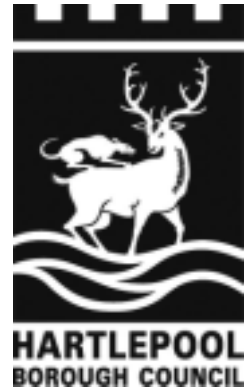


FINANCE AND PERFORMANCE PORTFOLIO

DECISION SCHEDULE



Tuesday 23 February 2010

at 10.00 am

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

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

1. KEY DECISIONS

No items

2. OTHER ITEMS REQUIRING DECISION

- 2.1 Chief Executive's Departmental Plan 2009/10 – 3rd Quarter Monitoring Report - *Assistant Chief Executive, Chief Personnel Officer, Chief Solicitor and Director of Regeneration and Neighbourhoods*
- 2.2 Review of Locally Set Fees in the Registration Service – *Assistant Chief Executive*
- 2.3 Irrecoverable Debts – Business Rates – *Chief Financial Officer*
- 2.4 Irrecoverable Debts – Council Tax – *Chief Financial Officer*
- 2.5 Irrecoverable Debts – Sundry Debt Invoices – *Chief Financial Officer*
- 2.6 Data Quality Policy – *Head of Performance and Partnership*
- 2.7 Fit Notes – *Chief Personnel Officer*
- 2.8 Five Year Procurement Plan – *Assistant Director (Resources)*
- 2.9 Single Status Agreement Appeals – *Chief Personnel Officer*
- 2.10 Workers Memorial Day – *Chief Personnel Officer*

3. ITEMS FOR INFORMATION

- 3.1 Corporate Complaints – October to December 2009 – *Assistant Chief Executive*

4. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

No items

5. LOCAL GOVERNMENT (ACCESS TO INFORMATION) (VARIATION) ORDER 2006

EXEMPT ITEMS

Under Section 100(A)(4) of the Local Government Act 1972, the press and public be excluded from the meeting for the following items of business on the grounds that it involves the likely disclosure of exempt information as defined in the paragraphs referred to below of Part 1 of Schedule 12A of the Local Government Act 1972, as amended by the Local Government (Access to Information) (Variation) Order 2006

6. KEY DECISION

- 6.1 Surplus Property Disposal List (para 3) – *Assistant Director (Resources)*
- 6.2 Throston Grange Elderly Persons Home Site and Land at Clavering – Potential Sale of Land (para 3) – *Assistant Director (Resources)*
- 6.3 Land at Seaton Carew Golf Club, Tees Road (para 3) – *Assistant Director (Resources)*
- 6.4 Manor Residents Community Resource Centre (para 3) – *Assistant Director (Resources)*

7. OTHER ITEMS REQUIRING DECISION

- 7.1 Proposed Transfer of Terms and Conditions (paras 2 and 3) – *Chief Personnel Officer and Director of Adult and Child Services*
- 7.2 Disposal of 19A Lowthian Road (para 3) – *Assistant Director (Resources)*
- 7.3 Disposal of Open Space Land Adjacent 416 West View Road, Hartlepool
- 7.4 Proposed Disposal of the Alleyway at 52 Conway Walk and 105 Throston Grange Lane (para 3) – *Assistant Director (Resources)*
- 7.5 Hartlepool Interchange – North Platform Access Easement (para 3) – *Assistant Director (Resources)*
- 7.6 Jesmond Road School Caretaker's House (para 3) – *Assistant Director (Resources)*
- 7.7 Land at Warren Road (para 3) – *Assistant Director (Resources)*
- 7.8 Shopmobility, Unit 120, Middleton Grange Shopping Centre (para 3) – *Assistant Director (Resources)*
- 7.9 Land at Graythorp (para 3) – *Assistant Director (Resources)*
- 7.10 Approval for Compulsory Redundancy (para 4) – *Chief Personnel Officer*
- 7.11 Ex Gratia Payment (para 3) – *Chief Financial Officer*

8. ITEMS FOR INFORMATION

No items

FINANCE AND PERFORMANCE PORTFOLIO

Report to Portfolio Holder

23 February 2010



Report of: Assistant Chief Executive, Chief Personnel Officer, Chief Financial Officer, Chief Solicitor and Director of Regeneration and Neighbourhood Services

Subject: CHIEF EXECUTIVE'S DEPARTMENTAL PLAN 2009/10 – 3RD QUARTER MONITORING REPORT

SUMMARY

1. PURPOSE OF REPORT

To inform the Portfolio Holder of the achievements made against the Chief Executive's Departmental Plan for 2009/10 for the 9 month period ending 31st December 2009

2. SUMMARY OF CONTENTS

The progress against the actions contained in the Chief Executive's Departmental Plan 2009/10.

3. RELEVANCE TO PORTFOLIO MEMBER

The Portfolio Member has responsibility for those service areas covered by this report.

4. TYPE OF DECISION

Non-key.

5. DECISION MAKING ROUTE

Portfolio Holder meeting 23rd February 2010.

6. DECISION REQUIRED

Achievement on actions be noted and new target dates agreed

Report of: Assistant Chief Executive, Chief Personnel Officer, Chief Financial Officer, Chief Solicitor and Director of Regeneration and Neighbourhood Services

Subject: CHIEF EXECUTIVE'S DEPARTMENTAL PLAN 2009/10 – 3RD QUARTER MONITORING REPORT

PURPOSE OF REPORT

1. To inform the Portfolio Holder of the progress made against the key actions identified in the Chief Executive's Departmental Plan 2009/10 for the period up to 31st December 2009.






BACKGROUND

2. The Finance and Performance Portfolio Holder agreed the Chief Executive's Departmental Plan at the meeting on 14 July 2009.
3. The Chief Executive's Departmental Plan 2009/10 sets out the key tasks and issues within an Action Plan to show what is to be achieved by the department in the coming year. The plan also describes how the department contributes to the Organisational Development Actions as laid out in the 2009/10 Corporate Plan. It provides a framework for managing the competing priorities, communicating the purpose and challenges facing the department and monitoring progress against overall Council aims.
4. The Council's Performance Management system (Covalent) is used to collect and analyse performance against the actions and targets detailed in the Corporate Plan, the five Departmental Plans as well as Service and Operational Plans. The system is also used to monitor Risk Management across the council within the Performance Management Framework. The information in the system was used to prepare this report.
5. Each Division has also produced a Divisional Service Plan, detailing the key tasks and issues facing each division in the coming year. Each plan contains an action plan, detailing how each individual division intends to contribute to the Organisational Development Actions contained in the Corporate Plan, as well as the key tasks and priorities contained in the Chief Executives Departmental Plan. Divisional Chief Officers will have the lead responsibility for managing performance of

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

THIRD QUARTER PERFORMANCE

6. This section looks in detail at how the Chief Executives Department and the Procurement Division within the Regeneration and Neighbourhoods Department have performed in relation to the key actions and performance indicators that were included in the Chief Executives Departmental Plan 2009/10. On a quarterly basis officers from across the department are asked, via Covalent, to provide an update on progress against every action contained in the Departmental Plan and, where appropriate, every Performance Indicator (PI).
7. Officers are asked to provide a short commentary explaining progress made to date, and asked identify the expected outcome of each action/PI set out in the Departmental Plan. The following traffic lights are used within Covalent:

	Target achieved
	On track to achieve target
	Progress acceptable
	Intervention Required
	Target not achieved

8. We would expect the majority of actions and PIs to be assessed as “Target achieved” or “on track to achieve target”. Where issues have been encountered that will result in a slight delay (actions) or may result in a specific target being narrowly missed (PIs) officers will have adjudged progress to be “acceptable”. Where officers consider more lengthy delays occurring or have assessed a PI as being likely to miss target these actions and PIs will be assessed as “Intervention Required” or “Target not achieved” – and more detail on these will be included later in this report.

OVERVIEW OF PERFORMANCE

9. Within the Chief Executives Department there were a total of 146 actions and 29 Key Performance Indicators (KPIs) identified in the 2009/10 Departmental Plan. This report also includes 15 actions that were included in the Regeneration and Planning Services Departmental Plan that are being delivered by the Community Strategy Team that has been transferred to the Corporate Strategy Division as part of the Council restructure.
10. In addition, of the 29 KPIs included in the plan only 7 can be monitored on a quarterly basis, with the other 22 indicators only being reported on

an annual basis. Therefore, only the 7 quarterly indicators are included in this report. Tables 1 and 2, below, summarises officers views on progress made, to 31 December 2009: -

Table 1 – Progress made on Actions included in 2009/10 CED Departmental Plan











		Corporate Strategy	Finance	Human Resources	Legal Services	Procurement	Total
	Target achieved	16	46	1	7	0	70
	On track to achieve target	36	11	12	3	5	67
	Progress acceptable	4	11	2	0	0	17
	Intervention Required	0	2	3	0	0	5
	Target not achieved	0	2	0	0	0	2
	Total	56	72	18	10	5	161

Table 2 – Progress made on KPIs included in 2009/10 CED Departmental Plan

		Corporate Strategy	Human Resources	Total
	Target achieved	0	0	0
	On track to achieve target	6	1	7
	Progress acceptable	0	0	0
	Intervention Required	0	0	0
	Target not achieved	0	0	0
	Total	6	1	7

Note: Table only includes those Divisions with KPIs reported quarterly

11. A total of 137 actions (85%) have been reported as having achieved their targets or being on track to achieve target, and a further 17 (11%) have been assessed as making acceptable progress.
12. However, 5 actions (3%) have been highlighted as requiring intervention and 2 actions (1%) have been assessed as having not achieved target. More information on these actions can be found in the relevant sections below.
13. All of the quarterly Key Performance Indicators (KPIs) have been assessed as being on track to achieve their year end target.

Corporate Strategy Division

14. The Plan contained 41 actions that were the responsibility of the Corporate Strategy Division. In addition, the Community Strategy team are responsible for 15 actions that were included in the Regeneration and Planning Services Departmental Plan. 52 of these (93%) have been assessed as already being completed or being on track to achieve target, and the remaining four actions (7%) have been assessed as having made acceptable progress.

15. The Corporate Strategy Division monitors 6 Key Performance Indicators on a quarterly basis, and all have been assessed as being on track to achieve their year end target

16. In the period up to and including 31 December 2009 the Corporate Strategy Division completed a number of actions, including: -

- The Local Area Agreement was refreshed in line with operational guidance and the Delivery and Improvement Plan was agreed by Cabinet in August.
- A revised Corporate ICT Strategy has been agreed.
- Implemented the extended powers to Scrutiny known as 'Councillor Call for Action' Mechanism
- Risk training sessions for Councillors were held in July to raise awareness of Risk Management across the Council

Finance Division

17. The Plan contained 72 actions that were the responsibility of the Finance Division. 57 of these (79%) have been assessed as already being completed or being on track to achieve target.

18. A further 11 actions, or 15%, have been assessed as having made acceptable progress. However, the remaining 4 actions (6%) have been assessed as either requiring intervention or having not been achieved. Further details are provided in table 3, below: -

Table 3: Finance Actions requiring interventions

Table 6: Finance Actions requiring interventions			
Ref	Action	Date to be Completed	Comment
Outcome: Develop Bailiff Shared Service Arrangements with Darlington BC			
CED35	Review scope of shared service arrangements to include Sundry Debt enforcement and warrants services	30/06/2009	DBC now undergoing a corporate service review – any decisions related to service delivery are being considered as part of the review
CED36	Evaluate potential of arrangements to provide a car parking fine enforcement service to DBC	30/11/2009	
Outcome: Review of Cash Office facilities			
CED23	Review range and nature of services currently provided by the Cash Office and identify alternative options for delivering services	30/06/2009	Portfolio Holder requested further report on Cash Office position

CED24	Develop and implement an exit strategy for cash based transactions	30/06/2009	Portfolio Holder requested further report on Cash Office position
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19. It is proposed that the two actions, CED35 and CED36 (see table 3 on previous page) are removed from the Departmental Plan as they can no longer be completed, due to circumstances beyond our control.

20. The Finance Division does not monitor any quarterly Performance Indicators as part of the Departmental Plan.

21. In the period up to and including 31 December 2009 the Finance Division completed a number of actions, including: -

- Data Quality training has been provided
- Financial inclusion awareness events have been held in neighbourhoods with significant 'at risk' households
- Final budget proposals were submitted to Cabinet in December
- The new Income Management System has been introduced

Human Resources Division

22. The Plan contained 18 actions that were the responsibility of the Human Resources Division. For the period ending 31 December 2009 a total of 13 actions (72%) were assessed as being on track to achieve target, and two (11%) was assessed as having made acceptable progress. However, there were three actions (17%) that were assessed as requiring intervention and the table below identifies these actions with more details as regarding progress that has been made to date: -

Table 4: Human Resources Actions where target was not achieved

Ref	Action	Date to be Completed	Comment
Outcome: I Implement the People Strategy and Workforce Development Strategy			
CORP OD14.7	Review the People & Workforce Development Strategy	31/03/2010	
Outcome: Review and Improve HR Divisional Infrastructure			
CED91	Develop & Implement Workforce Development Plan	31/03/2010	

CED92	Undertake Schools Satisfaction survey	31/03/2010	Survey to be undertaken within Phase 2 of the HR SDO by 30.09.10.
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23. It is proposed the due dates for the above actions are revised, to take into account the delays that have been encountered. More information is provided in table 8, below: -

Table 5: Human Resources Actions – Proposed Date Change

Code	Action	Due Date	Proposed New Date	Reasons for Date Change
CORP OD14.7	Review the People & Workforce Development Strategy	31/03/10	31/12/10	As part of the BTP, development of ResourceLink and SDO of HR services the review of the People Strategy and Workforce Development Strategy has broadened to incorporate the development of a comprehensive People Framework. This has required additional research, local development, consultation and piloting and as a result has lengthened the timescales.
CED91	Develop & implement HR Workforce Development Plan	30/11/09	30/09/10	Further extension required due to HR Support programme, delayed implementation of ResourceLink and impending departure of HR Business Partner
CED92	Undertake Schools satisfaction survey	30/09/09	30/09/10	Further extension is needed to complete the survey as part of Phase 2 of the HR SDO

24. Within the period up to 31 December 2009 the Human Resources Division completed a number of actions, including: -

- Electoral Commission Performance Standards have been implemented
- The Health and Safety Strategic Action Plan has been revised.
- Draft Corporate Health and Safety Policy agreed by CMT for consultation with interested parties.

25. Human Resources Division only has one Performance Indicator that can be monitored on a quarterly basis and this has been assessed as being on track to achieve year end target.

Legal Services Division

26. The Plan contained 10 actions that were the responsibility of the Legal Services Division, and all of these have been assessed as already being completed or being on track to achieve target. .

27. The Legal Services Division does not monitor any quarterly Performance Indicators as part of the Departmental Plan.
28. In the period up to and including 31 December 2009 the Legal Services Division completed a number of actions, including: -
- The Division has increased awareness of the whistle blowing policy and re-enforce assurances that reporting through this mechanism can be done without fear of reprisal
 - All councillors are made aware of the whistle blowing policy

Procurement Division

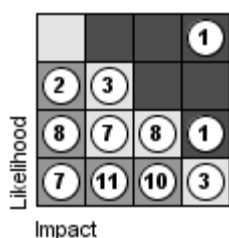
29. The Plan contained 5 actions that were the responsibility of the Procurement Division, and all of these have been assessed as already being completed or being on track to achieve target. .
30. The Procurement Division does not monitor any quarterly Performance Indicators as part of the Departmental Plan.
31. In the period up to and including 31 December 2009 the Procurement Division completed a number of actions, including: -
- The tender process for the Managed Print Service has been completed and results to be report to Contract Scrutiny Committee.

Risk Monitoring

32. It is the policy of Hartlepool Council to take an active and pragmatic approach to the management of risks that could prevent the achievement of corporate and departmental objectives. On a quarterly basis each division assesses the risks identified within the Chief Executive's Risk Register. The result of this quarterly update is reported to the Corporate Risk Management Group (CRMG) via each division's representative on the group. The Council's approach acknowledges that the purpose is not to remove all risks (this is neither possible nor, in many cases, desirable), rather it is to ensure that potential 'losses' are prevented or minimised and that 'rewards' are maximised.
33. This summary is reported to the Portfolio Holder within the quarterly monitoring report to provide an overview of risks being addressed by the Chief Executives Department.
34. The diagram below shows the distribution of risks according to their risk rating. Detail of the rating system is in **appendix A**. There are a total of 61 risks. Only two of these risks are highlighted as a 'RED' risk. A

further 21 risks are on an 'AMBER' status with the remaining 38 being at a low level 'GREEN' status.

Diagram 1 – Chief Executive Departmental Risk Register Heat



See Appendix A for key to diagram above

35. The two risks rated red are shown in the table below, together with details on the Division that manages the risk, and any notes that have been provided.

Table 8 – Chief Executive Departmental Risk Register – 'Red' Risks

Current Matrix	Code	Title	Managed by	Latest Note
	CED R044	Loss of Grant Funding	Finance Division	Addressed in budget strategy with 50% reduction per annum built into plans
	CED R060	Delivery of an effective Corporate Service	Legal Services	Reviewed and no change required.

Recommendations

36. Portfolio Holder is asked to: -

- Note progress on key actions and KPIs and current rating of risks
- Agree the revised dates as set out in table 5
- Agree to the cancellation of actions as set out in paragraph 19 and table 3.

APPENDIX A

**HARTLEPOOL BC
RISK ASSESSMENT MATRIX AND VALUE GUIDES**

		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

Use the following suggested value guides to help rate the level of the **controlled risk**.

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**

FINANCE AND PERFORMANCE PORTFOLIO

Report to Portfolio Holder

23RD FEBRUARY 2010



Report of: Assistant Chief Executive

Subject: REVIEW OF LOCALLY SET FEES IN THE
REGISTRATION SERVICE

SUMMARY

1. PURPOSE OF REPORT

The purpose of the report is to inform the Portfolio Holder of the outcome of a review of locally set fees for services provided by the Registration Service.

2. SUMMARY OF CONTENTS

It is proposed that a simpler structure of fees is adopted. The revised fees take account of the levels of fees set by neighbouring authorities. Main changes and larger percentage increases are explained in the report.

3 RELEVANCE TO PORTFOLIO HOLDER

The Registration Service forms part of this portfolio.

4 TYPE OF DECISION

Non-key

5 DECISION MAKING ROUTE

Portfolio holder only.

6 DECISION(S) REQUIRED

Approve the changes to the local non statutory fees and financial procedures as outlined in section 4 and **Appendix B**.

.

Report of: Assistant Chief Executive

Subject: REVIEW OF LOCALLY SET FEES IN THE
REGISTRATION SERVICE

1. PURPOSE OF REPORT

- 1.1 The purpose of the report is to inform the Portfolio Holder of the outcome of a review of locally set fees for services provided by the Registration Service.

2. BACKGROUND

- 2.1 Fees are reviewed annually. At the meeting of the Performance Portfolio Holder on 27 March 2009 it was resolved that a full review of the pricing structure for marriages and civil ceremonies be undertaken during the 2009/10 municipal year in preparation for the April 2010 fee changes. The minutes from that meeting are attached at **Appendix A**.

3. BACKGROUND

- 3.1 The review of fees has taken a number of factors into account including:
- the introduction of the new premium payment arrangement consistent with the Single Status agreement;
 - view expressed by the Portfolio Holder at the meeting on 27 March 2009 that fee structure should be simplified (see Appendix A);
 - the requirement with non statutory fees to have regard to a duty to secure that, taking one financial year with another, the income generated from charges does not exceed the cost of the provision of the services in question;
 - an increase in the statutory fee for a basic Superintendent Registrar's Office ceremonies by an anticipated 38% (We understand the Minister has agreed and the matter is with the Treasury for the order to be prepared);
 - fee levels of neighbouring authorities and affordability within Hartlepool;

- the Budget Strategy for 2010/11 which for planning purposes set a rate of inflation of 2.5% ; and
- the likely financial position of the Council as set out in the Medium Term Financial Strategy.

4. PROPOSED INCREASES IN LOCALY SET FEES EFFECTIVE 1ST APRIL 2010

4.1 There are six distinct categories of locally set fees:

1. Marriages and civil partnerships in Approved Premises, including The Willows which is in the Register Office;
2. Alternative civil ceremonies such as baby naming and renewal of vows;
3. Individual Citizenship ceremonies;
4. Approval of Premises for Civil Marriage and Civil Partnerships;
5. Nationality Checking Service; and
6. Certificate issue Express Issue additional fee for certificates.

