- 2.4 The Plan has to be informed by a needs assessment some of which is undertaken throughout the year but focussed activity takes place from October through to January when a draft of the Adult Treatment Plan is submitted to the NTA for initial consideration. Following their comments

and regional meetings the Final Plan is resubmitted by 20th March 2010 for approval and sign off.

- 2.5 As there was a comprehensive needs assessment conducted last year the NTA have allowed Hartlepool a general refresh to allow time to concentrate on specific issues such as independent research with drug users and consideration of the current service model to move from a maintenance treatment model to a recovery and reintegration model.

3. NEEDS ASSESSMENT FINDINGS

- 3.1 Overall Hartlepool drug treatment system is rated green and achieves the majority of its targets. Waiting times are less than a week and mapping the treatment journey illustrates good care coordination across the providers.
- 3.2 National estimates suggest there may be 942 problematic drug users in Hartlepool (individuals who are using heroin and/or crack cocaine) with 79% known to treatment and at the end of March 2009 89% were effectively engaged. Using 2008/09 data 859 individuals entered treatment or were supported by the DIP (not all those seeking treatment are PDU's)
- 3.3 There has been minimal change in the local profile for drug use. Heroin continues to be the adult primary illegal drug of choice. There is a slight increase in the use of crack cocaine and in the use of powdered cocaine. The misuse of alcohol and poly use with drugs is a major concern but with no dedicated alcohol funding and limited investment available from the Primary Care Trust it is not possible to address the issue satisfactorily.
- 3.4 There has been a slowing of numbers entering treatment and there will need to be improvement in the numbers leaving treatment with positive outcomes. In addition a small number of individuals the majority offenders are 'revolving' around the criminal justice system and/or treatment service. Specific analysis is being undertaken to identify and grip these drug users to ensure effective interventions.
- 3.5 Work with Children's Services continues to understand and address Hidden Harm i.e. the harm to children and young people caused by parental drug use. Data is now collected by the national drug treatment monitoring system, initial detail is available and will in time assist to identify numbers of children and their situations. In addition the Family Intervention Programme and the developing Team around the Schools work will shape future activity.

- 3.6 The research conducted over August and September 2009 with 150 drug users both in and outside of treatment highlighted a number of issues. Whilst there have been positive changes from the previous independent study in 2004 for example more engaged in treatment, fewer people are injecting drugs, less use of crack cocaine and fewer younger people using Class A drugs the biggest criticism is that drug users enter and receive maintenance prescriptions but there needs to be far more available to encourage individuals to move on through the recovery journey and be re-integrated back into their community.
- 3.7 To address this, consideration is being given to integrating the criminal justice system further with the treatment system, there will have to be increased abstinence and reduction prescribing programmes available and the range of education, training and employment initiatives will be strengthened especially the links with Job Centre Plus.
- 3.8 To support the re-integration agenda there will need to be increased use of community detoxification and rehabilitation neither of which is currently available in Hartlepool and so residential placements are purchased. Efforts will have to be increased to address the lack of accommodation opportunities which continues to be a significant flaw in the treatment model for this vulnerable group of Hartlepool residents.

4. CONCLUSION

- 4.1 The current treatment model is performing well and achieving the key performance indicators identified within the national strategy but effort will need to be made to continue to attract drug users into treatment.
- 4.2 Joint initiatives and projects with Children's Services will need to increase to address Hidden Harm and involve wider family members in treatment programmes.
- 4.3 To improve positive outcomes for those leaving treatment, service delivery will need to change to provide not only maintenance programmes but also abstinence and reduction treatment programmes to ensure the recovery approach that is now being recommended by the NTA.
- 4.4 Other priorities for the Adult Treatment Plan 2010/11 are likely to remain as follows:
- (i) To introduce primary and shared care responses
 - (ii) To engage and provide focussed interventions for drug using offenders to reduce crime, offending and reoffending activity, through intensive supervision and targeting.
 - (iii) To increase support and services to address the needs of families by the provision of dedicated parent and carers services.

- (iv) To engage and reassure communities by encouraging community intelligence, and delivery of a wide range of campaigns, education and information.
- 4.5 In developing the reintegration model there will need to be more use or development of community based facilities and initiatives including housing. There may well be tension especially in those areas that have experienced drug related antisocial behaviour. However consultation and meetings with residents groups and at community events this year has indicated an increased awareness and empathy for drug users and their families needs.
- 4.6 The above priorities are based on receipt of the annual allocation of funding from the Department of Health and Home Office. Whilst indicative levels were provided two years ago the final settlement is not yet confirmed and there is an expectation that some of the grants will be reduced. Once funding levels are confirmed there may need to be a re-prioritisation of issues and associated programmes.