See Appendix B for proposed increases. In addition it is proposed to introduce a number of new fees – see section 7 in Appendix B. Appendix B also includes regional average comparisons.

4.2 Overall the fees remain broadly in line or lower than the fees set by neighbouring authorities. The main changes and larger percentage increases are explained below:

- The date/time periods categories for ceremony charges have been simplified into 4 bands (Office hours Monday to Thursday; Office hours Friday; Out of office hours Monday to Friday and all day Saturday, and Sundays and Bank Holidays) across all fees. This puts into effect the recommendation from Portfolio Holder last year. See Appendix B – fee categories 1 to 4.
- Fees for ceremonies in approved premises in office hours on Friday, out of office hours and all day Saturday - this takes account of higher demand for ceremonies on these days and times. This will help maintain overall income levels. See Appendix B - fee category 1a.
- Fees for ceremonies in The Willows – fees for ceremonies in office hours have larger proposed increases. This takes account of higher demand for ceremonies on Friday; maintains the difference in fee levels between ceremonies in the Registrar's Office and the Willows following the increase in the statutory fee for Registrar's

Office ceremonies; and will help maintain overall income levels.

See Appendix B - fee categories 1b and 1c.

- Fees for alternative civil ceremonies - fees for office hours on Friday have larger proposed increases. This takes account of higher demand for ceremonies on this day and will help maintain overall income levels. Overall these fees are lower than marriages and civil partnerships in approved premises because only one member of staff is required to attend. See Appendix B - fee category 2.
- Fees for individual citizenship ceremonies – these have been increased to more closely reflect regional comparators and will help maintain overall income levels. See Appendix B - fee category 3.
- Fees for the Nationality Checking Service – fees have been increased to reflect the amount of time involved in dealing with applications. See Appendix B – fee category 5.
- Fees for issue of birth and death certificates – there is currently a statutory fee of £7.00 to issue a certificate within 5 days. This is expected to rise to £10.00 on 1st April. An additional local fee is charged for same day or next day issue to reflect the higher levels of staffing required to provide the service. See Appendix B – fee category 6.
- It is proposed to introduce new fees. These will help recover the cost of receiving payment by credit card and postage. See Appendix B – fee category 7.

- 4.5 Locally set non statutory registration service fees in Hartlepool are set to recover the true cost of providing the individual services whilst ensuring that the services remain affordable to all; fees remain competitive in the North East and indeed nationally based on available data.

5. STATUTORY FEE CHANGES BY CENTRAL GOVERNMENT

- 5.1 Central Government have been reviewing statutory fees for the first time since for several years. The outcome of this review, where known and relevant to non statutory fees, is shown in Appendix B.

6. RISKS

- 6.1 The income has been variable in recent years. For 2009/10 the outturn is estimated at £112,000, down from £126,000 in 2008/9 and below the 2009/10 budget of £127,000. Income peaked in 2005/6 at £128,000, but has recovered from a low of £115,000 in 2006/7. Income varies for

year to year for a number of reasons including random variation, changes to passport regulation, relocation of maternity services to Stockton, a reduction in a payment from Central Government for collection of statistical information and reductions in issues of birth certificates and marriage numbers year on year. This has been offset to some extent as new services such as the Nationality Checking Service (NCS) have been introduced.

- 6.2 Provision of the registration service in Hartlepool is kept under review in order to address this and other issues. Income and costs are monitored on a monthly basis to address any shortfall. The service is expanding the NCS service and continues to seek to identify other income generating opportunities. It is planned transfer the service on 1 April 2010 to Human Resources Division from Corporate Strategy. This will provide opportunities to seek efficiency saving through links with the Contact Centre and other means. Setting the fees at an appropriate level will help maintain income levels and contribute towards addressing the Council's overall budget situation. Total fee income is a significant element of the business plan covering approximately 50-60% of gross costs of the service.

7. RECOMMENDATIONS

- 7.1 That the Portfolio Holder approves the changes to the local non statutory fees and financial procedures as outlined in section 4 and Appendix B.

8. CONTACT OFFICER

- 8.1 Peter Spires
Registration Services Manager
01429 236369

Appendix A

Minutes from Performance Portfolio Meeting 27 March 2009

60. Review of Locally Set Fees in the Registration Service (Assistant Chief Executive)

Type of decision

Non-key.

Purpose of report

To request an increase in the locally set fees for services provided by the Register Office.

Issue(s) for consideration by Portfolio Holder

There are five distinct groups of fees: marriages and civil partnerships in Approved Premises, including The Willows; alternative civil ceremonies; individual Citizenship ceremonies; Approval of Premises for Civil Marriage and Civil Partnerships and the Nationality Checking Service.

A full list of fees and details of the proposed increases were appended to the report. It was proposed that most fees be increased between 2% & 5%.

The exceptions to this approach are outlined below:-

- ❖ A 3 year phased increase, was agreed at Performance Management Portfolio on 29/01/2007, and subject of an update at Performance Management Portfolio on 26/02/2007, for fees for marriages in the Willows during normal office hours Monday to Friday. The update report and recommendations agreed a phased increase in fees over a 3 year period. The proposed increase of 12.7% for the third year would complete this 3-year phased process. Fees for ceremonies in The Willows were not set to recover the full true cost of the service but rather achieve a fair and reasonable balance in the market. They would remain below the average of neighbouring authorities. This did not affect the statutory fee for a ceremony in the Register Office.
- ❖ Fees for marriages in the Willows outside office hours and on Saturday mornings up to 11.30am were proposed to increase by 12.3%. This would bring charges to a more realistic level while keeping them below average when compared with neighbouring

authorities.

- ❖ The fee for Saturday marriages between 12 and 12.30pm would not increase. This was in order to equalise the fees for all Saturday ceremonies.
- ❖ The market was seeing fee increases on the prime marriage days of Friday and Saturday. However in line with the Portfolio Holder's decision on 2007 no separate fee for Friday had been set. It was recommended that this be reviewed separately from Monday to Thursday fees in 2010/11
- ❖ The advanced ceremony booking fee and express service delivery charge had both been left unchanged as they were for relatively small amounts of money and it was felt small increases would be inconvenient
- ❖ An increase of 6.7% was recommended for the Nationality Checking Service fee, following a nil increase the previous year. It was felt this would recover the cost of the service while remaining competitive in the region.



The income had reduced in recent years for a variety of reasons including changes to passport regulation, the decrease in marriage numbers and changes to maternity services. Setting the fees at an appropriate level would help maintain income levels and contribute towards addressing the Council's overall budget situation. The Service Delivery Inspection report by the General Register Office had rated the service as Good, highlighting the quality of customer care.

The Portfolio Holder queried the reason for the parity of costings for marriages and civil partnerships on Saturday, specifically the cost of £116.50 proposed for 12-12.30pm only. The Principal Strategy Development Officer advised that this was an historical anomaly which officers were planning to change on a phase basis rather than levy a large increase in the coming year. However the Portfolio Holder felt unable to justify keeping the fee structure as it was simply because it had always been done this way. She requested a review of the fees for marriages and civil partnerships however following discussion asked that the fee for Saturday 12-13pm be dropped to £91.50 thereby keeping it in line with Saturday morning fees. The Saturday afternoon fee could then increase to the suggested £206.50. A full review of the fees could be carried out during the 2009/10 municipal year prior to the April 2010 fee changes.

Decision

- I. That the changes to non statutory fees and financial procedures

- as outlined in Section 3 and Appendix A be approved subject to the amendment that the fee for marriages and civil partnerships in The Willows on Saturday from 12 noon to 12.30pm be £91.50
- II. That a full review of the pricing structure for marriages and civil ceremonies be undertaken during the 2009/10 municipal year in preparation for the April 2010 fee changes

Appendix B

Recommended changes to registration service fees effective 1st April 2010.

Fee 2009/10	2010/11	% change	Regional Average comparator: 2009/10
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1a. Marriages and Civil Partnerships in: Approved Premises

Office Hours Monday to Thursday:	£266.50	£273.50	2.6	£293.00
Office Hours Friday:	£266.50	£316.50	18.8	£307.00
Out of Office Hours Monday to Friday: and all day Saturday:	£306.50	£336.50	9.8	£358.00
Sundays and Bank Holidays:	£386.50	£396.00	2.5	£417.00

1b. Marriages and Civil Partnerships in: The Registrar's Office

(Superintendent Registrar's Office with 2 witnesses only.)

Office Hours Monday to Friday: Statutory fee set by Central Gov't Anticipated fee	£43.50	£60.00	37.9	National Statutory Fee
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1c. Marriages and Civil Partnerships in: The Willows

(Approved Premise, formerly The Register Office Marriage Suite < 40 guests)

Office Hours Monday to Thursday:	£62.00	£100.00	61.3	£119.00
Office Hours Friday:	£62.00	£126.50	104.0	£145.00
Out of Office Hours Monday to Friday: and all day Saturday:	£206.50	£215.00	4.1	£175.00
Sundays and Bank Holidays:	£306.50	£310.00	1.1	*£288.00

	Fee 2009/10	2010/11	% change	Regional Average comparator: 2009/10
Advance ceremony booking fee	£15.00	£25.00	66.7	£38.00

2. Alternative Civil Ceremonies in: All locations

(i.e. Naming, Renewal, Commitment, includes 1 person per ceremony discussion meeting 1/2 hour.)

Office Hours Monday to Thursday:	£155.00	£160.00	3.2	£163.00
Office Hours Friday:	£155.00	£185.00	19.4	
Out of Office Hours Monday to Friday: and all day Saturday:	£212.00	£230.00	6.1	£200.00
Sundays and Bank Holidays:	£245.00	£260.00	6.1	£238.00

3a. Individual Citizenship Ceremonies per family in: In the Willows or Registrar's Office

Office Hours Monday to Thursday:	£57.00	£65.00	14.0	£125.00
Office Hours Friday:	£57.00	£75.00	31.6	
Out of Office Hours Monday to Friday and all day Saturday:	£80.00	£100.00	25.0	£200.00
Sundays and Bank Holidays:	£160.00	£200.00	25.0	£250.00

3b. Individual Citizenship Ceremonies per family: At an approved premise

Office Hours Monday to Thursday:	£96.00	£100.00	4.2	£150.00
Friday:	£96.00	£115.00	19.8	
Out of Office Hours Monday to Friday and all day Saturday:	£112.00	£135.00	20.5	£200.00
Sundays and Bank Holidays:	£190.00	£230.00	21.1	£250.00

Group citizenship ceremonies are held quarterly at no

charge

Fee 2009/10	2010/11	% change	Regional Average comparator: 2009/10
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* Alternative civil ceremonies and citizenship ceremonies may also be held in other suitable external premises subject to a brief inspection by the Registration Service Manager

£36.00	£48.00	33.3	£25.00
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4. Approval of premises for marriage and Civil Partnership.

Initial application / 3 year renewal application	£900.00	£925.00	2.8	£1,590.00
Appeal against refusal to grant	£240.00	£245.00	2.1	Not known

5. Nationality Checking Service

Adult single application	£48.00	£55.00	14.6	£45.00
Each child under 18 applying jointly with, or separately from, parents	£16.00	£18.00	12.5	£20.00

6. Birth Marriage and Death Certificate issue.

Within five working days - Statutory standard and fee set by Central Gov't. Anticipated fee	£7.00	£10.00	42.9	£10 National Statutory Fee
Express Issue additional fee	£3.00	£6.00	100.0	*£10.00

7. New Fees

Credit card transactions		£1.50	NEW	£1.25
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(Administration fee)

Fee 2009/10	2010/11	% change	Regional Average comparator: 2009/10
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Postage Fees

Compulsory Postage of all certificates by 'Recorded Sign For' only, at a contribution from customer

Postage of certificates by any other means at cost [i.e. Guaranteed Next Day Delivery or International Recorded]

Postage of all outward birth declarations by 'Recorded Sign For' only, at a contribution from customer

	Minimum £1.00	NEW	£1.00
	At Cost	NEW	At cost
	£1.00	NEW	£1.00

* Low sample number of local authorities.

FINANCE & PERFORMANCE PORTFOLIO

Report to Portfolio Holder

23rd February 2010



Report of: Chief Financial Officer

Subject: IRRECOVERABLE DEBTS – BUSINESS RATES

SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To seek the Portfolio Holder's approval to write-out a number of business rates debts, which are now considered to be irrecoverable.

2.0 SUMMARY OF CONTENTS

- 2.1 The report highlights business rates accounts with outstanding debts of £1000 or more and details the reasons for each debt remaining unrecovered.

3.0 RELEVANCE TO PORTFOLIO MEMBER

- 3.1 Under the Council's current financial procedures, debts of £1000 or more can only be authorised for write-out by the relevant Portfolio Holder.

4.0 TYPE OF DECISION

- 4.1 The decision is considered to be a non-key decision.

5.0 DECISION MAKING ROUTE

- 5.1 The Finance and Performance Portfolio Holder only.

6.0 DECISION(S) REQUIRED

- 6.1 That the Portfolio Holder approves the write-out of the attached business rates accounts for the reasons detailed.

Report of: Chief Financial Officer

Subject: IRRECOVERABLE DEBTS – BUSINESS RATES

1. PURPOSE OF REPORT

- 1.1 To seek the Portfolio Holder's approval to write-out a number of business rates accounts, which are now considered to be irrecoverable.

2. BACKGROUND

- 2.1 The Council's financial procedure rules provide that any debt due to the Council of £1000 or more can only be written-out with the express permission of the Portfolio Holder.
- 2.2 Whilst every effort is made to collect debts due to the Council, certain debts become irrecoverable, and this report seeks the Portfolio Holder's agreement for their write-out.
- 2.3 Some of the write-outs included in the attached schedules are debts arising from businesses that have gone into liquidation. In these cases the Council's options to recover the outstanding debt are limited to submitting a claim in insolvency proceedings. As the Council is rarely successful in recovering the debt via these proceedings, the debt is written out of the accounting system in the first instance, with the proviso that the debt will be reinstated on the system if a payment is subsequently received.
- 2.4 For those debts relating to businesses in 'administration' the Council has legal recourse to seek payment of the outstanding business rate amount from the Administrators, as an expense of the administration. This action is procedurally taken by the council in such scenarios however successful recovery is dependent on the ability of the business to generate revenue whilst in administration. Invariably such action regrettably is unsuccessful and therefore as a proactive measure write out of the accounts is the recommended course of action. However, if any payment is received the associated debt will be re-instated on the system.

3. FINANCIAL IMPLICATIONS

The appendices attached to this report detail the individual business rates debts over £1000, and the reasons why each debt remains unrecovered:

*** This item contain exempt information under Schedule 12A Local Government Act 1972, namely information relating to the financial or business affairs of a particular person (other than the Council) (para 7).**

Appendix A – Sole Traders *
Appendix B – Limited Companies

- 3.3 All debts submitted for write-out from the accounting records have been comprehensively scrutinised by my officers.

4. RECOMMENDATIONS

- 4.1 That the Portfolio Holder agrees to write-out debts to the value of £54,389.47 (including £1367.50 costs) in respect of irrecoverable business rates.

5. CONTACT OFFICER

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FINANCE & PERFORMANCE PORTFOLIO

Report to Portfolio Holder

23rd February 2010



Report of: Chief Financial Officer

Subject: IRRECOVERABLE DEBTS – COUNCIL TAX

SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To seek the Portfolio Holder's approval to write-out a number of council tax debts, which are now considered to be irrecoverable.

2.0 SUMMARY OF CONTENTS

- 2.1 The report highlights council tax accounts with outstanding debts of £1000 or more and details the reasons for each debt remaining unrecovered.

3.0 RELEVANCE TO PORTFOLIO MEMBER

- 3.1 Under the Council's current financial procedures, debts of £1000 or more can only be authorised for write-out by the relevant Portfolio Holder.

4.0 TYPE OF DECISION

- 4.1 The decision is considered to be a non-key decision.

5.0 DECISION MAKING ROUTE

- 5.1 The Finance and Performance Portfolio Holder only.

6.0 DECISION(S) REQUIRED

- 6.1 That the Portfolio Holder approves the write-out of the attached council tax accounts for the reasons detailed.

Report of: Chief Financial Officer

Subject: IRRECOVERABLE DEBTS – COUNCIL TAX

1. PURPOSE OF REPORT

- 1.1 To seek the Portfolio Holder's approval to write-out a number of council tax debts, which are now considered to be irrecoverable.

2. BACKGROUND

- 2.1 The Council's financial procedure rules provide that any debt due to the Council of £1000 or more can only be written-out with the express permission of the Portfolio Holder.
- 2.2 Whilst every effort is made to collect debts due to the Council, certain debts become irrecoverable, and this report seeks the Portfolio Holder's agreement for their write-out.
- 2.3 It is important to note that the Revenues & Benefits Teams are proactive in encouraging the public to report cases of suspected fraud to the Council. If the forwarding address of an absconded debtor becomes apparent during the course of such investigations, the council tax debt would be reinstated on to the system, and enforcement action would recommence.
- 2.4 If payment is eventually received in respect of the individual debts, the debt will again be reinstated on the council tax system.
- 2.5 In terms of the total council tax debit to be collected, the amount written out each year by HBC equates to 0.1%, the average nationally being 0.3%.

3. FINANCIAL IMPLICATIONS

The appendices attached to this report detail the individual council tax debts over £1000, and the reasons why each debt remains unrecovered:

*** These items contain exempt information under Schedule 12A Local Government Act 1972, namely information relating to the financial or business affairs of a particular person (other than the Council)(para 7).**

Appendix A - No trace / Absconders*

Appendix B - Bankruptcies*

- 3.3 All debts submitted for write-out from the accounting records have been comprehensively scrutinised by my officers.

4. RECOMMENDATIONS

- 4.1 That the Portfolio Holder agrees to write-out debts to the value of £7,214.51 (plus costs of £460) in respect of irrecoverable Council Tax.

5. CONTACT OFFICER

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FINANCE & PERFORMANCE PORTFOLIO

Report to the Portfolio Holder

23RD February 2010



Report of: Chief Financial Officer

Subject: IRRECOVERABLE DEBTS – SUNDRY DEBT
INVOICES

SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To seek the Portfolio Holder's approval to write-out a number of Sundry Invoices, which are now considered to be irrecoverable.

2.0 SUMMARY OF CONTENTS

- 2.1 The report highlights Sundry Invoices with balances of £1000 or more and details the reasons for each invoice remaining unrecovered.

3.0 RELEVANCE TO PORTFOLIO MEMBER

- 3.1 Under the Council's current financial procedures, debts of £1000 or more can only be authorised for write-out by the relevant Portfolio Holder.

4.0 TYPE OF DECISION

- 4.1 The decision is considered to be a non-key decision.

5.0 DECISION MAKING ROUTE

- 5.1 The Finance & Performance Portfolio Holder only.

6.0 DECISION(S) REQUIRED

- 6.1 That the Portfolio Holder approves the write-out of the attached Sundry Invoices for the reasons detailed.

Report of: Chief Financial Officer

Subject: IRRECOVERABLE DEBTS – SUNDRY DEBT
INVOICES

1. PURPOSE OF REPORT

- 1.1 To seek the Portfolio Holder's approval to write-out a number of Sundry Invoices, which are now considered to be irrecoverable.

2. BACKGROUND

- 2.1 The Council's financial procedure rules provide that any debt due to the Council of £1000 or more can only be written-out with the express permission of the Portfolio Holder.
- 2.2 Whilst every effort is made to collect debts due to the Council, certain debts become irrecoverable, and this report seeks the Portfolio Holder's agreement for their write-out.
- 2.3 If payment is eventually received in respect of the individual invoices, the invoice will again be reinstated on the Integra Debtors system.

3. FINANCIAL IMPLICATIONS

- 3.1 **Appendix A** attached to this report details the individual Sundry Invoices over £1000, and the reasons why each invoice remains unrecovered. For those businesses in administration, the Council's financial interest has been lodged in every instance.
- 3.2 All debts submitted for write-out from the accounting records have been comprehensively scrutinised by my officers.

4. RECOMMENDATIONS

- 4.1 That the Portfolio Holder agrees to write-out debts to the value of £11,328.57 in respect of irrecoverable Sundry Debtor Invoices.

SUNDRY DEBTS				2.5 Appendix A	
Write Out 's - Over £1000					
NAME	DEBTOR NO	INVOICE NO	INV DESCRIPTION	AMOUNT	REASON FOR W/O
ARTENIUS UK LTD	8045822	0040039564	HEALTH & SAFETY SERVICES	£ 1,554.71	IN ADMINISTRATION
STREETBROADCAST	8053708	0040032656	INSTALL & REMOVE COLUMNS	£ 5,711.00	IN ADMINISTRATION
THERMABUILD	8054095	0040028724	BUILDING REGS	£ 2,000.00	IN ADMINISTRATION
INGLESANT BARRIE	8054204	0040025040	COMMERCIAL RENT	£ 2,062.86	EVICTED & GOODS SOLD AT AUCTION
				£ 11,328.57	

FINANCE AND PERFORMANCE PORTFOLIO

Report To Portfolio Holder

23rd February 2010



Report of: Head of Performance and Partnership

Subject: DATA QUALITY POLICY

SUMMARY

1.0 PURPOSE OF REPORT

To seek the approval of the Council's updated Data Quality Policy and provide an update on data quality arrangements in relation to performance information.

2.0 SUMMARY OF CONTENTS

The report explains why a data quality policy is required. It gives an update on developments over the past 12 months and identifies further actions to further improve our arrangements are identified.

3.0 RELEVANCE TO PORTFOLIO MEMBER

This matter forms a part of the Portfolio Holder's responsibilities

4.0 TYPE OF DECISION

Non key

5.0 DECISION MAKING ROUTE

Portfolio Holder

6.0 DECISION(S) REQUIRED

That the Portfolio holder:

- i. Approves the updated Data Quality Policy for dissemination to responsible officers; and
- ii. Notes the progress being made to further embed data quality practice across the Council.

Report of: Assistant Chief Executive

Subject: DATA QUALITY POLICY

1. PURPOSE OF REPORT

- 1.1 To seek approval of the Council's updated Data Quality Policy and provide an update on data quality arrangements in relating to performance information.

2. BACKGROUND

- 2.1 The Data Quality Policy was first approved on April 23 2007 at the Performance Management Portfolio meeting. Traditionally the issue of data quality related to financial information. Now it is increasingly relevant in other areas such as performance management, HR and asset management, where data quality is essential to allow sound decision making. Developments have taken place or are under consideration in all these areas particularly in relation to key projects such as Business Transformation, Building Schools for the Future and review of office accommodation.
- 2.2 In performance management data quality now assumes a greater significance. This is because the introduction of successive performance measurement systems has increasingly underlined the need for reliable, consistent and comparable information, based on good quality data. Key elements of the Comprehensive Area Assessment (CAA) rely on information provided as part of the National Indicator set and performance indicators identified as Improvement Targets, Local Priority Targets and Statutory education and early years targets in the LAA.

3. DATA QUALITY DEVELOPMENTS

- 4.1 The Audit Commission audit report made a number of recommendations and these are being dealt with as part of the Data Quality Action Plan that is currently being developed through the service planning process. The main recommendations are addressed through:
- Continuing to utilise Covalent as a tool to monitor Data Quality
 - Completing Phase 2 of the data quality process
- 4.2 The revised Policy (see **appendix 1**) will be circulated to all officers with responsibilities and, where appropriate, briefings are being arranged.

The Policy continues to refer to the responsibilities for the Performance Portfolio Holder as the lead councillor for performance management which includes data quality. A Data Quality Action Plan for the coming year is being currently being developed in line with the service planning process.

5.0 RECOMMENDATIONS

5.1 That the Portfolio holder:

- i. Approves the updated Data Quality Policy for dissemination to responsible officers; and
- ii. Notes the progress being made to further embed Data Quality practice across the Council.

Hartlepool Borough Council

DATA QUALITY POLICY AND SUPPORTING INFORMATION

January 2010 - DRAFT

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1. Introduction

The Council recognises the importance of using reliable data for performance management and service planning purposes (i.e. data which is relevant, accurate, timely and complete) and having appropriate procedures in place to ensure the reliability of performance information being used. Data quality is important because:

- Local public bodies such as the council and their partners require reliable and comprehensive data and information to enable them to manage their services effectively, to make strategic decisions about priorities and to be effectively held to account;
- The public as service users, tax payers and voters, need to have good quality data and information on which to base informed choices, whether it be where to send their children to school, which hospital to use or who to vote for.

Examples of why the policy is required include:

- The policy supports the overall aim of the council by making sure that accurate and trustworthy data are used in the decision making and planning processes.
- As the responsible local authority in Hartlepool's Local Area Agreement (LAA) accurate, trustworthy and timely data is essential to keeping performance on track.
- In part the Council's reputation is based on its Comprehensive Area Assessment (CAA) result determined by the Audit Commission (AC) and this depends greatly upon performance indicator data to decide the overall performance category of each authority.
- From 2005/6 the Audit Commission approach to the audit of performance information changed and they now form a judgement on the adequacy of the Council's arrangements to monitor the quality of its performance information, and to report the results to members rather than assess individual PIs. This judgement will form one of the criteria on which the annual use of resources/value for money conclusion will be based.

This policy supports the council's vision by making sure that accurate and trustworthy data is used in the decision-making, resource allocation and planning process. It will also provide clear guidance to relevant staff for putting in place appropriate controls and other mechanisms aimed at checking and validating data that is produced for performance management purposes.

2. Links to other policy areas

The is linked to and supports a number of other policies and processes. These are:

- Performance Management Framework – sets out the arrangements for service planning and management. The Assistant Chief Executive leads on the implementation of the framework through the Performance and Risk Management Group (PRMG).
- Information Security policies - the Council has a suite of Information Security policies to ensure that data resources are held securely and in accordance with all relevant legal requirements and has procedures in place to prevent misuse of personal data which apply to all information systems. The Information Security Group leads the implementation of these policies.
- Business Continuity Plans - All departments have prepared Business Continuity Plans.
- Risk Management Strategy – ensures risks to the achievement of council objectives are identified and controlled. The Performance and Risk Management Group leads the implementation of the strategy and oversees the completion of the Annual Governance Statement.
- Corporate Consultation Strategy – ensures the public and other interested parties can influence council policy and decisions. The Corporate Consultation Group leads on the implementation of the strategy and operates as an operational group of Customer Services Group.

3. Aims and objectives of the Data Quality Policy

The policy aims are:

- The Council is committed to achieving the six basic characteristics of good data quality as defined by the Audit Commission's standards for better data quality (see appendix 1 for more detail):
 - Accuracy
 - Validity
 - Reliability
 - Timeliness
 - Relevance
 - Completeness
- Meet external audit standards and requirements

While assurance about the quality of data can be obtained by testing the data itself, testing all data to obtain assurance is impractical and costly. Furthermore, the results of testing smaller samples can provide only a snapshot of the quality of a small amount of data at a specified point in time. Therefore the council will focus on improving arrangements to manage the collection and reporting data, rather than relying solely on data checks. This will satisfy its need for assurance about the quality of data and information about the services provided and will also help satisfy the council's stakeholders and regulators.

However it should be noted that it is not possible to apply a universal process covering the collection and collation of performance data as each measure is subject to its own method of counting. However, common framework and principles of accurate data collection and collation is applied in order to increase the level of confidence in the quality of performance data used.

Collecting performance information efficiently and effectively requires a balance to be struck between the need to maintain the data quality required the level of resources required to collect and use the data. The policy also looks at using the COUNT principle (Collect Once Use Numerous Times).

Within this context the Data Quality Policy objectives are:

- To ensure that where data is exchanged with other organisations appropriate protocols are in place;
- To ensure that the quality of data is regularly monitored and checked;
- To ensure that appropriate mechanisms are in place to keep relevant staff aware of the Council's data quality requirements and provide suitable training (see Appendix 5).
- To ensure that the COUNT principle is embedded across the council and into partners where ever possible

4. Policy Standards

The policy requires that:

- The Data Quality Policy and associated supporting information will be reviewed at least once a year and any changes required will be implemented
- A data quality action plan will be prepared and updated on an annual basis (see Appendix 3)
- A list of the officers and members with responsibility for the implementation of the Data Quality Policy will be kept up to date
- Key people/groups within the scope of the policy will be briefed and provided with relevant information

- A risk assessment of PIs will be conducted at least annually
- Internal testing of data quality arrangements will be completed at least annually
- Internal testing, based on risk, of partnership arrangements is undertaken as part , based including information and data sharing protocols
- National PI data submitted will be complete, on time and accurate
- The external audit will be facilitated and timely response made to recommendations
- The lead elected member for data quality will be kept informed of data quality issues as appropriate
- The Data Quality audit report will be reported to the Audit Committee

5. Scope of the policy

All council employees potentially play a role in ensuring data quality but it is recognised that certain individuals and groups are key to this process. These include:

- Corporate Management Team, Corporate Management Team Support Group and Departmental Management Teams (CMT/CMTSG/DMTs)
- Heads of service/service managers
- PI Co-ordinators (PICs)
- PI responsible officers (PIROs)

The responsibilities of these groups are set out in Appendix 2.

Members also play a role. The portfolio holder for Finance and Performance is the lead councillor for performance management which includes data quality and the remit includes data quality (see report to Performance Management Portfolio holder 21 December 2006). Other executive and scrutiny members are primarily consumers of performance information.

The Audit Committee considers the Use of Resources and Data Quality reports from the Audit Commission on an annual basis.

The policy is relevant to quantitative data used to monitor and report (both internally and externally) on the performance of council services including those delivered through partnerships and by contractors. This would include information gathered through surveys.

6. Appendices - Supporting information and guidance as at January 2010

APPENDIX 1 Key characteristics of data quality

Accuracy	<p>Data should be sufficiently accurate for its intended purpose, representing clearly and in sufficient detail the interaction provided at the point of activity. Data should be captured only once, although it may have multiple uses (COUNT principle). Accuracy is most likely to be secured if data is captured as close to the point of activity as possible. Reported information that is based on accurate data provides a fair picture of performance and should enable informed decision making at all levels</p> <p>The need for accuracy must be balanced with the importance of the uses for the data, and the cost and effort of collection. For example, it may be appropriate to accept some degree of inaccuracy where timeliness is important. Where compromises have to be made on accuracy, the resulting limitations of the data should be clear to its users</p>
Validity	Data should be recorded and used in compliance with relevant requirements, including the correct application of any rules or definitions. This will ensure consistency between periods and with similar organisations
Reliability	Data should reflect stable and consistent data collection processes across collection points and over time, whether using manual or computer-based systems, or a combination. Managers and stakeholders should be confident that progress towards performance targets reflects real changes rather than variations in data collection approaches or methods
Timeliness	Data should be captured as quickly as possible after the event or activity and must be available for the intended use within a reasonable time period. Data must be available quickly and frequently enough to support information needs and to influence the appropriate level of service or management decisions.
Relevance	Data captured should be relevant to the purpose for which it is used. This entails periodic review of requirements to reflect changing needs. It may be necessary to capture data at the point at which is relevant only for other purposes, rather than for the current intervention. Quality assurance and feedback processes are needed to ensure the quality of such data
Completeness	Data requirements should be clearly specified based on the information needs of the organisation and data collection processes matched to these requirements. Monitoring missing, incomplete or invalid records can provide an indication of data quality and can also point to problems in the recording of certain data items.

APPENDIX 2 Current responsibilities and procedures

Governance – leadership and implementation responsibilities

The portfolio holder for Finance and Performance Management is the lead councillor for performance management which includes data quality. At a member level the Finance and Performance Portfolio holder has responsibility and for ensuring data quality (see report to Performance Management Portfolio holder 21 December 2006).

The overall corporate responsibility in relation to data quality and performance management rests with the Assistant Chief Executive and the Performance and Partnership Team. The Corporate Management Team Support Group (CMT SG) supports the ACE in ensuring that the objectives of this Strategy are applied in their departments.

Day to day responsibility for corporate aspects of data quality and performance management is delegated to the Performance and Consultation Manager, who considers issues relating to performance and data quality and where necessary reports significant issues to the Head of Performance and Partnership and CMT Support Group.

Departments have day-to-day responsibility through their own management procedures for data quality and performance management within the departments and their own performance information.

Within departments responsibility rests with departmental management teams and service managers. Each department has appointed a PI Coordinator to oversee performance information management arrangements.

- Chief Executive's – Peter Turner (including Place Survey PIs), John Morton, Sandra Shears (cost PIs)
- Children and Adult Services – Trevor Smith
- Regeneration and Neighbourhoods – Steve Russell

Specific arrangements are in place for the calculation of cost PIs and Place Survey. Finance division have lead responsibility for the calculation of all cost PIs. Performance and Partnership Team have lead responsibility for the administration of the Place surveys which are carried out every 2 years. This includes submission of the data and dissemination of the information.

DMTs support PI coordinators in ensuring objectives of this Policy are applied in their departmental services.

Service managers are responsible for the complete, timely and accurate reporting of data in their area of activity including relevant national and local performance indicators (PIs). They are also responsible for ensuring that staff are aware of their responsibilities in this area and are provided with an appropriate level of training and guidance.

PI Responsible officers (Assignees in Covalent) are identified for each PI monitored corporately, including responsibility for data collection, data quality and target setting. We are working towards ensuring that all PIs are monitored with Covalent having all necessary up to date data quality information held within the system itself against each individual PI. Key PIs within the Corporate Plan and LAA have been through this process with all other PIs currently under review.

Actions, PIs and risks in relation to performance management are identified in the Chief Executive's Department Plan and where appropriate the Corporate Plan – see Outcome Improve Performance Management, Data Quality and Risk Management Arrangements. This encompasses arrangements for PI data quality, demonstrating the authority's commitment to ensuring robust but appropriate arrangements are in place. Progress is managed by the Head of Performance and Partnership and monitored by the Chief Executive's Management Team, the Finance and Performance Management Portfolio Holder and where appropriate Cabinet as part of quarterly reports on the Department and Corporate Plan. More detailed service plans and project plans are prepared where necessary.

Communications

Communication regarding data quality is primarily through the Performance and Risk Management Group via regular meetings and email and phone contacts. Arrangements are in place with the Head of Performance and Partnership to escalate any issues which may require it for consideration at Director/Assistant Director level. Ensuring an appropriate buy in to PI data quality at an operational level but also providing the opportunity to deal effectively and at a senior level with other issues should the need arise.

PI coordinators have responsibility for cascading information to PIROs and within their departments or divisions.

Procedures and controls

The corporate framework for monitoring data quality includes the following. Lead responsibility shown in bold.

- **Performance and Partnership Team** undertakes a risk analysis of all corporately reported PIs on an annual basis. This takes into account previous history of data quality issues, use of PI information (e.g. CAA, LPSA) and changes to definition/introduction of new PIs.
- **Internal Audit** are tasked annually with undertaking reviews of each selected PI and identifying control issues which are rated as High, Medium or Low (see Appendix 4 for list of testing objectives). Recommendations from Internal Audit are distributed to Performance and Partnership Team, service managers and PIROs.
- PI challenge prior to reporting. This includes the assessment of annual PI outturns and follow-up of queries. Examples of these quality checks have included robustness of base data, calculation methods compared to definition – **Departments/Performance and Partnership Team**

- Departments identify risks, control measures in place and planned control measures. These identified risks are then linked to appropriate actions and PIs for performance monitoring purposes. The relevant risk categories for data quality would include Information and technology, Contractors, partners or suppliers and Reputation - **Departments**
- Clear roles and responsibilities for Performance and Partnership Team, PI Coordinators and PI responsible officers (PIROs) in relation to PIs are established (see above). These have been communicated to all parties via data quality training sessions and via the Performance and Risk Management Group - **Performance and Partnership Team**
- **Departments** are required to ensure that all data quality fields within Covalent have been completed including procedure notes and definitions. This information is assessed as part of Internal Audit PI reviews to ensure that practice and data reflect procedures notes and definitions. Essentially what auditors want to see is all the relevant information brought together in one location and available to all relevant staff.
- **Performance and Partnership Team** organises and coordinates the annual PI collection process. This process is structured and completed using the Covalent system. All performance measures included in the corporate plan are subject to approval by the Assistant Chief Executive and Corporate Management Team.

Regular contact with PI coordinators is maintained through the Performance and Risk Management Group to identify issues and consider improvements as required. **Performance and Partnership Team**

- **Performance and Partnership Team** provide first line of support for collection and for the Covalent system. In addition support is also provided via Internal Audit and external support is occasionally sought from via external auditor and Audit Commission PI team.

Training of staff is the responsibility of the individual **departments** however Corporate training is provided on a regular basis where required. Where responsibility changes as a result of staff turnover or reorganisation then support would be provided as part of the usual induction, training and appraisal processes. It is expected that the data quality information held within Covalent would also allow for any new member of staff to complete PI reporting.

- **Corporate reporting of PIs** - PI information collected corporately is used and reported in a number of ways, following publication in the summer as part of the Council's Corporate Plan. – **Performance and Partnership Team**

July - report giving overview of improvement, targets met and comparison with Tees Valley neighbours and CPA and national quartile benchmarks. Report identifies potential improvement areas e.g. bottom quartile service areas/function. Report considered by CMTSG, Executive and Scrutiny.

January - report giving overview of improvement, targets met and comparison with Tees Valley neighbours and CPA and national quartile benchmarks (used latest national data when available). Report considered by CMTSG, Cabinet and Performance Management Portfolio Holder.

- **Departments** undertake further reporting as they require.

Roles and responsibilities

CMT/CMTSG/DMTs/service managers

- Provide support and show leadership to encourage use of performance information and importance of data quality

Departmental PI Coordinators

- Help implement Data Quality Policy within department
- Disseminate information to PIROs
- Quality control checks on PIs
- Internal departmental controls reviewed at least annually to ensure they are working effectively
- Co-operate with Internal Audit staff undertaking PI reviews
- Co-operate with Audit Commission auditor undertaking annual PI audit
- Follow up and monitor recommendations from Internal Audit and Audit Commission
- Liaise with Policy and Performance team e.g. attend PI Coordinator meetings

PI responsible Officers (PIROs)

- System in place along with appropriate control measures
- Use latest definition and guidance
- Maintain file(s) with all key information relating to a PI
- Feedback to staff
- Co-operate with Internal Audit staff on PI reviews
- Act on recommendations from Internal Audit PI reviews
- Co-operate with Audit Commission auditor undertaking annual PI audit
- Provide all appropriate working papers required for AC audit purposes

Performance and Partnership Team

- Distribute national PI guidance and definitions to PI coordinators
- Organise PI collection process for NIs and at year end
- Risk assess PIs - October each year
- Liaise with Internal Audit on completion of audit tests on selected PIs
- Quality control checks, raise queries with departments
- Submit PIs to Audit Commission and organise responses to queries
- Monitor action of high priority recommendations from Internal Audit
- Liaise with Audit Commission about on site PI audit
- Complete annual review of PI process and feedback to PI coordinators at end of AC audit
- Review Data Quality Policy

Internal Audit

- Undertake audit tests on selected PIs and report on control issues to service managers, PIROs, PI Coordinators and P&P team

APPENDIX 3 Objectives for Internal Audit's PI testing

On an annual basis, Performance and Partnership Team provides Internal Audit with a list of Performance Indicators (PIs) for review - PIs Sample. The PIs are selected for review based on a number of criteria, including: whether the PI is new, if the PI definition has been amended from previous years, where problems or errors have occurred in previous years.

The work program for the PIs Sample is produced in line with CiPFA's systems based auditing control matrices. In addition, Internal Audit also reviews the Performance Indicator and Data Quality process from a central perspective. The combination of this central process review and the results from the PI Sample review form the basis of the opinion on the control environment for the area of Performance Indicators.

The PI audit work program covers the following areas:

- awareness of the PI definitions, PI processes and data quality requirements;
- collection, storage and formulation of the PI result,;
- publication of results.

The objectives of the review are to ensure that:

- the system, policy and procedures are documented and readily accessible;
- Roles and responsibilities have been formally allocated, recorded and communicated, and training provided;
- Procedures ensure roles and skills requirements are identified and met;
- Procedures ensure staff responsible for PIs is aware of the timescale and deadlines for producing, reporting and publishing PIs;
- Procedures ensure that supporting information; data, reports, etc are produced and retained;
- Procedures ensure staff responsible for PIs has the current and correct definitions;
- Independent checks are undertaken to ensure PIs are produced and reported accurately;
- Policies and procedures have been established to ensure relevant information, data, documentation and IT facilities are held securely and are readily accessible by authorised persons;
- Procedures ensure staff responsible for PIs are aware of the timescale and deadlines for producing, reporting and publishing PIs.