5. RECOMMENDATIONS

- 5.1 Members are asked to receive and comment if appropriate on the issues from the needs assessment and outline priorities that will inform the Safer Hartlepool Partnership Adult Drug Treatment Plan 2010/11.

6. CONTACT OFFICER

Chris Hart
Planning and Commissioning Manager
Regeneration and Neighbourhoods Department
Tel 01429 284593
E-mail chris.hart@hartlepool.gov.uk

Background Papers

National Drug Strategy, NTA Guidance for Annual Treatment Plan 2009/10, Audit and Performance detail, JCG and Substance Misuse Group Minutes and financial papers

CABINET REPORT

14 December 2009



Report of: Scrutiny Co-ordinating Committee

Subject: FORMAL RESPONSE TO THE EXECUTIVE'S
INITIAL BUDGET AND POLICY FRAMEWORK
CONSULTATION PROPOSALS FOR 2010/11

SUMMARY

1. PURPOSE OF REPORT

- 1.1 To provide the formal response of the Scrutiny Co-ordinating Committee in relation to the Executive's Initial Budget and Policy Framework Consultation Proposals for 2009/10.

2. SUMMARY OF CONTENTS

- 2.1 The report provides an overview of Scrutiny's involvement in the Authority's Budget setting process for 2010/11 together with their formal response to the Executive's Initial Budget and Policy Framework Proposals.

3. RELEVANCE TO CABINET

- 3.1 Cabinet are requested to consider the formal response of the Scrutiny Co-ordinating Committee in relation to the Executive's Initial proposals, prior to determining their finalised proposals on 22 December 2009.

4. TYPE OF DECISION

- 4.1 Not applicable in this instance.

5. DECISION MAKING ROUTE

- 5.1 Cabinet meetings of 22 December 2009 and 8 February 2010 to assist the Executive in the finalisation of their Budget and Policy Framework Proposals for 2010/11 and thereafter Full Council on 11 February 2010.

6. DECISION(S) REQUIRED

6.1 It is recommended that the Cabinet:-

- (a) considers the formal response of the Scrutiny Co-ordinating Committee as outlined in Section 3 of this report; and
- (b) provides feedback to the Scrutiny Co-ordinating Committee in relation to the formal response, as outlined in Section 3, during the consideration of the Executive's finalised Budget and Policy Framework Proposals for 2010/11 (paragraph 2.4 refers).

CABINET

14 December 2009



Report of: Scrutiny Co-ordinating Committee

Subject: FORMAL RESPONSE TO THE EXECUTIVE'S
INITIAL BUDGET AND POLICY FRAMEWORK
CONSULTATION PROPOSALS FOR 2010/11

1. PURPOSE OF THE REPORT

- 1.1 To provide the formal response of the Scrutiny Co-ordinating Committee in relation to the Executive's Initial Budget and Policy Framework Consultation Proposals for 2010/11.

2. BACKGROUND INFORMATION

- 2.1 At a meeting of the Scrutiny Co-ordinating Committee held on 16 October 2009, consideration was given to the Executive's Initial Budget and Policy Framework Consultation Proposals for 2010/11.
- 2.2 At this meeting it was agreed that, as in previous years, each of the Standing Scrutiny Forums would consider the budget proposals covering the service areas within their remit. Given the recent restructure of departments within the Council, and creation of the Regeneration and Neighbourhoods Department and Child and Adult Department, presentations were also be given by Directors to provide an overarching view of the general risks facing their departmental budgets and key policy issues for this year. Comments / observations were subsequently fed back to the meeting of the Scrutiny Co-ordinating Committee held on 27 November 2009 to assist in the formulation of this Committee's formal response (as outlined further on within this report), to be considered during this meeting of the Cabinet.
- 2.3 Following the consideration of the Scrutiny Co-ordinating Committee's formal response during this meeting (27 November 2009) along with the finalisation of the Executive's Budget and Policy Framework Proposals for 2010/11, further consideration will be given to the finalised proposals by the Scrutiny Co-ordinating Committee at its meetings on 15 January 2010 and 29 January 2010. The intention of the meeting on the 29 January being to look

specifically at proposals for the Chief Executives Department and received feedback from the four Standing Scrutiny Forums.