APPENDIX 4 Data Quality training overview

Training is aimed at all officers who are assignees to PIs within Covalent. The briefing sessions cover:

- Background to Data Quality including the framework and why a policy is required
- Roles and Responsibilities
- Data Quality – an Internal Audit perspective
- Managing and reporting on Data Quality
- Practical workshop – using milestones within Covalent

Data Quality - Guidance on Completing Covalent milestones

The following table details the milestones, what is required within Covalent and where appropriate where the information should be recorded. The practical workshop covers this in detail.

	What is required		Covalent fields to be completed
1	PI definition and supporting guidance recorded	<p>Enter or upload PI definition to Covalent. If PI is an NI then definition should be on the system. Record “pre loaded” in [Data Quality – PI Definition field].</p> <p>Complete all supporting information. If PI is an NI then definition should be on the system. Record “pre loaded”. [Guidance – all fields]</p>	<p>[Data Quality (on PI sheet) – PI Definition field]</p> <p>[Guidance – all fields]</p>
2	Responsible staff recorded	Ensure that staff responsible are included on PI ownership and responsibility	
3	Statement of purpose recorded	Enter statement explaining why is data is collected? E.g. Government return, service management [Data Quality – Rationale for PI field]	[Data Quality (on PI sheet) – Rationale for PI field]
4	Other contributors recorded	Enter list. Who provides data? Are their processes compliant? [Data Quality – Other organisations field]	[Data Quality (on PI sheet) – Other organisations field]
5	Process documentation recorded	Enter or upload document explaining procedures for collecting and entering data. If upload document then enter “See uploaded document <name>” [Data Quality – PI Process field]	[Data Quality (on PI sheet) – PI Process field]

	What is required		Covalent fields to be completed
6	Data quality control procedures recorded	Enter or upload document(s) describing data quality controls. If upload document then enter “See uploaded document <name>” [Data Quality – PI Data quality controls field]	[Data Quality (on PI sheet) – PI Data quality controls field]
7	Data quality control results	Upload document(s) describing/authenticating results from data quality controls and any action required	
8	Raw data location	Upload data or document specifying location of data. Personal data not to be uploaded. [Data Quality – Location of Data field]	[Data Quality (on PI sheet) – Location of Data field]
9	Outturn recorded	Enter data on Data tab of Covalent	
10	Performance commentary recorded	Enter Note on PI screen.	
11	Targets recorded	Enter targets on system and commentary explaining rationale for targets [Data Quality – Commentary on targets field]	[Data Quality (on PI sheet) – Commentary on targets field]
12	Sign off by senior manager	Senior manager enters Note on PI screen and/or scanned document attached if manager non Covalent user.	

FINANCE AND PERFORMANCE PORTFOLIO
Report to Portfolio Holder
23rd February 2010



Report of: Chief Personnel Officer

Subject: FIT NOTES

SUMMARY

1. PURPOSE OF REPORT

To request approval for the implementation of the statutory Fit Note process, and related sickness absence policy and procedure changes to be followed for Hartlepool Borough Council.

2. SUMMARY OF CONTENTS

The report provides details for the implementation of the new statutory Fit Notes with background information, guidance for managers and sickness absence policy and procedure changes.

3. RELEVANCE TO PORTFOLIO MEMBER

Corporate issues.

4. TYPE OF DECISION

Non-key decision.

5. DECISION MAKING ROUTE

Portfolio Holder only.

6. DECISION(S) REQUIRED

Approve the changes.

Report of: Chief Personnel Officer

Subject: FIT NOTES

1. PURPOSE OF REPORT

- 1.1 To request approval for the implementation of the statutory Fit Note process, and related sickness absence policy and procedure changes to be followed for Hartlepool Borough Council.

2. BACKGROUND

- 2.1 The Council is committed to reducing sickness absence and supporting people with health conditions to stay in or return to work. Following the recommendations by Dame Carol Black, National Director for Health and Work in her review “Working for a healthier tomorrow; Review of the health of Britain’s working age population” and in order to support employers and individuals it was recognised that the role of health care professionals and GPs is critical to this process. One of the aims is to focus GPs on back to work advice or “fitness for work or some work” rather than confirming “sickness”. This has been identified through the “Fit Note” which replaces the “Sick Note”. This national statutory change is to be implemented on 6 April 2010.
- 2.2 This process is linked to the current Attendance Management Policy and will be incorporated when the policy is due for revision later in 2010. This policy has been reviewed and amended significantly and is in draft form, but there are two further projects ongoing that will impact on the final revision relating to the new HRIS ResourceLink and a review of Council wide sickness provision linked to terms and conditions of employment. The policy will be presented to a future Portfolio Holder meeting once all aspects of the reviews are complete.
- 2.3 Consultation with trade unions has been positive and full support for the changes has been agreed. However this will not be formalised until the Single Table meeting to be held on Thursday 25th February 2010.

3. Suggested Process

- **Appendix 1** - guidance notes that are linked to the flowchart (appendix 2) giving step by step guidance to managers.
- **Appendix 2** - is a flowchart illustrating diagrammatically the process for the new Fit Note
- **Appendix 3** - highlights a new policy for sickness pay during reduced hours

4. RECOMMENDATIONS

That the outlined recommendations for implementation are approved for the new Fit Note process subject to confirmation at the Single Table meeting on 25th February 2010

5. BACKGROUND PAPERS

Appendices 1-3 attached.

6. CONTACT OFFICER

Rachel Clark,
Human Resources Adviser
Tel: 01429 284346
Email: rachel.clark@hartlepool.gov.uk

GUIDANCE NOTES FOR STATEMENT OF FITNESS FOR WORK (FIT NOTE)

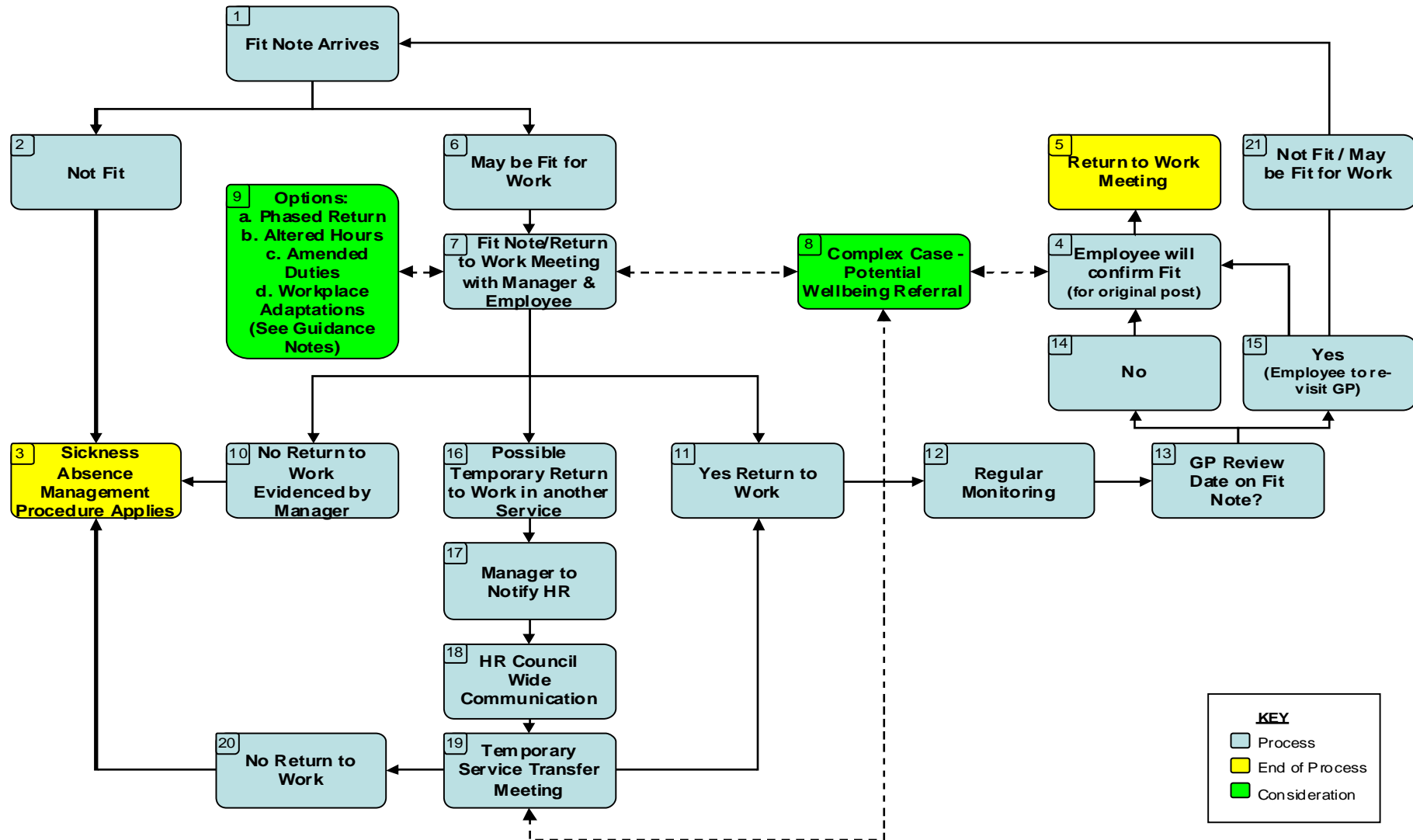
Introduction

The Council is committed to reducing sickness absence and supporting people with health conditions to stay in or return to work. Following the recommendations by Dame Carol Black, National Director for Health and Work in her review “Working for a healthier tomorrow; Review of the health of Britain’s working age population” and in order to support employers and individuals it is recognised that the role of health care professionals and GP’s is critical to this process. One of the aims is to focus GP’s on back to work advice or “fitness for work” rather than confirming “sickness”. This has been identified through the “Fit Note” (Statement of Fitness for Work) which replaces the “Sick Note”.

Please read

The guidance below must be used in conjunction with the Fit Note Flowchart and you will note that the **numbers on the guidance and flowchart correspond** so that it is easier to find the information relevant to your situation.

Fit Note Flow Chart



Appendix 1

1. Fit Note Arrives

The Employee submits a Medical Fit Note to their Manager. The Fit Note will identify whether the Employee is Not Fit or Maybe Fit for Work.

Departmental administration processes for the recording of sickness absences will continue to apply.

2. Not Fit

If the Fit Note states that the Employee is Not Fit for work the Sickness Absence Management Procedure will apply.

3. Sickness Absence Management Procedure Applies

Please refer to and where necessary apply the Sickness Absence Management Procedure.

4. Employee will confirm Fit (for original post)

Employee can return to work with no stipulations.

5. Return to Work Meeting

Upon return to work the Manager is responsible for conducting a return to work meeting with the Employee (Form HRPP-1/F2).

Appendix 1

6. May be Fit for Work

Where the Doctor/Health Care Professional has identified on the Fit Note that the Employee may be fit for work and the duration is less than 2 working weeks, it may not be reasonable, due to time scales, to accommodate the options outlined (Fit Note Process Number 9).

The Fit Note will identify that the employee is able to return to work but with restrictions. These restrictions can include phased return, altered hours, amended duties or workplace adaptations (For further details please see number 9 below).

7. Fit Note / Return to Work Meeting

Manager arranges a Return to Work Meeting with the employee as soon as possible but no later than 7 days after receipt of the Fit Note to discuss the content (Form HRPP-1/F2).

If the Doctor/Health Care Professional has recommended options which can be reasonably accommodated by the employer and the employee refuses to return to work then consideration may need to be given to suspend the employee's sick pay and/or take disciplinary action on the grounds that the individual refused a reasonable management request. In such instances the Manager should contact their Human Resources Representative.

Where the employee has accrued annual leave during sickness and entered a new annual leave year. It may be necessary for the Manager and employee to agree when the carried forward annual leave will be taken.

8. Complex Case – Potential Well Being Referral

If during the Return to Work Meeting the Manager has insufficient medical information to determine whether the employee is able to return to work within their service, within another service or not return to work at all then it may be necessary to refer the employee to the Well Being Service (Form HRPP-1/F3).

For example, Occupational Health, Physiotherapy, GP/Specialist, Workplace/Work Station/Risk Assessment via Health and Safety Officer.

9. Consider Options

a. Phased Return

Phased return may require a review of the employees contracted days/hours/times of work.

The Manager will give consideration to the employee working reduced hours for the period of time identified on the Fit Note.

If the Doctor/Health Care Professional has identified on the fit note that they **do not** need to assess the employee's fitness for work again at the end of the stated period

Appendix 1

then the Manager should look to apply a progressive increase in hours up to the employees contracted hours of work.

If the Doctor/Health Care Professional has identified on the Fit Note that they **do** need to assess the employee's fitness for work again at the end of the stated period then the Manager and the employee will need to agree the phased return to work hours taking into consideration information supplied by the Doctor/Health Care Professional. How long this arrangement is accommodated is at the discretion of the managing department with advice from Human Resources. The outcome of this decision will be dependant on the needs of the service.

It is recommended that reviews/regular monitoring is built into any phased return to work.

Example

A full time employee has been absent from work for a 6 month period following surgery. The Fit Note recommends a Phased Return to work over a 5 week period. Consideration may be given to reintegrate the employee back into the workplace offering 17 hours for week one and then increasing by 5 hours each week over the next 4 weeks until the employee is working their contracted hours. This will assist an employee in the final stages of their recovery.

b. Altered Hours

Altered hours may require a review of the hours/times of the day/night that the employee is contracted to work.

The Manager will give consideration to the employee altering their hours of work for the period of time identified on the Fit Note.

If the Doctor/Health Care Professional has identified on the fit note that they **do not** need to assess the employee's fitness for work again then the employee will revert back to their contracted hours of work at the end of the stated period. It may be that the Manager and employee agree a gradual increase over the stated period.

If the Doctor/Health Care Professional has identified on the Fit Note that they **do** need to assess the employee's fitness for work again at the end of the stated period then the Manager and the employee will need to agree the altered hours taking into consideration information supplied by the Doctor/Health Care Professional. How long this arrangement is accommodated is at the discretion of the managing department with advice from Human Resources. The outcome of this decision will be dependant on the needs of the service.

Appendix 1

Example

A part time employee who normally works Monday, Tuesday and half day Wednesday has been absent from work for a 4 week period due to a diagnosis of cancer. The Fit Note recommends altered hours with a review period. Consideration may be given to altering the employee's days of work to work half a day Wednesday, Thursday and Friday as they have chemotherapy on a Monday morning.

c. Amended Duties

Amended duties may require a review of the roles and responsibilities (duties) that the employee is contracted to undertake.

The Manager will give consideration to the employee amending their duties for the period of time identified on the Fit Note.

If the Doctor/Health Care Professional has identified on the fit note that they **do not** need to assess the employee's fitness for work again at the end of the stated period then the Manager should look to apply a progressive increase in duties up to the employee's contracted duties.

If the Doctor/Health Care Professional has identified on the Fit Note that they **do** need to assess the employee's fitness for work again at the end of the stated period then the Manager and the employee will need to agree the amended duties taking into consideration information supplied by the Doctor/Health Care Professional. How long this arrangement is accommodated is at the discretion of the managing department with advice from Human Resources. The outcome of this decision will be dependant on the needs of the service.

d. Workplace Adaptations

Workplace adaptations may require a review of the work station and workplace where the employee undertakes their duties.

The Manager will give consideration to the employee receiving workplace adaptations for the period of time identified on the Fit Note.

If the Doctor/Health Care Professional has identified on the fit note that they **do not** need to assess the employee's fitness for work again at the end of the stated period then it may be necessary for any adaptations to cease.

If the Doctor/Health Care Professional has identified on the Fit Note that they **do** need to assess the employee's fitness for work again at the end of the stated period then the Manager and the employee will need to agree the adaptations required taking into consideration information supplied by the Doctor/Health Care Professional. If this is a temporary arrangement then how long this is accommodated is at the discretion of the managing department with advice from Human Resources.

Appendix 1

10. No Return to Work

Having explored the options available to assist the employee in returning to work should this not be possible then the Manager is required to provide justification as to why and communicate this to the employee within the Return to Work Meeting, recording this under Section 11 of the Return to Work Meeting Record (HRPP-1/F2).

11. Yes Return to Work

Employee can return to work as per contract of employment or with agreed options as recorded on the Return to Work Meeting Record.

12. Regular Monitoring

Regular review meetings are to be held between the employee, their Manager and, where applicable the Temporary Manager.

The content of the review meeting will be dependant upon individual circumstances but may include a review of the current health status, temporary working arrangements, referral to Well Being Services, time scales etc.

13. GP Review Date on Fit Note

The Fit Note will state whether or not the Doctor/Health Care Professional wants to review the individual at the end of the stated period. This will determine the length and pattern of the return to work.

14. No (No Review Date on Fit Note)

If the Fit Note states that the Doctor/Health Care Professional does not require a review of the individual then they can return to work within their substantive role with no stipulations at the end of the stated time period.

15. Yes (Yes Review Date on Fit Note)

Employee is required to attend Doctor/Health Care Professional and may be issued with a further Fit Note if they are not fit or may be fit for work. Alternatively the Employee may be fit for work (original post) in which case there is no further Fit Note issued.

For complex cases it may be necessary to give consideration to a Well Being Referral prior to the Employee returning to work.

16. Possible Temporary Return to Work in another Service

Where the employee is unable to return to their substantive role or within their service area then consideration may be given to see if the employee can be temporarily placed within another service area of the Council.

Appendix 1

Should an employee be temporarily placed within another service area of the Council then the substantive (original) employing department will continue to pay the employee at their current pay band for the duration of the temporary placement.

17. Manager to Notify HR

Following the Return to Work Meeting, the Manager will contact their Human Resources Representative within 3 working days to discuss the outcome. HR will require justification of why the employing department cannot accommodate the restrictions of the employee to perform their substantive role and any other relevant information as discussed within the Return to Work Meeting.

18. HR Council Wide Communication

HR will send a circular to identified contacts within each Department to see whether the employee can be temporarily placed within another service area of the Council.

19. Temporary Service Transfer Meeting

An informal meeting will be held with the current Manager, new Manager and employee. If required for complex cases a Representative of Human Resources can attend.

The Manager's will need to identify whether the temporary placement is to accommodate one of the following:

- Established post
- Backlog of work
- Project/temporary work

If the employee is temporarily placed within another service area the employee's substantive (original) employing department will continue to pay the employee at their current pay band for the duration of the temporary placement.

Both Managers will be responsible for determining the time scale of this temporary placement.

20. No Return to Work

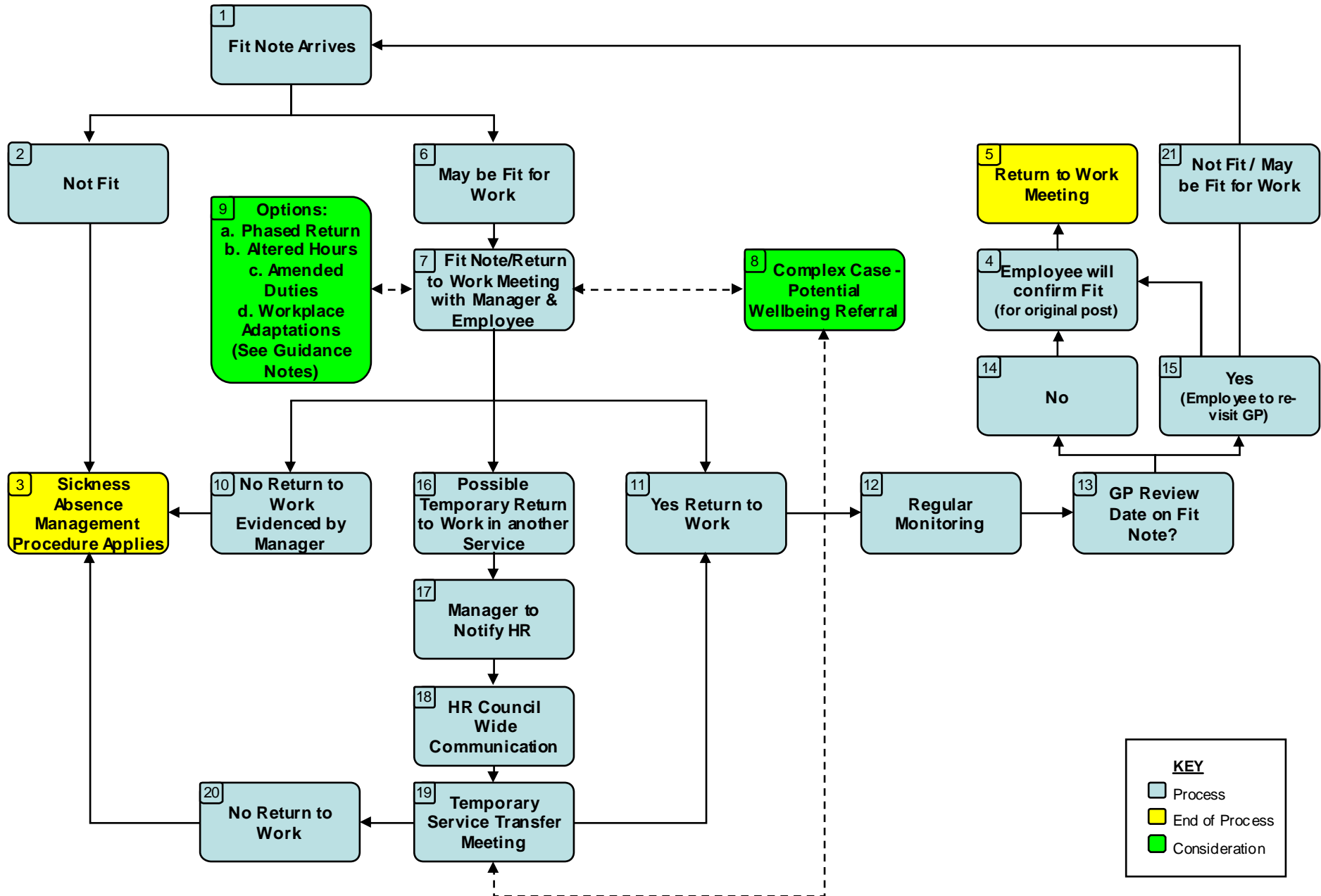
If the employee cannot be placed temporarily in another service area then the normal Sickness Absence Management Procedure will apply.

21. Not Fit / May be Fit for Work

The employee re-visits the Doctor/Health Care Professional who will provide with a further fit note.

APPENDIX 2 – Fit Notes Report

Fit Note Flow Chart



Sickness and Attendance Management Amendments**Pay during Reduced Hours Arrangements**

The employee's pay will be dependant on the **length of time** remaining Occupational Sick Pay Entitlement as at the date of the temporary return to work. The Manager must obtain from Payments confirmation of the employee's occupational sick pay information. This includes the dates of when full occupational sick pay ends (go into half pay), when half occupational sick pay ends (go into nil pay) and when there is no sick pay, or may receive statutory sick pay only. These dates must be recorded on the return to work meeting record in the area identified. These lengths of times **cannot** be amended for the duration of the temporary arrangement, even if the return to work gives further accrued entitlement to occupational sick pay.

Reduced hours agreed as part of a phased/alterd hours return for an employee who is off work due to sickness absence, will be paid as follows:

During Full OSP	Guaranteed full pay as a minimum
During Half OSP	Guaranteed half pay as a minimum
During Nil Pay or SSP	Paid for hours worked only

Return to Work during Full Occupational Sick Pay Entitlement	Annual Leave	Annual Leave
	Annual leave can be used to 'top up'	Annual leave can be used to 'top up'
Regardless of number of hours worked the employee is guaranteed to retain full pay (equivalent to full OSP) for the period they were originally entitled to it.	Return to Work during Half Occupational Sick Pay Entitlement	Nil Pay / Statutory Sick Pay Only
	The employee will receive either half pay (equivalent to half OSP) for the period they were originally entitled to it OR will be paid for the hours worked if this is greater.	The employee will receive pay for the hours worked only.

FINANCE AND PERFORMANCE PORTFOLIO

Report to Portfolio Holder

23 February 2010



Report of: Assistant Director (Resources)

Subject: FIVE YEAR PROCUREMENT PLAN

SUMMARY

1. PURPOSE OF REPORT

To seek the Portfolio Holder approval on the latest review of the Council's 5 Year Procurement Plan.

2. SUMMARY OF CONTENTS

The report outlines the background to the requirement of a 5 Year Procurement Plan and highlights some of the key procurement exercises over the next 5 years.

3. RELEVANCE TO PORTFOLIO MEMBER

Portfolio Holder is Procurement Champion.

4. TYPE OF DECISION

Non key.

5. DECISION MAKING ROUTE

Portfolio Holder only.

6. DECISION(S) REQUIRED

That the Portfolio Holder approves the updated 5 Year Procurement Plan.

Report of: Assistant Director (Resources)

Subject: 5 YEAR PROCUREMENT PLAN

1. PURPOSE OF REPORT

- 1.1 To seek the Portfolio Holder approval on the latest review of the Council's 5 Year Procurement Plan.

2. BACKGROUND

- 2.1 To provide focus for the potential developments and benefits attributable to reviewed procurement practices and outcomes the Council has in place a 5 Year Procurement Plan which provides the basis for a prioritised plan of action which can be communicated to all interested and relevant parties.
- 2.2 The original plan was approved by the Portfolio Holder at the meeting held on 27th November 2006 and has been updated on a regular basis with reports being considered by the Portfolio Holder.
- 2.3 The plan is set in the context of the environment within which the Council operates and the pressures which it is required to respond to.
- 2.4 National and Local Picture

The national picture underlines the need for all local authorities to raise the profile of procurement as a strategic tool and to demonstrate both political and officer leadership. It aims to illustrate how to use innovative ways to procure, work in partnership with others and manage services that will better achieve community plan objectives, deliver consistently high quality services, provide savings, build social cohesion, be sustainable, support delivery of e-Government and enable councils to manage and assess risks.

Locally, procurement is affected by the strategic aims and objectives set out in the Community Strategy and the Corporate Plan, and with the other corporate and service based strategies and plans that form elements of the Council's strategic framework.

2.5 Procurement Strategy

The Council's Commissioning and Procurement Strategy, revised in 2009, aims to assist the Council in meeting its objectives, assist the Hartlepool Partnership in the implementation of the Community Strategy, assist in securing continuous improvement and the delivery and realisation of efficiencies, help ensure value for money and economic service provision,

ensure efficient and transparent procurement processes and ensure probity, openness and accountability.

2.6 Links to Efficiency Strategy

The Council aims to improve the efficiency and effectiveness of procurement activity by standardising procedures and implementing procurement systems and maximising the Council expenditure. The 5 Year Procurement Plan will be a key contributor to the Council's Efficiency Strategy.

2.7 Business Transformation Programme

Procurement will play a key role as the Council's programme progresses and the formation of a Corporate Procurement Function will be finalised in time for the new 2010/11 financial year.

As part of the Business Transformation Programme a number of Service Delivery Option studies (SDO's) are planned over the next 3 years. Details of these SDO's have been incorporated into the latest 5 year plan.

3. **CONSIDERATIONS**

- 3.1 The revised plan set out in **Appendix 1** is a flexible document which can be adapted as the Council considers and develops its methods of service delivery, critically challenges existing areas of expenditure and improves planning and purchasing decisions.

Appendix 1 is set out in a number of sections, described below:

- a) Procurement Programmes** – These grids provide outline detail of current and forthcoming procurement exercises.
 - i) Chief Executive's Department Procurement Programme*
 - ii) Child and Adult Services Department Procurement Programme*
 - iii) Corporate Contracts Procurement Programme*
 - iv) Regeneration and Neighbourhoods Department Procurement Programme*
- b) Ongoing Tasks** – These grids provide outline detail of ongoing tasks which do not have specific timeframes attached to them.
 - i) Chief Executive's Department – Ongoing Tasks*
 - ii) Child and Adult Services Department – Ongoing Tasks*
 - iii) Corporate Procurement – Ongoing Tasks*
 - iv) Regeneration and Neighbourhoods Department – Ongoing Tasks*
- c) SDO Programme** – This grid provides outline detail of the forthcoming programme of SDO Reviews

3.2 The Plan acts as a strategic tool to bring together the significant procurement activity of the Council linking with elements of the Council's strategic framework such as:-

- Community Strategy
- Economic Development Strategy
- Sustainable Development Strategy
- Implementing Electronic Government Strategy
- Efficiency Strategy
- Commissioning and Procurement Strategy and Sustainable Procurement Strategy
- Children and Young Peoples Plan (e.g linking with Building Schools for the Future)

3.3 The Plan is required to be delivered in a collaborative way through cross department and cross organisational working. The Council is actively involved regionally with the RIEP (Regional Improvement and Efficiency Partnership) and NEPO (North East Purchasing Organisation) sub regionally with joint procurement exercises in the Tees Valley and locally with SME's (Small and Medium Sized Enterprises) and the VCS (Voluntary Community Sector).

3.4 In terms of the regional picture the RIEP has set out its programme to develop procurement collaboration and the key workstreams are detailed in **Appendix 2**. Cabinet received a report on Regional Collaboration at its meeting on 8th February 2010. The report considered how the Council might develop collaborative procurement and how the RIEP/NEPO may combine to provide a regional "hub" in the future.

4. CONCLUSIONS

4.1 Most of the Council's procurement activities take place within the Departments and the 5 Year Procurement Plan has been through a range of consultations via the Corporate Procurement Group, Corporate Management Team and Departmental Management Teams to provide a position statement and action plan. However, the document will evolve over time as procurement exercises develop.

4.2 Since the last update the Council's register of contracts has been developed and Departments have been active in this process. The development of the new Corporate Procurement Function will enable the Council to produce an organisation wide analysis of spend which will in turn support the movement toward Category Management and the subsequent contracting activities.

4.3 It is intended to rationalise the 5 year plan into a more strategic document as a result of the work being undertaken in Category Management and an update report will be presented to the Portfolio Holder in six months.

5. RECOMMENDATIONS

- 5.1 That the Portfolio Holder approves the updated 5 Year Procurement Plan.

6. CONTACT OFFICER

- 6.1 David Hart
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Leadbitter Buildings
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HARTLEPOOL BOROUGH COUNCIL

5 YEAR PROCUREMENT PLAN

February 2010

APPENDIX 1 – Chief Executive's Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Chief Executives	<u>Back Office / Transactional Services</u>	Procurement of various administrative financial and ICT systems and services to assist BPR and efficiency agenda	A Atkin / C Little/J Machers	Engage resource to deliver Business Transformation e.g. EDRMS, CRM. HR Payroll System Procured.	x	x	x	x	x
Chief Executives	<u>ICT Partnership</u>	Review arrangements	A Atkin	Extension to Sept 2013 agreed and contract variation signed January 2009	x				
Chief Executives	<u>Legal Services</u>	Re-new collaborative arrangement with Private Sector provider	P Devlin	Darlington lead buyer for specialist services and top up support across TV Authorities		x			
Chief Executives	<u>Cash In Transit</u>		Paula Bass	Contract requiring renewal			x		
Chief Executives	<u>Performance Management Solution</u>		David Hunt	Contract requiring renewal				x	
Chief Executives	<u>Insurance (various)</u>		Kevin Shears/Paul Hamilton	Contract requiring renewal				x	
Chief Executives	<u>Print and Mail Service for Local Taxation Demands & Benefits Notifications</u>		Paula Bass	Contract requiring renewal					x

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Integrated Transport Unit</u>	Establish Phase 2 of the Fleet Tender Process to include all client groups within Hartlepool	P Robson		x	x			
Child and Adult Services	<u>Fostering</u>	Provider Partners for the provision of Independent foster placements	T Maley	Completed: Strategic Partnership created with National Fostering Agency	x				
Child and Adult Services	<u>Supporting People</u>	Procure short term SP eligible support services as agreed by Commissioning Body	Phil Hornsby	Completed Services commenced January 08 and Jan 09	x	x			
Child and Adult Services	<u>Supporting People</u>	Procure SP services as agreed by SP Commissioning Body and identified as High priority in 5 year SP Strategy	Phil Hornsby	Completed	x				
Child and Adult Services	<u>Schools Transformation</u>	Publish OJEU for BSF ICT Managed Service Partner	P McIntosh	Completed	x				
Child and Adult Services	<u>Schools Transformation</u>	Place notice to tender for Transport relating to Dyke House decant	P Robson	Administered by the Integrated Transport Unit	x				
Child and Adult Services	<u>Mill House site</u>	Implement a procurement process for a development proposal	J Mennear	Procurement of commercial agent for the Mill House site followed by option appraisal for development and procurement arrangements as required		x	x	x	x

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Mill House site</u>	Deliver Development arrangements	J Mennear	Procurement and delivery will be subject to partner engagement and grant sourcing, ongoing as part of the MHLC review, meanwhile capital bid in place for interim improvements to maintain existing facilities for a short term future.					x
Child and Adult Services	<u>Children's Care</u>	Move from block purchasing of children's day care provision to spot purchasing arrangements	T. Maley	All suppliers have been informed of these changes		x			
Child and Adult Services	<u>Youth Service</u>	Procure case management system for Youth Service	A. Smith	Completed		x			
Child and Adult Services	<u>Tall Ships Festival</u>	Procurements in delivery of Tall Ships Festival and Dockfest 09	J Mennear	Awareness-raising Seminars for local businesses held in Nov/Dec 2008 to highlight 2009 tender opportunities. Various contracts being put in place		x			
Child and Adult Services	<u>Children's Care</u>	Procure new provider of Early Years Outreach Support	D, Swainston	Tender scheduled for February 2009.		x			
Child and Adult Services	<u>Children's Care</u>	Procure provider of Team Around the Primary School project	J Robinson	Tender scheduled for April 2009.		x			

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Children's Care</u>	Procure services of Liquidlogic to enable ICS to link with new Contact Point system	T. Maley	HBC is acting as a national lead on this project for DCSF.		x			
Child and Adult Services	<u>Integrated Transport Unit</u>	Establish further procurement programmes to support the In Control Agenda	P Robson	Further development of Service Agreement		x			

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Schools Transformation</u>	360 View / E-CAF	Ian Merritt/Anne Smith	Procurement through Northgate		x			
Child and Adult Services	<u>Schools Transformation</u>	Select design and build contractor for BSF	P McIntosh	Select by March 19 financial close by July 2010					
Child and Adult Services	<u>Schools Transformation</u>	Select ICT Managed Service Partner and commence Managed Service	P McIntosh	Completed		x			
Child and Adult Services	<u>Schools Transformation</u>	Procure sickness and absence insurance cover for schools	T Maley	Tender scheduled for November 2009.			x		
Child and Adult Services	<u>Young People</u>	–Young People's Substance Misuse Services	I. Merritt	Tender for new service. Summer 2009.			x		
Child and Adult Services	<u>Schools Transformation</u>	Joint tender with Hartlepool PCT for Speech and Language provision	I. Merritt	Service Specification being prepared. Tender in 10/11			x		
Child and Adult Services	<u>Schools Transformation</u>	Procure Outcome Based Accountability toolkit that can be disseminated across the NE LA's	T. Maley	HBC is acting as a regional lead on this project for RIEP			x		
Child and Adult Services	<u>Young People</u>	Procure additional supported housing for vulnerable young people	T. Maley	In partnership with Housing Strategy Team, Supporting People, Housing Hartlepool			x		
Child and Adult Services	<u>Children's Trust</u>	Develop commissioning and procurement agreements within Children's Trust allowing future pooling of resource	I Merritt	Part of workstream activity for the Review of the Children's Trust					x

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Foster Placements</u>		Terry Maley	Contract requiring renewal		x	x	x	x
Child and Adult Services	<u>Residential / SEN Placements</u>		Terry Maley	Contract requiring renewal		x	x	x	x
Child and Adult Services	<u>Residential Placements</u>		Terry Maley	Contract requiring renewal		x	x	x	x
Child and Adult Services	<u>Assessment Training</u>		John Robinson	Contract requiring renewal		x			
Child and Adult Services	<u>Family Living Service</u>		Phil Hornsby	Contract requiring renewal		x			
Child and Adult Services	<u>Transfer of Information from Raven Database to School Database</u>		Tom Argument	Contract requiring renewal		x			
Child and Adult Services	<u>Agency Social Worker DS</u>		Sheila O'Connor	Contract requiring renewal			x		
Child and Adult Services	<u>Agency Social Worker ML</u>		Sheila O'Connor	Contract requiring renewal			x		
Child and Adult Services	<u>Child Death Notification Service</u>		Maureen McEnaney at HBC - Regional Contract S Tyneside Lead Authority	Contract requiring renewal			x		
Child and Adult Services	<u>Implementation and Further Development of the Hartlepool Inclusion Standard</u>		Sue Johnson	Contract requiring renewal			x		

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Advocacy to Children/Young People in Need & Looked After - Provision of</u>		Michael Rowntree	Contract requiring renewal			x		
Child and Adult Services	<u>Drug Education team - 100% Recharged to Hartlepool Schools</u>		Sandra Saint	Contract requiring renewal			x		
Child and Adult Services	<u>E learning Package for Governors</u>		Anne Turner	Contract requiring renewal			x		
Child and Adult Services	<u>LD Advocate</u>		Phil Hornsby	Contract requiring renewal			x		
Child and Adult Services	<u>Primary Strategy Consultant Leader Support</u>		J Sheraton-Wright	Contract requiring renewal			x		
Child and Adult Services	<u>Provision of short stay emergency accommodation for young people</u>		Michael Rowntree	Contract requiring renewal			x		
Child and Adult Services	<u>Support Service to looked after children and carers</u>		Jim Murdoch	Contract requiring renewal			x		
Child and Adult Services	<u>Foster Placement PR</u>		Terry Maley	Contract requiring renewal			x		
Child and Adult Services	<u>Tall Ships Event - Catering Tender</u>		Lesley Strickland	Contract requiring renewal			x		
Child and Adult Services	<u>Home To School Transport</u>		Judith Maughan	Contract requiring renewal			x		
Child and Adult Services	<u>Home to School - Primary Swim Routes</u>		Judith Maughan	Contract requiring renewal			x		

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Research With Young People re Extremism</u>		Kelly Moss	Contract requiring renewal			x		
Child and Adult Services	<u>Funeral services - Provision of</u>		Phil Hornsby	Contract requiring renewal			x		
Child and Adult Services	<u>Carers Identity Card Service</u>		Wendy Ashcroft	Contract requiring renewal			x		
Child and Adult Services	<u>Carers Information Service</u>		Wendy Ashcroft	Contract requiring renewal			x		
Child and Adult Services	<u>Contact Point Management Support</u>		Pam Swainson	Contract requiring renewal			x		
Child and Adult Services	<u>Contact Point User Management & Training</u>		Pam Swainson	Contract requiring renewal			x		
Child and Adult Services	<u>Assertive Outreach Service</u>		Terry Maley	Contract requiring renewal				x	
Child and Adult Services	<u>Childrens Fund Activities & Mentoring</u>		Terry Maley	Contract requiring renewal				x	
Child and Adult Services	<u>Domestic Abuse Support</u>		John Robinson	Contract requiring renewal				x	
Child and Adult Services	<u>Family Group Conferences</u>		Sheila O'Connor	Contract requiring renewal				x	
Child and Adult Services	<u>Fathers Support</u>		John Robinson	Contract requiring renewal				x	
Child and Adult Services	<u>Home Safety Equipment Scheme</u>		Terry Maley	Contract requiring renewal				x	
Child and Adult Services	<u>Management of Supported Lodgings Scheme</u>		Terry Maley	Contract requiring renewal				x	

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Mental Health</u>		John Robinson	Contract requiring renewal				x	
Child and Adult Services	<u>Outreach Support Package Early Years</u>		Terry Maley	Contract requiring renewal				x	
Child and Adult Services	<u>Parents Support</u>		John Robinson	Contract requiring renewal				x	
Child and Adult Services	<u>Post Adoption Service - Provision of</u>		Terry Maley	Contract requiring renewal				x	
Child and Adult Services	<u>Provide a benefit advice service across the 5 localities</u>		Danielle Swanson	Contract requiring renewal				x	
Child and Adult Services	<u>Provided locally based savings and low cost loans service to parents, carers and children aged under 5</u>		Danielle Swanson	Contract requiring renewal				x	
Child and Adult Services	<u>Provision of a Connected Care Service within the Owton Ward</u>		Phil Hornsby	Contract requiring renewal				x	
Child and Adult Services	<u>Provision of Assessment and Services to Carers in Hartlepool</u>		Tammy Emery	Contract requiring renewal				x	
Child and Adult Services	<u>Substance Misuse</u>		John Robinson	Contract requiring renewal				x	
Child and Adult Services	<u>Day centre places : for people with EMI 70 day care places per</u>		Phil Hornsby	Contract requiring renewal				x	