- 2.4 The Scrutiny Co-ordinating Committee and the four standing Scrutiny Forums will be repeating the same process followed for the initial budget consultation proposals to enable consideration to be given to the Executive's finalised budget proposals for 2010/11. This will occur on the below-mentioned dates with the intention of presenting a formal response to the meeting of Cabinet on 8 February 2010:-

Scrutiny Forum	Date of Meeting
Scrutiny Co-ordinating Committee	15 January 2010, 2.30 pm 29 January 2010, 4.00 pm* *to look specifically at proposals for the Chief Executives Department and received feedback from the four Standing Scrutiny Forums.
Neighbourhood Services Scrutiny Forum	26 January 2010, 5.00 pm
Children's Services Scrutiny Forum	20 January 2010, 4.30 pm
Adult and Community Services and Health Scrutiny Forum	25 January 2010, 4.30 pm
Regeneration and Planning Services Scrutiny Forum	21 January 2010, 3.00 pm

- 2.5 During the consideration of the Executive's finalised Budget and Policy Framework Proposals for 2010/11, Cabinet Members are invited to attend the appropriate Scrutiny meeting(s) as outlined above.

3. FORMAL RESPONSE OF SCRUTINY TO THE EXECUTIVE'S INITIAL BUDGET AND POLICY FRAMEWORK CONSULTATION PROPOSALS FOR 2010/11

- 3.1 Members of the Scrutiny Co-ordinating Committee and the four standing Scrutiny Forums (with the exception to the Health Scrutiny Forum) considered

in detail the proposed budgetary pressures, priorities, grant terminations and efficiencies, as part of the Executive's Budget and Policy Framework initial consultation proposals for 2010/11.

- 3.2 During the determination of a formal response, Members were largely supportive in principle of the identified budgetary pressures, priorities and efficiencies and were keen to examining in greater detail the final budget proposals, once approved by Cabinet on the 22 December 2009.
- 3.3 In addition to the above, a number of concerns/comments were made by the Scrutiny Co-ordinating Committee and the four standing Scrutiny Forums, as outlined below:-
- 3.4 Adult and Community Services Scrutiny Forum – Members supported the Adult and Community Services Departmental budget pressures for 2010 / 2011.
- 3.5 Chief Executive's Department – Members noted / supported the Chief Executive's Department's initial proposals for 2009/10 initial budget pressures, priorities and efficiencies looked forward to examining in greater detail the final budget proposals, once approved by Cabinet on the 22 December 2009.
- 3.6 Children's Services Scrutiny Forum – Members accepted / supported the Children's Services Departmental budget pressures for 2010/11 and looked forward to participating in the next stage of the budget consultation process. At this time, further details would then be available of the Government's financial settlement and any possible 'knock on' budgetary implications for the Children's Services Department.
- 3.7 Neighbourhood Services Scrutiny Forum – Members supported the Neighbourhood Services Departmental budget pressures and priorities for 2010 / 2011.
- 3.8 Regeneration and Planning Services Scrutiny Forum – Members supported the Regeneration and Neighbourhoods Departmental Budget for 2010/11, although it was recognised that no pressures had been identified relating to the Regeneration and Planning areas of service provision within the Regeneration and Neighbourhoods Departmental Budget for 2010/11. The Forum did, however, like it to be noted that:-
 - (a) Members were very supportive of the work of the Economic Development Team and that as a section it did not always receive the budget it should.

4. RECOMMENDATIONS

- 4.1 It is recommended that the Cabinet:-

- (a) considers the formal response of the Scrutiny Co-ordinating Committee, as outlined in Section 3 of this report; and
- (b) provides feedback to the Scrutiny Co-ordinating Committee in relation to the formal response, as outlined in Section 3, during the consideration of the Executive's finalised Budget and Policy Framework Proposals for 2010/11 (paragraph 2.4 refers).

December 2009

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BACKGROUND PAPERS

The following background papers were used in the preparation of this report:-

- (i) Report of the Chief Financial Officer entitled 'Budget and Policy Framework 2010/2011 to 2012/13 – Initial Consultation Proposals' presented to the Scrutiny Co-ordinating Committee held on 16 October 2009.
- (ii) Report of the Chairs of the Overview and Scrutiny Committees entitled '2010/11 Budget and Policy Framework Initial Proposals: Feedback from the Overview and Scrutiny Committees' presented to the Scrutiny Co-ordinating Committee held on 27 November 2009.