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
	<u>weekday 14</u> <u>Saturday places</u> <u>p.w. for 50 weeks -</u> <u>Provision of</u>								
Child and Adult Services	<u>E learning Package</u>		Terry Maley	Contract requiring renewal				x	
Child and Adult Services	<u>Protocol System implementation and Maintenance</u>		Ian Meritt	Contract requiring renewal				x	
Child and Adult Services	<u>Services for People with a visual impairment</u>		Phil Hornsby	Contract requiring renewal				x	
Child and Adult Services	<u>Specialist Services & Information for Young People</u>		Peter Davies	Contract requiring renewal				x	
Child and Adult Services	<u>Stairlift Provision, Installation & Maintenance</u>		Phil Hornsby	Contract requiring renewal				x	
Child and Adult Services	<u>Day Centre - Hindus and Sikhs</u>		Phil Hornsby	Contract requiring renewal				x	
Child and Adult Services	<u>Residential Rehabilitation and Transactional Care Services</u>		Phil Hornsby	Contract requiring renewal				x	
Child and Adult Services	<u>Provision of Emergency Home Based Respite Support Service for Carers (Short Term)</u>		Phil Hornsby	Contract requiring renewal				x	
Child and Adult Services	<u>Independent Visitors Service for Children/Young</u>		Michael Rowntree	Contract requiring renewal				x	

APPENDIX 1 – Child and Adult Services Department Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
	<u>People - Provision of</u>								
Child and Adult Services	<u>Independent Persons for Stage 2 complaints - Provision of</u>		Michael Rowntree	Contract requiring renewal					x
Child and Adult Services	<u>Care Navigation Services</u>		Phil Hornsby	Contract requiring renewal					x
Child and Adult Services	<u>Strategic Partnership with Independent Fostering Agencies</u>		Terry Maley	Contract requiring renewal					x
Child and Adult Services	<u>Mental health moving on day services</u>		Wendy Ashcroft	Contract requiring renewal					x
Child and Adult Services	<u>Children's Care</u>	Explore feasibility of extending Adults Partnership with TCES to cover schools	T. Maley	This relates to the provision of specialist equipment for children with special needs			x		

APPENDIX 1 – Corporate Contracts Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Corporate	<u>Corporate Services</u>	Procure and implement new Performance Management Database	D Hunt	COMPLETED - New performance management system procured and implemented in line with timescales	x				
Corporate	<u>Corporate Services</u>	Review postal arrangements (efficiency / procurement)	C Armstrong / K Burke	SCRUTINY COMPLETED. Introduced efficiencies from April 2008 - Trial with alternative postal provider commenced in October 2008 Pilot progressed with OGC Procurement during Feb /March 2010	x				
Corporate	<u>Corporate Services</u>	Procurement of consultants for Business Transformation Programme	A Atkin	COMPLETED - Consultants appointed in May 2008. BT Programme reported to Cabinet in January 2009	x				
Corporate	<u>Corporate Services</u>	Procure new Agency Staff contracts	G Frankland	COMPLETED - Via Tees Valley collaboration contract		x			
Corporate	<u>Workforce Development</u>	Procurement of a framework agreement for training and development activity		COMPLETED - Tender Award March 2009 with additional work on "social services" also completed		x			
Corporate	<u>Corporate Services</u>	Managed Print Services	C Armstrong / K Burke / J Bulman	Printing framework contract completed		x			
Corporate	<u>Franking Machines</u>	NEPO Contract	Karen Burke	Contract requiring renewal		x			
Corporate	<u>Vehicle Lubricants</u>	NEPO Contract	Karen Burke	Contract requiring renewal		x			
Corporate	<u>Book Binding Services</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		

APPENDIX 1 – Corporate Contracts Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Corporate	<u>Genuine Vehicle Parts</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Horticultural Supplies</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Library Books</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Non Genuine Vehicle Parts</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Sanitary and Nappy Disposal/Vending Units</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Wheeled Bins</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Supply of Snack Foods</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Carpets and Floorcoverings and Carpet Fitting and Floorlaying</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Tyres Tubes and Batteries</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Advertising Service - (including recruitment and public notices)</u>	NEPO Contract	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Window Cleaning - Various Sites</u>	Tees Valley Contract	Damian Eggermont	Contract requiring renewal			x		
Corporate	<u>Catering Disposables & Light Kitchen Equipment</u>	NEPO Contract	Karen Burke	Contract requiring renewal				x	

APPENDIX 1 – Corporate Contracts Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Corporate	<u>Vending Machines and the Supply of Non-Alcoholic Beverages</u>	NEPO Contract	Karen Burke	Contract requiring renewal				x	
Corporate	<u>Water Dispensers</u>	NEPO Contract	Karen Burke/Colin Bolton	Contract requiring renewal or use alternative arrangements				x	
Corporate	<u>Horticultural and Grounds Maintenance Equipment</u>	NEPO Contract	Karen Burke	Contract requiring renewal				x	
Corporate	<u>Travel Arrangements</u>	NEPO Contract	Karen Burke	Contract requiring renewal					x
Corporate	<u>Pest Control Products</u>	NEPO Contract	Karen Burke	Contract requiring renewal					x
Corporate	<u>Office Furniture</u>	NEPO Contract	Karen Burke	Contract requiring renewal					x
Corporate	<u>Window Blinds - Supply & Installation</u>	NEPO Contract	Karen Burke	Contract requiring renewal					x
Corporate	<u>Stationery</u>	NEPO Contract	Karen Burke	Contract requiring renewal.					
Corporate	<u>Maintenance of kitchen equipment</u>	Procurement	Karen Burke/Colin Bolton	Contract requiring renewal					
Corporate	<u>Interpretation Services</u>	Central Services	Karen Burke	Contract requiring renewal			x		
Corporate	<u>Translation Services</u>	Central Services	Karen Burke	Contract requiring renewal			x		

APPENDIX 1 – Regeneration and Neighbourhoods Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Regeneration and Neighbourhoods	<u>Affordable Housing Sites</u>	Procurement process	D Gouldburn	Cabinet agreed the policy towards disposal of HBC land for affordable housing on 7.7.08.- . Progressing discussions with potential RSL partners on Surtees Street and Golden Flatts sites with a view to supporting funding bids to HCA. Also working with Housing Hartlepool on HMR sites to secure land for redevelopment which will include elements of affordable housing.	x	x			
Regeneration and Neighbourhoods	<u>Central Area Development Framework</u>	Procure and implement schemes	R Smith	Identification, acquisition and clearance of buildings within Innovation and Skills Zone. Consideration options for relocation of Lynn Street Depot and development of alternative uses for the site. Investigate opportunities for Digital City satellite and/ or managed workspace. <i>Seek funding to implement 'place shaping' improvements around Church Square and Stockton Street.</i>	x	x	x	x	x
Regeneration and Neighbourhoods	<u>Oakesway Development Options Feasibility Study</u>	Procure study in association with land owners	A Steinberg	This has been carried out through the Hartlepool Employment Land Review Document.	x				
Regeneration and Neighbourhoods	<u>Environment and Waste Management Services</u>	Dog Wardens Service	Craig Thelwell	Report sent to Portfolio Holder and approval given to go out to tender. Further consideration needed in respect of 'out of hours' aspect of the contract, and whether it will be beneficial to tap into the NEPO contract for this particular aspect. NEPO contract is not due to go out to tender until March.	x				

APPENDIX 1 – Regeneration and Neighbourhoods Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Regeneration and Neighbourhoods	<u>Environment and Waste Management Services</u>	Abandoned and untaxed vehicles	Craig Thelwell	Possible 3rd sector involvement. Report sent to Portfolio Holder and approval given to go out to tender. Further information being sought about new disposal regulations, which may have an impact on the contract. This is an issue that has been brought to the attention of the Tees Valley Joint Procurement Group.	x				
Regeneration and Neighbourhoods	<u>Environment and Waste Management Services</u>	Weed Control	Albert Cope	New contract for 3 years will be completed with contractor by end of February 2009.	x				
Regeneration and Neighbourhoods	<u>Energy</u>	Procure and implement automatic meter reading via NEPO	A Williams / K Lucas	All now agreed and phased implementation commencing on site in Feb 2009.	x				
Regeneration and Neighbourhoods	<u>Café Extension at Sure Start Building, Hindpool Close</u>	Procure Contractor	Roger Kennedy	This is a 14 week contract beginning mid Jan 2010.		x			
Regeneration and Neighbourhoods	<u>Demolition Baths Site Toilet</u>	Demolition Works	D Hancock	Contract required		x			
Regeneration and Neighbourhoods	<u>Environment and Waste Management Services</u>	Household Waste Recycling Centre	Colin Ogden	Contract awarded in partnership with Redcar and Cleveland B.C. in April 2009 for 3 years with possible extension for up to 2 years.		x			
Regeneration and Neighbourhoods	<u>Headland seawall repairs 09/10</u>	Ongoing Construction Contract	D Hancock	Contract requiring renewal		x	x		
Regeneration and	<u>Headland Seawall Study</u>	Procure and implement study	D Hancock	Contract requiring renewal		x	x		

APPENDIX 1 – Regeneration and Neighbourhoods Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Neighbourhoods									
Regeneration and Neighbourhoods	<u>Monitoring of Longhill and Sandgate CCTV System</u>	CCTV monitoring provision	Israr Hussain	Contract requiring renewal (in liaison with Housing Hartlepool)		x	x	x	x
Regeneration and Neighbourhoods	<u>Seaton Coast Protection Strategy Study</u>	Ongoing Consultant Study Contract	D Hancock	Contract requiring renewal		x	x		
Regeneration and Neighbourhoods	<u>Southern Business Zone</u>	Procure and implement schemes	A Steinberg	Contracts required		x	x	x	
Regeneration and Neighbourhoods	<u>Town Wall Coast Protection Strategy Study</u>	Ongoing Consultant Study Contract	D Hancock	Contract requiring renewal		x	x		
Regeneration and Neighbourhoods	<u>Transport Interchange</u>	Ongoing Construction Contract	D Wilson	Contract requiring renewal		x	x		
Regeneration and Neighbourhoods	<u>Integrated Transport Unit</u>	Ensure co ordinated Supported Service tender	P Robson	Contract complete		x			
Regeneration and Neighbourhoods	<u>Environment and Waste Management Services</u>	Household Waste Recycling Centre	Colin Ogden/David Wilson	Extension to present Site to accommodate further recycling facilities including reuse and education centre		x			
Regeneration and Neighbourhoods	<u>Seaton Carew – Community/Housing Site</u>	Procure developer	Andy Golightly	Consultation on sites completed and reported to Cabinet 01/10. Delay in marketing until market conditions improve. Developer with then be procured		x			

APPENDIX 1 – Regeneration and Neighbourhoods Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Regeneration and Neighbourhoods	Primary Capital Programme	<u>Selection of a Contractor Partner for the Construction of the Replacement Jesmond Road Primary School</u>	Colin Bolton	Procurement Completed		x			
Regeneration and Neighbourhoods	<u>Environment and Waste Management Services</u>	Bring Recycling Centres	Fiona Srogi	Will be procured in 2010/11 for the 5 Tees Valley authorities (or when upturn in markets takes place). - This will involve the rationalisation of bring centres in Hartlepool.		x			
Regeneration and Neighbourhoods	<u>Headland Seawall Upgrade</u>	Procure and implement schemes	D Hancock	Contract required			x	x	x
Regeneration and Neighbourhoods	<u>Powlett Rd Drainage</u>	Procure and implement schemes	D Hancock	Contract required			x		
Regeneration and Neighbourhoods	<u>Seaton Carew Coast Protection Works Phase 1</u>	Procure and implement schemes	D Hancock	Contract required			x		
Regeneration and Neighbourhoods	<u>Tees Valley Bus Corridor Network</u>	Procure projects as part of 3 year programme	P Frost	3 Year programme mixed delivery of in-house and tendered projects.			x	x	x
Regeneration and Neighbourhoods	<u>Town Wall Coast Protection Works</u>	Procure and implement schemes	D Hancock	Contract required			x	x	
Regeneration and Neighbourhoods	Property Management	<u>Air Fresheners - Civic Centre</u>	Albert Williams	Contract requiring renewal			x		

APPENDIX 1 – Regeneration and Neighbourhoods Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Regeneration and Neighbourhoods	Training	<u>Delivery of Employment and Training Programmes for Various Neighbourhood Action Plan areas in Hartlepool</u>	Karen Oliver	Contract requiring renewal			x		
Regeneration and Neighbourhoods	Waste	<u>Kerbside Recycling</u>	Colin Ogden	Contract extended until September 2010 and will be further reviewed during 2010-11			x		
Regeneration and Neighbourhoods	Tall Ships	<u>Tall Ships Event Merchandising Contract</u>	Jo Cole	Contract required			x		
Regeneration and Neighbourhoods	<u>Seaton Carew – Fairground/Development Site</u>	Procure Developer	Andy Golightly	The timescales regarding this have changed following unsuccessful Sea Change application. Master planning work will be completed in 2010 and will be used to support future funding bids in association with Sea Defence improvements. Marketing of Seaton Sands development site will be considered as part of this process, as market conditions allow.				x	x
Regeneration and Neighbourhoods	<u>Seaton Carew Coast Protection Works Phase 2</u>	Procure and implement schemes	D Hancock	Contract required				x	
Regeneration and Neighbourhoods	Equipment	<u>Hand Held Mechanical Equipment</u>	Karen Burke	Contract requiring renewal				x	
Regeneration and Neighbourhoods	Health and Social Care	<u>Host Organisation to establish Hartlepool's</u>	Graham Frankland	Contract requiring renewal (depending on funding)				x	

APPENDIX 1 – Regeneration and Neighbourhoods Procurement Programme

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
		<u>Local Involvement Network</u>							
Regeneration and Neighbourhoods	<u>Seaton Carew Coast Protection Works Phase 3</u>	Procure and implement schemes	D Hancock	Contract required					x
Regeneration and Neighbourhoods	<u>Payment for parking by mobile phone - Provision of system to enable</u>	Car Parking	Steve Webster	Contract required					x
Regeneration and Neighbourhoods	<u>Supported Bus Services 2009</u>	Transport	Geoff Knowlson	The next tender for supported Bus services will be carried out by the joint Public Transport group.					x
Regeneration and Neighbourhoods	<u>A689 / Burn Rd Junction</u>	Procure and implement schemes	D Wilson	Contract required					
Regeneration and Neighbourhoods	<u>Strategic Partnership for Maintenance and Minor Works</u>	Review and Renew Contract	A Williams / C Bolton		x	x			
Regeneration and Neighbourhoods	<u>Housing Market Renewal Programme</u>	Implement development scheme	N Johnson	In conjunction with partners a 4 yr delivery programme of acquisitions to assemble various sites		x	x	x	

APPENDIX 1 – Chief Executive's Department – Ongoing Tasks

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Chief Executives	<u>Back Office / Transactional Services</u>	Procurement of various administrative financial and ICT systems and services to assist Business Transformation and efficiency agenda	J Maders	HR/Payroll system – procured					
Chief Executives	<u>ICT Partnership</u>	Review Contract	A Atkin	Commencing Nov 2011 to complete by September 2013					

APPENDIX 1 – Child & Adult Services Department – Ongoing Tasks

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Schools Transformation (BSF)</u>	Submit BSF Outline Business Cases (OBC)	P Briggs	Sample School COMPLETED. Future Schools to be progressed	x				
Child and Adult Services	<u>Schools Transformation</u>	Re-configure existing provision for providing debt advice to families with young children	D. Swainson						
Child and Adult Services	<u>Schools Transformation BSF/PCP</u>	Review arrangements with external consultants on BSF/PCP	P McIntosh/I Merritt	Review current contracts					
Child and Adult Services	<u>Schools Transformation (PCP)</u>	First phase projects procurement and construction	P McIntosh	Jesmond Road and Rossmere Schools			x		
Child and Adult Services	<u>Schools Transformation (PCP)</u>	Second phase projects planned	P McIntosh	Subject to outcomes of next CSR and announcement on available finance			x		
Child and Adult Services	<u>Schools Transformation</u>	Deliver “Machinery of Government” project	I Merritt	Relates to work of the LSC being disaggregated into LA's.					
Child and Adult Services	<u>Book Purchasing</u>	Continued review and implementation of arrangements in collaboration with other LA's	J Mennear	To further collaborate NE Local Authorities on procurement exercise of book stocks which seeks to develop further efficiencies					
Child and Adult Services	<u>Schools Transformation</u>	Review harmonised documents to make them fit social care service provision	T. Maley	Regional activity In collaboration with Phil Hornsby					

APPENDIX 1 – Corporate Procurement – Ongoing Tasks

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Corporate	<u>Collaboration</u>	Link with RIEP activity via "Collaboration North East"	G Frankland	Including Departmental Reps. Potential funding and development opportunities					
Corporate	<u>Collaboration</u>	Continually review consortium arrangements e.g. NEPO, YPO	K Burke	Including Departmental Reps Engage in collaborative contracts					
Corporate	<u>Collaboration</u>	Develop Tees Valley sub regional work	D Hart	Joint and lead procurement development					
Corporate	<u>Corporate Services</u>	Review all corporate contracts and renewal dates including Tees Valley collaboration potential	K Burke	Include goods/ services not currently on contract. Consider aggregation and collaboration					
Corporate	<u>Corporate Services</u>	Implement procurement processes as required	D Hart	Renew / retender / new contracts					
Corporate	<u>Member Involvement</u>	NEPO participation	D Hart	Councillors L Sutheran, R Payne and P Laffey are the Council's representatives					
Corporate	<u>North East Purchasing Organisation</u>	Contribute to NEPO Strategy with other Local Authorities	D Hart	Consider HBC and regional requirements					
Corporate	<u>Procurement Strategy</u>	Procurement Guide for Staff	D Hart	On Intranet					
Corporate	<u>Project and Programme Management Framework</u>	Undertake Gateway Reviews within relevant procurements	G Frankland / A Atkin	Gates 0 and 1 completed on Construction Professional Services Procurement Gate 0 completed on ICT contract (NB ICT contract extended to 2013) Gates 0 and 1 completed on Building Schools for the Future.					

APPENDIX 1 – Corporate Procurement – Ongoing Tasks

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
				Gates 0 and 1 completed on Tees Valley Bus Network project					
Corporate	<u>Training Staff</u>	Link with HBC Leadership Management Development Programme (LMDP)	D Hart	Procurement module on LMDP Phase 2 in place and with further training being developed					
Corporate	<u>Suppliers</u>	Selling to the Council Guide	D Hart	Council website					
Corporate	<u>Suppliers</u>	Meet the buyer events	D Hart / M Emerson	Successful "Meet the Buyer" event held June 2008 for general suppliers to HBC. Specific events for Tall Ships now commenced, utilising Hartlepool Business Forum and internal resources – 3 events around Tall Ships Procurement undertaken in quarter 3 2008/09 to raise awareness for 2009 tendering opportunities. - Tender Adverts commencing Feb 2009 - Specific events for BSF & PCP held					
Corporate	<u>Suppliers</u>	E procurement development	M Emerson	SME Training opportunities via Economic Development and Business Link					
Corporate	<u>Suppliers</u>	Link Suppliers to NEPO Contract arrangements	M Emerson / D Hart	Utilisation of "Hartlepool Enterprise" magazine, business database and local knowledge to ensure that awareness of procurement opportunities is spread as widely as possible - including VCS via HVDA					
Corporate	<u>Staff</u>	Training on FMS and E-Series	K Shears	Training via Finance Officers Group and specific targeted user training					

APPENDIX 1 – Corporate Procurement – Ongoing Tasks

Department	Title	Activity	Lead Officer	Comments	08/09	09/10	10/11	11/12	12/13
Corporate	<u>Procurement Strategy</u>	5 Year Procurement Plan	D Hart	Review through Portfolio Holder					
Corporate	<u>Procurement Strategy and Commissioning and Member Involvement</u>	Review of Corporate Procurement Strategy	D Hart	Review through Portfolio Holder					
Corporate	<u>Procurement Strategy and Member Involvement</u>	Review Sustainable Procurement Strategy	D Hart	Review through Portfolio Holder					
Corporate	<u>E Procurement</u>	E Recruitment Portal	J Machers	Develop North East Collaborative Project					
Corporate	<u>E Procurement</u>	Roll out E procurement element of FMS	K Shears						
Corporate	<u>E Procurement</u>	Procurement cards	K Shears / Department Reps	Expansion of use - Consider option to change cards to Mastercard and introduce monitoring arrangements with Smartcards online					
Corporate	<u>Contract Procedure Rules</u>	Regular review of existing rules	D Hart	Endorsed by Portfolio Holder and approval by constitution Committee and Council					
Corporate	<u>E Procurement</u>	E tendering	U Larkin	Commence first phase Via NEPO Portal					

Regeneration and Neighbourhoods	<u>Southern Business Zone</u>	Complete development / implementation plan	A Steinberg	Single Programme funded study to identify development/ regeneration options for the SBZ Completed.					
Regeneration and Neighbourhoods	<u>Housing Market Renewal Programme</u>	CPO Process / Inquiry and specialist consultants	N Johnson / P Devin / D Clarke	Review contract arrangements					
Regeneration and Neighbourhoods	<u>Oakesway Development Options Feasibility Study</u>	Support implementation plans	A Steinberg						
Regeneration and Neighbourhoods	<u>Oakesway Development Options Feasibility Study</u>	Discuss development options with land owners and funders	A Steinberg						
Regeneration and Neighbourhoods	<u>Integrated Transport Unit</u>	Establish a Central Procurement Fleet Timetable within the Tees Valley, in order to progress further collaboration with Local Authorities	P Robson	Review the current structure of the Tees Valley Fleet Partnership in order to include specialist groups					
Regeneration and Neighbourhoods	<u>Vehicles</u>	Develop further opportunities for joint purchasing / working with the Tees Valley Authorities	A Smith/ P Robson						
Regeneration and Neighbourhoods	<u>Housing Market Renewal Programme</u>	Draft Heads of Terms/Dev't Agreement	N Johnson / Estates Manager	In conjunction with funding and local partners seeking to maximize opportunities linked to development sites					
Regeneration and Neighbourhoods	<u>Energy</u>	Review existing gas supply arrangements with NEPO	A Williams / D Hart	Flexible purchasing agreement in place and due for renewal by 2011					

					x		
Chief Executives	<u>Audit, Accountancy, Financial Management</u>	Chris Little			x		
Child and Adult Services	<u>Childrens Social Care Disability Team</u>	Sally Robinson			x		
Child and Adult Services	<u>Connexions - Youth Service</u>	Sue Johnson			x		
Child and Adult Services	<u>Duty Team</u>	Sally Robinson			x		
Child and Adult Services	<u>Family Resource Teams</u>	Sally Robinson			x		
Chief Executives	<u>HR</u>	Joanne Machers			x		
Chief Executives	<u>Payments / Transactional Services</u>	Kevin Shears			x		
Child and Adult Services	<u>Prevention Services</u>	Sally Robinson			x		
Child and Adult Services	<u>Strategic Commissioning</u>	Jill Harrison			x		
Child and Adult Services	<u>Strategic Commissioning for Children</u>	Jill Harrison			x		
Child and Adult Services	<u>Supporting People</u>	Jill Harrison			x		
Regeneration and Neighbourhoods	<u>Waste Management</u>	Denise Ogden			x		
Chief Executives	<u>Printing and Reprographics</u>	C Armstrong			x		
Regeneration and Neighbourhoods	<u>Engineering and Building Consultancy</u>	Graham Frankland			x		
Regeneration and Neighbourhoods	<u>Engineering and Building Consultancy</u>	Alastair Smith			x		
Regeneration and Neighbourhoods	<u>Facilities Management</u>	Denise Ogden			x		
Chief Executives	<u>Printing and Reprographics</u>	C Armstrong			x		
Chief Executives	<u>E-Government</u>	Joan Chapman			x	x	x
Chief Executives	<u>ICT</u>	Joan Chapman			x	x	x
Chief Executives	<u>Business Transformation</u>	Andrew Atkin			x		
Chief Executives	<u>Consultation</u>	Andrew Atkin			x		
Chief Executives	<u>Democratic Services</u>	Andrew Atkin			x		

APPENDIX 1 – SDO Programme

Department	Title	Lead Officer	08/09	09/10	10/11	11/12	12/13
Chief Executives	<u>LSP</u>	Andrew Atkin			x		
Chief Executives	<u>Member Services</u>	Andrew Atkin			x		
Chief Executives	<u>Policy and Performance</u>	Andrew Atkin			x		
Chief Executives	<u>Public Relations</u>	Andrew Atkin			x		
Chief Executives	<u>Scrutiny</u>	Andrew Atkin			x		
Child and Adult Services	<u>Adult Social Operation</u>	John Lovatt				x	
Chief Executives	<u>Benefits</u>	John Morton				x	
Child and Adult Services	<u>Carlton Camp</u>	Tom Argument				x	
Child and Adult Services	<u>Children's Centres and Early Years</u>	Danielle Swanson				x	
Chief Executives	<u>Elections</u>	Peter Devlin				x	
Child and Adult Services	<u>Extended Schools</u>	Danielle Swanson				x	
Chief Executives	<u>Fraud</u>	John Morton				x	
Child and Adult Services	<u>Grants to Community and Voluntary Organisations (funding agreed by Members)</u>	John Mennear / Pat Usher				x	
Regeneration and Neighbourhoods	<u>Grounds Maintenance</u>	Denise Ogden				x	
Chief Executives	<u>Land Charges</u>	Peter Devlin				x	
Chief Executives	<u>Legal</u>	Peter Devlin				x	
Child and Adult Services	<u>Libraries</u>	John Mennear / Graham Jarritt				x	
Chief Executives	<u>Means Tested Services</u>	John Morton				x	
Regeneration and Neighbourhoods	<u>Neighbourhood Management</u>	Denise Ogden				x	
Regeneration and Neighbourhoods	<u>Parks & Countryside</u>	Denise Ogden				x	
Child and Adult Services	<u>Play Facilities</u>	John Mennear / Pat Usher				x	
Child and Adult Services	<u>Play Provision / Strategy</u>	Danielle Swanson				x	

APPENDIX 1 – SDO Programme

Department	Title	Lead Officer	08/09	09/10	10/11	11/12	12/13
Child and Adult Services	<u>Provider Services including day opportunities, domiciliary care, floating support services and employment services</u>	John Lovatt				x	
Regeneration and Neighbourhoods	<u>Public Protection</u>	Alison Mawson				x	
Regeneration and Neighbourhoods	<u>Regeneration</u>	Geoff Thompson				x	
Chief Executives	<u>Revenues</u>	John Morton				x	
Child and Adult Services	<u>SEN and Educational Psychology</u>	Zoe Westley				x	
Child and Adult Services	<u>Social Inclusion / Vulnerable Pupils</u>	Zoe Westley				x	
Child and Adult Services	<u>Sports and Recreation - including school swimming pools / tuition</u>	Sandra Saint				x	
Regeneration and Neighbourhoods	<u>Street Cleansing</u>	Denise Ogden				x	
Chief Executives	<u>Working Neighbourhood Fund</u>	CMT / Andrew Atkin				x	
Regeneration and Neighbourhoods	<u>Facilities Management</u>	Denise Ogden				x	
Child and Adult Services	<u>Adult Education</u>	John Mennear					x
Child and Adult Services	<u>Adult Social Care Commissioning MH / LD / DI's and OP</u>	To be determined					x
Child and Adult Services	<u>Adult Social Care Teams - including safeguarding / intermediate care / MH / LD / DI's and OP</u>	To be determined					x
Regeneration and Neighbourhoods	<u>Affordable Housing</u>	Alison Mawson					x
Regeneration and Neighbourhoods	<u>Asset and Property</u>	Graham Frankland					x
Regeneration and Neighbourhoods	<u>Car Parking and Depot</u>	Alastair Smith					x
Child and Adult Services	<u>Community Safety, DAT, ASB, YOS, FIP (and drugs intervention)</u>	Alison Mawson					x

APPENDIX 1 – SDO Programme

Department	Title	Lead Officer	08/09	09/10	10/11	11/12	12/13
Chief Executives	<u>Contact Centre</u>	Joanne Machers					X
Chief Executives	<u>Customer Services</u>	Joanne Machers					X
Regeneration and Neighbourhoods	<u>Development and Building Control</u>	Stuart Green					X
Regeneration and Neighbourhoods	<u>Economic Development</u>	Stuart Green					X
Child and Adult Services	<u>Heritage</u>	John Mennear					X
Regeneration and Neighbourhoods	<u>Highways Services</u>	Alastair Smith					X
Regeneration and Neighbourhoods	<u>Housing Market Renewal</u>	Geoff Thompson					X
Regeneration and Neighbourhoods	<u>Housing Options (advice and support)</u>	Alison Mawson					X
Regeneration and Neighbourhoods	<u>Housing Strategy</u>	Alison Mawson					X
Regeneration and Neighbourhoods	<u>Integrated Transport Unit</u>	Alastair Smith					X
Regeneration and Neighbourhoods	<u>Landscape and Conservation</u>	Stuart Green					X
Child and Adult Services	<u>Museum</u>	John Mennear					X
Child and Adult Services	<u>Primary and Secondary / National Strategies</u>	To be determined					X
Regeneration and Neighbourhoods	<u>Private Housing (grants / loans and enforcement)</u>	Geoff Thompson					X
Chief Executives	<u>Registrars</u>	Joanne Machers					X
Child and Adult Services	<u>School Admissions</u>	To be determined					X
Child and Adult Services	<u>Schools Transformation Strategy and Commissioning</u>	To be determined					X
Regeneration and Neighbourhoods	<u>Special Needs</u>	Geoff Thompson					X

APPENDIX 1 – SDO Programme

Department	Title	Lead Officer	08/09	09/10	10/11	11/12	12/13
Regeneration and Neighbourhoods	<u>Special Planning (LDF)</u>	Stuart Green					X
Child and Adult Services	<u>Strategic Arts and Events - e.g. Tall Ships</u>	John Mennear					X
Regeneration and Neighbourhoods	<u>Strategic Transport Policy</u>	Stuart Green					X
Child and Adult Services	<u>Total Social Care Commissioning (Adult and Childrens)</u>	To be determined					X
Regeneration and Neighbourhoods	<u>Traffic and Transport Services</u>	Alastair Smith					X

Collaboration North East

APPENDIX 2

Project Title	Description
Policy and Practice Harmonisation	<p>This project is focused on developing a collaborative approach to procurement across the region where collaboration adds value to the procurement. This will be achieved through the harmonisation of current regional local authority policy frameworks relevant to procurement activity in the following key areas: Financial (Standing Orders/Contract Procedure Rules), Sustainability, Equalities and Diversity, Health and Safety, Collaborative Procurement, Workforce Employment and the production of a Multi Sector Agreement.</p>
Category Spend Planning and Category Management	<p>The project involves the Proof of Concept, development and implementation of strategic category management and analysis approach to collaboration.</p> <ul style="list-style-type: none"> • Carry out high level study of existing good practise re Collaborative Arrangements • Arrange a Category Management 'Awareness' Workshop externally facilitated. • Development of Categories for Phase 1 • Develop proposal for Category Management
Commerce Interface	<p>The objective of the project is to ensure that the harmonisation procurement documents that have been produced by NECE are adopted by all local authorities and that the necessary infrastructure and governance is put in place to keep the documents up to date, further develop them as required and manage and publish any changes.</p> <p>The key facts document also contains the processes associated with Supplier Registration & Accreditation and the Portal Roll Out</p>
Capacity Management and Mobilisation:	<p>This theme is concerned with ensuring that the appropriate regional leadership and capability are in place to deliver the savings and benefits that regional collaboration using a category based planning approach brings.</p> <ul style="list-style-type: none"> • Political governance and operational framework review • Capability Reviews • Capability Development Programme • Systems

APPENDIX 2

Project Title	Description
Demand and Supply Side Intelligence	<p>The key objective is to develop a repository of procurement intelligence, integrated from multiple supply and demand sources that can be packaged for specific user requirements and deployed across the web to every decision maker. Scalable, in both data and performance, to meet the needs of a growing community of users.</p> <p>This will provide a rich intelligence to a regional community of stakeholders, to realise the greater potential for regional collaborative procurement using a category based planning approach to contribute, through a partnership approach, to service improvement and market development to achieve significant social, economic and environmental outcomes for the North East</p>

FINANCE AND PERFORMANCE PORTFOLIO

Report to Portfolio Holder

23rd February 2010



Report of: Chief Personnel Officer

Subject: SINGLE STATUS AGREEMENT APPEALS

SUMMARY

1. PURPOSE OF REPORT

To provide an update on progress on appeals received and obtain ratification of Appeals Panel outcomes in respect of High Priority Appeals.

2. SUMMARY OF CONTENTS

The report provides a background to the Appeals Procedure together with an update on the progress of appeals received and requests ratification of Appeals Panel outcomes in respect of High Priority Appeals

3. RELEVANCE TO PORTFOLIO MEMBER

Corporate Issues.

4. TYPE OF DECISION

Non Key.

5. DECISION MAKING ROUTE

Portfolio meeting only.

6. DECISION(S) REQUIRED

To note progress on appeals received and ratify Appeals Panel outcomes in respect of High Priority Appeals.

Report of: Chief Personnel Officer

Subject: SINGLE STATUS AGREEMENT APPEALS

1. PURPOSE OF REPORT

- 1.1 To provide an update on progress on appeals received and obtain ratification of Appeals Panel outcomes in respect of High Priority Appeals.

2. BACKGROUND

- 2.1 The Single Status Appeals Procedure was agreed at the Performance Portfolio Holder meeting on 27 June 2008.

- 2.2 The agreed procedure provides

- “The Executive Member with responsibility for HR will be regularly advised of appeals received and progress made in dealing with them” and
- “All Appeal Panel outcomes must be ratified by the Executive Member with responsibility for HR or Governors (Governing Body, Pay Review Committee or Appeals Committee), as appropriate, prior to any changes being implemented.”

- 2.4 Provision for the ongoing costs of appeal outcomes has been made in the Council's base budget since 2007/08 to meet the cost of implementing any successful appeals from 1st April 2007. This provision was initially set at £400,000, inclusive of employers national insurance and pension costs, for 2007/08. This figure has been increased in the budget by the annual cost of living pay award and at 2009/10 prices amounts to £415,000. Schools have made separate provision in their own budgets for appeals by school staff.

3. PROGRESS ON APPEALS

- 3.1 Appeals currently outstanding are shown in the following table.

Department	Intention to Appeal submitted but appeal not submitted yet	Appeals Received/Priority				
		High	Medium	Low	Very Low	Total
Chief Executive's	0	17	60	4	3	84
Child and Adults	0	46	64	55	7	172
Regeneration and Neighbourhoods	0	42	60	54	7	163
Schools	0	8	6	6	0	20
Total	0	113	190	119	17	439

4. APPEAL PROCESS

- 4.1 Administrative arrangements are in place to process the appeals and ensure employing departments are engaged in the process and Job Evaluation analysts are able to comment on claims.
- 4.2 Appeals will be prioritised in accordance with the Single Status Agreement as follows:

Priority	Type of Appeal	Due for Completion
High	Appeals received from current employees who are continuing to receive protection at 1 July 2008/Appeals which do not need an Appeals Panel to meet/ Appeals from employees who leave the Council from areas where job losses are needed/ Appeals from employees who retire from the Council due to ill health and the Teesside Pension Fund Doctor (for LGPS members) or the Council's Occupational Health Advisor (for non LGPS members) has determined that they meet the Local Government Pension Fund Tier 3 Ill Health criteria	December 2009
Medium	Appeals received from current employees who were receiving protection prior to 1 July 2008/Appeals received from current employees who do not gain	September 2010

	initially	
Low	Appeals received from current employees who gained initially	January 2011
Very Low	Former employees	March 2011

4.3 Additional temporary resources have been allocated to assist with processing appeals. It should be noted that any increase in appeals as a result of recent or proposed restructures etc. could impact upon the ability to meet this timetable.

4.4 The Appeals Panel members and advisors received training, facilitated by Mick Brodie, Director of the North East Regional Employers' Organisation on 2nd November 2009 in early November 2009. Since then Appeals Panels, chaired by an independent chair have met on 12 occasions. Three panel meetings had to be cancelled due to sickness absence and poor weather. The Appeals Panels have agreed outcomes in respect of 14 of the 113 High Priority appeals.

4.5 A summary of the outcomes, subject to ratification, of the Appeals Panels is set out below

	Pay band increased on Appeal and Outcome Ratified (no of employees affected)	Pay band stayed the same on Appeal and Outcome Ratified (no of employees affected)	Pay band decreased on Appeal and Outcome Ratified (no of employees affected)	Ongoing Financial Impact at the maximum of the Pay Band (inc. Employers costs)
Chief Executive's	1 (2)	2 (4)	0 (0)	£9125.00
Child and Adults	2 (2)	5 (8)	1 (1)	£3080.50
Regeneration and Neighbourhoods	0 (0)	3 (3)	0 (0)	0
Schools	0 (0)	0 (0)	0 (0)	0
Total	3 (4)	10 (15)	1 (1)	£12,205.50

Further details of individual appeals is included in the "Not for Publication" **Appendix A** attached to this report.

This item contains exempt information under Schedule 12A of the Local Government Act 1972, (as amended by the Local Government (Access to Information)(Variation) Order 2006) namely, Information relating to individual.

- 4.6 Assuming the outcomes are ratified, £12,205.50 of the ongoing budget provision of £415,000 will have been utilised. The additional back pay costs will be reported once the outcomes have been processed through payroll.
- 4.7 Appeals Panels are due to meet on 17th and 22nd February 2010. The outcomes from the meeting of the 17th will be provided to the Portfolio Holder as soon as possible thereafter and the outcomes from the meeting on the 22nd will be tabled at the meeting. On each occasion updated summary information will be provided.
- 4.6 The Portfolio Holder will continue to receive regular reports regarding the appeals programme and appeal outcomes for Council employees that require ratification before they can be implemented and Portfolio Holder ratification is being sought as part of this report. Appeal decisions for school employees require Governor ratification before they can be implemented and arrangements are being made to obtain such ratification in respect of appeals from school employees.
- 4.7 Trade unions will be updated regularly at the monthly Single Table Meeting with Hartlepool Joint Trade Unions Committee Representatives regarding the appeals programme and appeal decisions which have been ratified.
- 4.8 Work will commence on processing Medium Priority Appeals once a short review of processes and other arrangements has been concluded.

5. RECOMMENDATION

- 5.1 The Portfolio Holder notes the progress made and ratifies the Appeals Panel Outcomes in respect of Council employees (as detailed in Appendix A)

6. REASONS FOR RECOMMENDATIONS

- 6.1 The Appeals Procedure is an integral part of the Single Status agreement and requires that the Executive Member with responsibility for HR be regularly advised of and progress made in dealing with appeals received and ratifies the outcomes of Appeals Panels in respect of Council employees.

7. BACKGROUND PAPERS

Cabinet report 23 December 2007.

Cabinet report 27 May 2008.

Performance Portfolio report 27 June 2008

Performance Portfolio report 26 September 2008

Performance Portfolio report 2 February 2009

Performance Portfolio report 26 February 2009

Performance Portfolio report 17 April 2009

Finance and Performance Portfolio report 14 July 2009

Finance and Performance Portfolio report 5 November 2009

8. CONTACT OFFICER

Wally Stagg

Organisational Development Manager

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FINANCE AND PERFORMANCE PORTFOLIO

Report To Portfolio Holder

23 February 2010



Report of: Chief Personnel Officer

Subject: WORKERS MEMORIAL DAY

SUMMARY

1. PURPOSE OF REPORT

The purpose of this report is to inform Hartlepool Borough Council Performance (Health & Safety Consultative) Portfolio Holder of the arrangements for the Workers Memorial Day Remembrance Service & Wreath Laying Ceremony and other events to be held on Workers Memorial Day April 28th 2010 and to highlight the ongoing requirement for partnership working to aid the improvement of Health & Safety to reduce the number of workplace accidents, injuries, diseases and deaths, that in the majority of cases are avoidable across the employment sector as a whole.

2. SUMMARY OF CONTENTS

A report from Hartlepool Joint Trades Union Committee.

3. RELEVANCE TO PORTFOLIO MEMBER

Workforce matters.

4. TYPE OF DECISION

Non key.

5. DECISION MAKING ROUTE

Portfolio Holder for Finance and Performance.

6. DECISION(S) REQUIRED

HJTUC recognize the importance of the events and request that the Portfolio Holder give consideration to the following:-

- a) The Authority considers authorising a minutes silence in Council Buildings / for Council staff at 12.30pm on Wednesday 28th April 2010, in remembrance of 'those workers who have lost their lives through industrial accident or disease.
- b) The Authority gives consideration to authorising the lowering of flags on public buildings on Wednesday 28th April 2010.
- c) The Authority gives consideration to allowing the sale of the Workers Memorial Day remembrance forget-me-not purple ribbons on Council premises to staff and public.
- d) The Authority gives consideration to assisting in promoting the event to the wider public
- e) The Authority authorizes the use of Council Premises on 28th April 2010 for guests before / after the Workers Memorial Day Service & Wreath Laying Ceremony.

Report of: Chief Personnel Officer

Subject: WORKERS MEMORIAL DAY

1. PURPOSE OF REPORT

The purpose of this report is to inform Hartlepool Borough Council Performance (Health & Safety Consultative) Portfolio Holder of the arrangements for the Workers Memorial Day Remembrance Service & Wreath Laying Ceremony and other events to be held on Workers Memorial Day April 28th 2010 and to highlight the ongoing requirement for partnership working to aid the improvement of Health & Safety to reduce the number of workplace accidents, injuries, diseases and deaths, that in the majority of cases are avoidable across the employment sector as a whole.

2. BACKGROUND

International Workers Memorial Day takes place around the world on the 28th April each year. The slogan for the Day is “Remember the Dead, Fight for the Living.”

The purpose of Workers Memorial Day is two-fold. First, we remember the dead, because those who have died, been injured, or made ill through their work; deserve not to be forgotten. Secondly, we fight by campaigning for the living, so that people can go to work and provide for themselves and their family, without risk to their health and safety.

Each year more people are killed by work than in wars. Most do not die of mystery ailments, or in tragic incidents. They die because of a health and safety failure. Every year worldwide, over 2 million people are killed by either their own, or someone else’s work - that’s about 5,000 per day.

A Workers Memorial Day Service and Wreath Laying Ceremony organised by Hartlepool Trades Union Council has been held in Hartlepool since 1999 and has been held on the official day of 28th April since 2000.

It is only with enforceable and enforced legislation and the Employers working together with the Trade Unions to improve Health & Safety in all workplaces that we can ever hope to reduce the number of workplace accidents, injuries, diseases and deaths that, in the majority of cases, are avoidable.

Yvette Cooper, Work and Pensions Secretary of State, announced on 28th February 2010 that the UK will give official recognition to Workers Memorial Day to commemorate thousands of people who have died, been seriously injured or made ill through their work.

5. BACKGROUND PAPERS

See attached **Appendix A.**

6. CONTACT OFFICER

Joanne Machers
Chief Personnel Officer
01429 523003

HARTLEPOOL JOINT TRADES UNION COMMITTEE

Chair:- M Sullivan

Secretary:- E Jeffries
Union Suite
Municipal Buildings
Church Square
Hartlepool TS24 7EQ
Tel:- 01429 523868
Fax:- 01429 523869
e.mail:- edwin.jeffries@hartlepool.gov.uk

Joanne Machers
Chief Personnel Officer
Hartlepool Borough Council
Dear Joanne,

Report to Performance (Health & Safety Consultative) Portfolio Holder

April 28th - Workers Memorial Day

Yvette Cooper, Work and Pensions Secretary of State, has announced that the UK will give official recognition to Workers Memorial Day to commemorate thousands of people who have died, been seriously injured or made ill through their work.

Please see attached an interim report from Hartlepool Trades Union Council on arrangements for the Workers Memorial Day Service, Tuesday 28th April 2009, 12.30pm, Christchurch TIC & Art Gallery, Church Square, Hartlepool. This year the event is preceded by a HTUC Health & Safety Training Seminar, 9.30am, Sir William Gray Suite, Historic Quay, Hartlepool (see interim report) and a Memorial Service for students organised by Hartlepool College of Further Education, 11.00am, Hartlepool College of Further Education (see interim report)

HJTUC recognize the importance of the events and request that the Portfolio Holder give consideration to the following:-

- a) The Authority considers authorising a minutes silence in Council Buildings / for Council staff at 12.30pm on Wednesday 28th April 2010, in remembrance of 'those workers who have lost their lives through industrial accident or disease.
- b) The Authority gives consideration to authorising the lowering of flags on public buildings on Wednesday 28th April 2010.
- c) The Authority gives consideration to allowing the sale of the Workers Memorial Day remembrance forget-me-not purple ribbons on Council premises to staff and public.
- d) The Authority gives consideration to assisting in promoting the event to the wider public
- e) The Authority authorizes the use of Council Premises on 28th April 2010 for guests before / after the Workers Memorial Day Service & Wreath Laying Ceremony.

The Themes for this years Workers Memorial Day include 'Prevention of Occupational Fatalities'

Employees who have died through Industrial Accident or Disease whilst trying to earn an honest living for themselves and their families are not publicly remembered on any other day

Remember the Dead & Fight for the Living

Edwin Jeffries
Secretary.

Hartlepool Trades Union Council

President:- Edwin Jeffries

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Treasurer:- P Shields

Secretary:- Alan Walker

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07884 497893 (m)

WORKERS MEMORIAL DAY (28TH APRIL 2010)

Interim report by Hartlepool Trades Union Council (HTUC)

1.0 PURPOSE OF REPORT

- 1.1 The purpose of this report is to inform Hartlepool Borough Council Performance (Health & Safety Consultative) Portfolio Holder of the arrangements for the Workers Memorial Day Remembrance Service & Wreath Laying Ceremony and other events to be held on Workers Memorial Day April 28th 2010 and to highlight the ongoing requirement for partnership working to aid the improvement of Health & Safety to reduce the number of workplace accidents, injuries, diseases and deaths, that in the majority of cases are avoidable across the employment sector as a whole.

2.0 BACKGROUND

- 2.1 International Workers Memorial Day takes place around the world on the 28th April each year. The slogan for the Day is “Remember the Dead, Fight for the Living.”

The purpose of Workers Memorial Day is two-fold. First, we remember the dead, because those who have died, been injured, or made ill through their work; deserve not to be forgotten. Secondly, we fight by campaigning for the living, so that people can go to work and provide for themselves and their family, without risk to their health and safety.

Each year more people are killed by work than in wars. Most do not die of mystery ailments, or in tragic incidents. They die because of a health and safety failure. Every year worldwide, over 2 million people are killed by either their own, or someone else's work - that's about 5,000 per day.

A Workers Memorial Day Service and Wreath Laying Ceremony organised by Hartlepool Trades Union Council has been held in Hartlepool since 1999 and has been held on the official day of 28th April since 2000.

It is only with enforceable and enforced legislation and the Employers working together with the Trade Unions to improve Health & Safety in all workplaces that we can ever hope to reduce the number of workplace accidents, injuries, diseases and deaths that, in the majority of cases, are avoidable.

Yvette Cooper, Work and Pensions Secretary of State, announced on 28th February 2010 that the UK will give official recognition to Workers Memorial Day to commemorate thousands of people who have died, been seriously injured or made ill through their work.

3.0 Workers Memorial Day 2010 Arrangements.

3.1 Remembrance Service & Wreath Laying Ceremony (* *Laying of a wreath*)

The service will take place on Wednesday 28th April 2010, 12.30pm, Christchurch TIC & Art Gallery, Church Square, Hartlepool and the laying of the wreaths will follow at the Workers Memorial in Church Square, Hartlepool.

The honoured guests include:-

Keith Norman – General Secretary, ASLEF – Guest Speaker*
Phil Davison - Browell Smith & Co, Solicitors – Guest Speaker
Geoff Fletcher – Branch Secretary, Prospect, HSE Inspectorate branch - Guest Speaker
Simon Kennedy, Regional Organiser, NASUWT - Guest Speaker*
Cllr C Richardson, Chairman, Hartlepool Borough Council*
Bereaved family members.*

Iain Wright MP (Parliamentary Under Secretary of State)
Cleveland Fire Authority*

Fire Brigades Union representatives*

Cleveland Police Authority*

Hartlepool Economic Forum*

Hartlepool College of F.E.*

Officiates - a) Father Paul Allison
b) Pastor Volney Ham-Ying

Paul Walker, Chief Executive, HBC*

Linda Hughes – bereaved family member*

Cath Purdy, Chief Executive, Housing Hartlepool*

UNISON Hartlepool Retired Members*

Northern T.U.C.*

GMB*

UNISON Darlington LG / UNISON Middlesbrough LG* / UNISON Stockton LG* / UNISON North Tees & Hartlepool Health branch* and other union branches*

The themes for the 2010 International Workers Memorial Day will be under the banner of ‘Unionised Workplaces – Safer Workplaces’.

The training room, Municipal Buildings, Church Square, will be available from 12 noon for people to congregate. Tea / Coffee etc will be available.

A lone Scottish piper will be playing in Church Square from 11.45am and will ‘pipe’ guests and attendees from / to Christchurch at 12.20pm to take their seats in time for the minutes silence at 12.30pm at the start of the service.

After the Service the Wreath Laying Ceremony will take place at the Workers Memorial in Church Square.

Iain Wright MP (Parliamentary Under Secretary of State) will give a 'reading' prior to the Wreath Laying Ceremony. The potential is for upwards of 20 wreaths to be 'laid' this year.

Christchurch café area & North Transept will be available after the service for people to congregate. Tea / Coffee and a light buffet will be available.

Hartlepool College of F.E. has produced a 'Loop' DVD (Music utilised is Brothers in Arms (Dire Straits)), commissioned by HTUC, looking at changes in work over the years and improvement in health and safety linking this with Workers Memorial Day. This is 4 minutes 51 seconds long and will be played on a loop system prior to and after the event.

3.2 HTUC Health & Safety Seminar

Following the success of the Health & Safety seminar held on Workers Memorial day 2009 arranged by Northern T.U.C (NTUC) it was suggested that this could be an annual event organized by HTUC under the auspices of NTUC and looking at working with partners to promote Health & Safety in Hartlepool and the wider Northern Region.

The event will take place in the Sir William Gray Suite, Historic Quay, Hartlepool, 9.30am to 12noon and will be followed at 12.30pm by the Workers Memorial Day Service & Wreath Laying Ceremony. Arranged speakers include Ian McFall, Team Manager, Thompsons Solicitors, update on asbestos related diseases. Mike Laffey, Thompsons Solicitors & Phil Davison, Browell Smith & Co Solicitors on Employee Safety and a presentation on responsibilities (Employer / Management) under the Corporate Manslaughter and Corporate Homicide Act 2007 is to be arranged in partnership with Hartlepool Borough Council (HBC) and the Health & Safety Executive (HSE).

Invitations will be going out Trade Union recognised Health & Safety representatives and Employers and will include the provision for managers (inc council managers) and employer representatives to attend.

3.3 Remembrance Service - Hartlepool College of Further Education.

A memorial service for students will be held on the morning of April 28th 2010 following on from the service that was so well received in 2009. This year, with the new build underway the theme will incorporate 'construction' and it is hoped to include the workforce from Millers Construction in the service. Speakers are being arranged by HTUC and include Rodney Bickerstaffe, former General Secretary, UNISON and John Scott, Regional Secretary, UCATT. A poem (Empty Shoes) was read at the 2009 service (see below) and it is hoped to have a poem written specially for the service in 2010. Further work is underway on finalising arrangements. The use of "living tree(s)" placed in the Conference Room and Reception Area for anybody to place a memorial card on was a great success in 2009 and this will be replicated in 2010. The prospect of a permanent "living tree" being incorporated into the 'new build' is under discussion.

The Themes for this years Workers Memorial Day under the auspices of 'Unionised Workplaces – Safer Workplaces' will include 'Prevention of Occupational Fatalities'

Employees who have died through Industrial Accident or Disease whilst trying to earn an honest living for themselves and their families are not publicly remembered on any other day

Remember the Dead & Fight for the Living

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Empty Shoes

No more footsteps on the path as you come home
I just sit here with my grief – so all alone
No key is turned by you in our front door
No sound of walking to me across our floor
I've cried so much my eyes are red and sore
Empty shoes, no more you – just empty shoes

When the kids cry out “I want my dad”
We cuddle up for comfort when we're sad
And we whisper that we miss you
Want to hear your voice, be with you
We want and need to kiss you
Left with memories – and empty shoes.

The boss sent you alone, to mend the roof
No harness, no mate – you fell with a “whoosh”
No safety there to guard your health.
Your life forfeit to bring others wealth
Now I'm without your dearest self
My empty arms – your empty shoes

Your broken body lay in the dirt
Your lifeblood drained amidst your hurt
To honour your great sacrifice
I hope your workmates unionise
And do it soon before another dies
In remembrance of you – no more empty shoes.

Wendy Lawrence

This poem by health and safety campaigner Wendy Lawrence, was penned after she'd read about yet another avoidable death caused by work. It reflects on the tragic and needless waste of someone's life and the effect on those they leave behind.

FINANCE & PERFORMANCE PORTFOLIO

Report to Portfolio Holder

23rd February 2010



Report of: Assistant Chief Executive

Subject: CORPORATE COMPLAINTS – OCTOBER TO
DECEMBER 2009

SUMMARY

1. PURPOSE OF REPORT

To report to the Portfolio Holder on corporate complaints performance for the third quarter of 2009/10.

2. SUMMARY OF CONTENTS

The report covers performance information on numbers of complaints, timescales for investigation and outcomes of investigations for formal complaints dealt with in the third quarter of 2009/10. A total of 27 formal complaints was received in the quarter. Seventy percent of these were responded to within authority deadlines. Ten out of 27 complaints were upheld in part or in full.

3. RELEVANCE TO PORTFOLIO MEMBER

The Portfolio Member has responsibility for performance management issues.

4. TYPE OF DECISION

Non-key

5. DECISION MAKING ROUTE

Portfolio Holder meeting on 23rd February 2010.

6. DECISION(S) REQUIRED

That the report be noted.

Report of: Assistant Chief Executive

Subject: CORPORATE COMPLAINTS – OCTOBER TO
DECEMBER 2009

1. PURPOSE OF REPORT

- 1.1 To report to the Portfolio Holder on corporate complaints performance for the third quarter of 2009/10. (NB The information in this report is analysed using the former departmental structure to enable comparison with previous quarters' data.)

2. FORMAL COMPLAINTS INFORMATION – October to December 2009

- 2.1 Twenty two formal corporate complaints and 5 social care complaints were recorded by departments in the third quarter. The Neighbourhood Services Department dealt with 8 corporate complaints and the Adult & Community Services Department dealt with 3 corporate and 3 social care complaints. The Children's Services Department dealt with 3 corporate and 2 social care complaints, the Chief Executive's Department with 5 corporate complaints and the Regeneration & Planning Department with 3 corporate complaints. In the previous quarter of the year, 16 formal complaints were recorded (See **Appendix 1** for detailed figures). The increase in the number of complaints has been across all departments except Children's Services, where there has been a very small reduction from 8 complaints in Quarter 2 to 5 complaints in Quarter 3.
- 2.2 The social care complaints received by the Adult & Community Services and Children's Services Departments are dealt with under statutory procedures which differ from the corporate procedure in terms of time scales and investigative process. However, for the sake of completeness, basic statistics on numbers of social care complaints received are included in this report.

Responding to complaints within deadlines

- 2.3 The corporate complaints procedure has a deadline of 15 days for reporting back to a complainant with a written response to their complaint, after a thorough investigation. For social care complaints, deadlines vary depending on the level of the complaint - within 10 working days for the Local Resolution stage, 25 working days for the Formal Investigation stage and 30 working days for the Complaint Review Panel stage. There is scope for extending the social care deadlines should this become necessary. Prompt investigation is always a priority for all types of complaints, but in some cases the complexity of a complaint and/or the number of people to be contacted during the investigation can mean that the deadline cannot be met. In the third quarter of 2009/10, the deadline was met in 70 percent of cases. This is a decrease from the figure of 94 percent of investigations completed within the deadline, for the second quarter of this year. As with the increase in the overall number of complaints, there do not appear to any particular problem areas

within the authority responsible for this drop in performance. Complaints officers have been asked to emphasise to investigating officers the importance of dealing with complaints promptly.

Outcomes of complaints investigations

- 2.4 When a complaint investigation has been completed, a judgement is made by the investigating officer as to whether or not the authority has been at fault and hence whether the complaint is upheld fully, in part or not upheld. Included with the complaints that are classified as not upheld are complaints where it has not been possible to substantiate a complaint, for example where a complainant's account of a situation conflicts with that of an officer and there is no other evidence to corroborate either account. In the third quarter of 2009/10, two complaints (7%) were fully upheld and 8 cases (30%) were partly upheld. This compares with the figures for the first quarter of the year of 1 case (6%) fully upheld and 7 cases (44%) partly upheld.

Remedies for complaints

- 2.5 Departments are asked to provide information on what remedies have been offered to people whose complaints have been upheld either in part or in full. In some cases, a remedy can put a complainant in the position they would have been in but for the Council's error but this is not always possible. In the third quarter of 2009/10, apologies have been given to complainants and explanations provided as to how the problem arose and of the action taken to prevent the problem recurring. Other remedies have included a payment record amended to correctly reflect payments made by a resident; arrangements made for a care user to continue with current care arrangements rather than making some proposed changes; and alterations being made to a road crossing for disabled people combined with monitoring of the crossing.

Learning from complaints

- 2.6 Complaints can provide useful information on how a service is performing and what problems are being experienced by service users. Departments have provided information on what lessons have been learnt from the complaints that they have received and what actions have been taken to prevent their recurrence. In the third quarter of 2009/10, wherever possible, departments have taken action. For example, by planning for increased consultation when introducing road crossings for people with disabilities; amending standard documentation to avoid incorrect contact information being sent out; and reminders to staff about prompt responses to letters from the public.

3. RECOMMENDATIONS

That the report be noted.

4. BACKGROUND PAPERS

Corporate Complaints - April to June and July to September 2009 - Reports to the Finance & Performance Portfolio Holder, 14th August and 3rd December 2009.

Hartlepool Borough Council Corporate Complaints Procedure 2008.

5. CONTACT OFFICER

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APPENDIX 1 – COMPLAINTS MONITORING – October 1st to December 31st 2009
 (Q1 – April to June 2009; Q2 – July to Sept 2009; Q3 – Oct to Dec 2009)

	NUMBER			MEETING DEADLINES						OUTCOMES								
	Total no. of complaints			Reported on within deadline			Reported outside deadline			Not upheld			Upheld in part			Upheld		
	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q3
CHIEF EXECUTIVE'S																		
Corporate Strategy	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Finance	-	1	5	-	1	5	-	-	-	-	1	4	-	-	-	-	-	1
Human Resources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Legal	2	-	-	2	-	-	-	-	-	1	-	-	1	-	-	-	-	-
TOTAL FOR CHIEF EXEC'S	2	1	5	2	1	5	-	-	-	1	1	4	1	-	-	-	-	1
CHILD & ADULT SERVICES																		
Adult corporate complaints	-	3	3	-	3	1	-	-	2	-	2	2	-	1	1	-	-	-
Adult social care complaints	-	1	3	-	1	3	-	-	-	-	-	-	-	-	3	-	1	-
TOTAL FOR ADULT SERVICES	-	4	6	-	4	4	-	-	2	-	2	2	-	1	4	-	1	-
Child corporate complaints	-	-	3	-	-	2	-	-	1	-	-	2	-	-	1	-	-	-
Child social care complaints	7	8	2	6	8	1	1	-	1	4	2	2	3	6	-	-	-	-
TOTAL FOR CHILD SERVICES	7	8	5	6	8	3	1	-	2	4	2	4	3	6	1	-	-	-

Continued overleaf

	NUMBER			MEETING DEADLINES						OUTCOMES								
	Total no. of complaints			Reported on within deadline			Reported outside deadline			Not upheld			Upheld in part			Upheld		
	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q3
REGENERATION & NEIGHBOURHOODS																		
Neighbourhood Services	1	3	8	-	2	6	1	1	2	1	3	6	-	-	1	-	-	1
Regeneration & Planning	1	-	3	1	-	1	-	-	2	1	-	1	-	-	2	-	-	-
TOTAL NUMBER OF COMPLAINTS	11	16	27	9	15	19	2	1	8	7	8	17	4	7	8	-	1	2
				82%	94%	70%	18%	6%	30%	64%	50%	63%	36%	44%	30%	-	6%	7%